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# Evaluation of Models for Scale- up Potential in Serbia 2016-2020

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- Understand the evidence base
- Develop methods and processes to put the evidence into practice
- Trial, test and evaluate policies and programs to drive more effective decisions and deliver better outcomes

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SeConS Development Initiative Group is an independent think-tank organisation of experts, established in Belgrade, Serbia, in 2005 with the aim of contributing to long-term socio-economic development and improvement of living conditions of individuals and social groups in Serbia and the region. As a policy and research-oriented NGO, SeConS gathers an inter-disciplinary group of experts focused primarily on study of policy issues related to inclusive development.

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# Contents

## **Executive Summary 1**

---

Introduction	1
Findings	3
Discussion	4
Conclusions, lessons learnt and recommendations	5

## **1. Introduction 9**

---

### **Chapter summary 9**

#### **1.1. Scale-up and modelling 10**

#### **1.2. Objectives of this evaluation 10**

#### **1.3. Evaluation methods 15**

---

1.3.1. Evaluation methodology	15
1.3.2. Inception period	17
1.3.3. Evaluation: elements of work	18
1.3.4. Gender equality considerations	21
1.3.5. Reference group	22
1.3.6. Strengths and limitations of evaluation and methods	22

---

#### **1.4. Report structure 23**

## **2. Serbia national context 24**

---

### **Chapter summary 24**

#### **2.1 Serbia social context 25**

---

2.1.1. Social and political framework	25
---------------------------------------	----

---

#### **2.2 Political and financial context 27**

---

2.1.2. Public finance systems: central and local government responsibilities	27
2.1.3. Constraint and austerity	32
2.1.4. Other finance systems	33
2.1.5. Public policy framework for social protection	36
2.1.6. Government planning processes and where to intervene	41

---

## **2.2. Key features of the enabling environment for modelling 43**

## **3. Did modelling result in an optimised programme? 45**

---

<b>Chapter summary</b>	<b>45</b>
<b>3.1. Initiating modelling</b>	<b>46</b>
<b>3.2. The approach to modelling</b>	<b>46</b>
<b>3.3. Developing key programme components</b>	<b>48</b>
<b>3.4. Use of the Sine Qua Non</b>	<b>52</b>

## **4. Did modelling build the evidence base? 53**

---

<b>Chapter summary</b>	<b>53</b>
<b>4.1. The need for evidence</b>	<b>53</b>
<b>4.2. The nature and quality of evidence generated in modelling</b>	<b>54</b>
4.2.1. Evidence about implementation	54
4.2.2. Evidence about outcomes	58
4.2.3. Evidence about cost-effectiveness	59
4.2.4. Gaps in evidence	60

---

## **5. Did modelling result in a model that fits the context? 61**

---

<b>Chapter summary</b>	<b>61</b>
------------------------	-----------

<b>5.1. Why are acceptability and fit important?</b>	<b>62</b>
<b>5.2. Are the models viewed as relevant, credible and having clear benefits?</b>	<b>64</b>
5.2.1. Relevance and addressing a high priority equity-based need	64
5.2.2. Credibility	65
5.2.3. Relative advantage and visible benefits	65
<b>5.3. Are the models viewed as acceptable, appropriate, feasible and a good fit?</b>	<b>66</b>
5.3.1. Acceptability and appropriateness	67
5.3.2. Feasibility and fit	69
<b>5.4. Implications for modelling</b>	<b>73</b>
<b>6. Has modelling secured commitment to scale-up?</b>	<b>75</b>
<b>Chapter summary</b>	<b>75</b>
<b>6.1. Securing commitment: why it matters</b>	<b>76</b>
<b>6.2. To what extent has UNICEF secured commitment?</b>	<b>77</b>
<b>6.3. How has UNICEF secured commitment</b>	<b>78</b>
6.3.1. UNICEF’s advantageous legacy position in Serbia	78
6.3.2. Securing commitment to modelling	79
6.3.3. Securing commitment to scale-up	79
<b>6.4. Opportunities to strengthen commitment</b>	<b>81</b>
6.4.1. Strengthening government advocacy	81
6.4.2. Strengthening financial advocacy	82
6.4.3. Influencing government through others	82
6.4.4. Building movements and leveraging social commitment	83
6.4.5. Integrating modelling, advocacy and communications	84

## 7. Discussion 85

---

### Chapter summary 85

#### 7.1. Readiness for scale-up of the exemplar models 86

---

7.1.1 Family Outreach Worker 87

---

7.1.2. Intermittent Foster Care 88

---

7.1.3. Diversionary Measures 91

---

7.1.4. Early Childhood Intervention 93

---

7.1.5. Dropout Prevention Programme 95

---

#### 7.2. Modelling as assessed against the OECD/DAC criteria 97

---

7.3.1 Relevance 97

---

7.3.2 Efficiency 97

---

7.3.3 Sustainability 98

---

#### 7.3. Strengthening modelling 98

---

7.3.1. Situating modelling within systems change ambitions and a wider portfolio of work 99

---

7.3.2. Improving model evaluation 100

---

7.3.3. Adapting and optimising the models 101

---

7.3.4. Sharpening the focus on gender 103

---

7.3.5. Influencing the allocation of funds 105

---

7.3.6. Extending advocacy and communications 106

---

7.3.7. Planning and governance 107

---

## 8. Conclusions, lessons learnt and recommendations 109

---

### 8.1. Conclusions 109

---

8.1.1. Strengths of modelling 109

---

8.1.2. Weaknesses of modelling 110

---

8.1.3. Unintended consequences of modelling	110
8.1.4. Implications for the future of modelling	110

---

<b>8.2. Lessons learnt</b>	<b>111</b>
<b>8.3. Recommendations</b>	<b>111</b>

---

## **Annexes**

---

## **117**

<b>Annex 1 – Terms of Reference</b>	<b>118</b>
<b>Annex 2 – Theory of Change for modelling</b>	<b>138</b>
<b>Annex 3 – Model Summaries</b>	<b>140</b>
Family Outreach Worker	140
Intermittent Foster Care	143
Diversionsary Measures	146
Early Childhood Intervention	148
Drop-Out Prevention	150

---

<b>Annex 4 – Country Programme Theory of Change 2016-2020</b>	<b>152</b>
<b>Annex 5 – UNICEF model funding requirements</b>	<b>153</b>
<b>Annex 6 – Costing the models</b>	<b>154</b>
<b>Annex 7 – List of reviewed documents</b>	<b>157</b>
<b>Annex 8 – UNICEF Scale-up Framework and development</b>	<b>161</b>
<b>Annex 9 – Modelling Activity checklist</b>	<b>166</b>
<b>Annex 10 – Organisations interviewed</b>	<b>167</b>
<b>Annex 11 – Evaluation methods</b>	<b>168</b>
<b>Annex 12 – Ethical considerations</b>	<b>192</b>
<b>Annex 13 – Sine Qua Non</b>	<b>194</b>
<b>Annex 14 – Other scaled-up initiatives</b>	<b>196</b>
<b>Annex 15- Information about the evaluation team</b>	<b>197</b>

## List of tables

Table 1.1 Evaluation questions.....	11
Table 1.2 The five exemplar models.....	13
Table 1.3 Number of interviews and participants involved.....	19
Table 1.4 Survey sample profile .....	21
Table 2.1 General Government Expenditure by Function, 2018 .....	27
Table 2.2 Serbian budgetary calendar.....	41
Table 3.1 Sufficiency of support for implementation.....	48
Table 3.2 Completion of core programme components .....	49
Table 3.3 ECI model guidelines.....	50
Table 5.1 Perceptions of value of the exemplar models .....	66
Table 5.2 Staff capacity issues .....	69
Table 5.3 Views about continuing delivery.....	70
Table 5.4 Quality of local cooperation.....	72
Table 5.5 Legislative and regulatory change requirements.....	73
Table 6.1 Indicative summary of commitment attained by models.....	78
Table 6.2 Government Ministries engaged in modelling.....	79
Table 7.1 Scaling-up FOW: sequencing further work .....	87
Table 7.2 Scaling-up IFC: sequencing further work .....	90
Table 7.3 Scaling-up DMs: sequencing further work.....	92
Table 7.4 Scaling-up ECI: sequencing further work .....	94
Table 7.5 Scaling-up DOP: sequencing further work .....	96
Table 7.6 Gender-related questions for each model.....	104

## List of figures

---

Figure 0.1 Mapping evaluation recommendations to perceived urgency and impact.....	116
Figure 1.1 UNICEF Scale-up Framework.....	18
Figure 2.1 Financial resources of local social services.....	32
Figure 2.2 Share structure of IPA funds by sector 2014 - 2020.....	34
Figure 2.3 Open Budget Index (OBI) scores- Serbia (2008-19).....	42
Figure 5.1 The Dynamic Sustainability Framework (adapted from Chambers et al., 2013).....	63
Figure 7.1 Readiness for scale-up: FOW.....	88
Figure 7.2 Readiness for scale-up: IFC.....	90
Figure 7.3 Readiness for scale-up: DMs.....	92
Figure 7.4 Readiness for scale-up: ECI.....	94
Figure 7.5 Readiness for scale-up: DOP.....	96
Figure 7.6 Iterative system improvement.....	102

---

## List of boxes

---

Box 1.1 Defining scale-up.....	10
Box 1.2 Topics covered by interviews.....	20
Box 3.1 The importance of a model-level theory of change.....	50
Box 3.2 The Sine Qua Non.....	52
Box 4.1 Implementation evaluations.....	55
Box 5.1 Fit and alignment: The Dynamic Sustainability Framework.....	63
Box 5.2 What is systems change?.....	67
Box 5.3 How systems neutralise innovation.....	74
Box 7.1 Approaches to systems change.....	100
Box 7.2 Balancing fidelity with adaptation.....	103

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## List of acronyms

**BPC** Belgrade Psychology Centre

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**CEDAW** Convention on the Elimination of all Forms of Discrimination Against Women

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**CEI** Centre for Evidence and Implementation

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**CEP** Centre for Education Policy

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**CFC** Centres for Foster Care

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**CFIR** Consolidated Framework for Implementation Research

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**CO** Country Office

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**CPD** Country Programme Document

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**CRC** Convention on the Rights of the Child

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**CRPD** Convention on the Rights of Persons with Disabilities

---

**CSW** Centres for Social Work

---

**CWD** Children with Disabilities

---

**DM** Diversionary Measures

---

**DOP** Drop-Out Prevention

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**ECA** Europe and Central Asia

---

**ECI** Early Childhood Intervention

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**ERG** Evaluation Reference Group

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**ERP** Economic Reform Programme

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**EU** European Union

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**EUR** Euro

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**FOW** Family Outreach Worker

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**GDP** Gross Domestic Product

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<b>IFC</b>	Intermittent Foster Care
<b>IPA</b>	Instrument for Pre-Accession Assistance
<b>IR</b>	Inception Report
<b>LSG</b>	Local Self-Government
<b>MICS</b>	Multiple Indicator Cluster Survey
<b>MLEVSA</b>	Ministry for Labour, Employment, Veterans and Social Affairs
<b>MOF</b>	Ministry of Finance
<b>NGO</b>	Non-Government Organisation
<b>OBI</b>	Open Budget Index
<b>OECD/DAC</b>	Organisation for Economic Co-operation and Development's Development Assistance Committee
<b>PHC</b>	Primary Health Care
<b>PPP</b>	Public/Private Partnerships
<b>RISP</b>	Republic Institute for Social Protection
<b>RSD</b>	Serbian Dinar
<b>SDC</b>	Swiss Agency for Development and Co-operation
<b>SDES</b>	Strategy of Education Development Serbia
<b>SQN</b>	The Sine Qua Non for Modelling
<b>ToC</b>	Theory of Change
<b>ToR</b>	Terms of Reference
<b>UNEG</b>	United Nations Evaluation Group
<b>UNICEF</b>	United Nations Children's Fund

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# Executive Summary

## Introduction

This report presents the findings of an evaluation of UNICEF's modelling activity, which was commissioned by UNICEF to support their work to test and scale-up models. Modelling means piloting an intervention in new contexts to demonstrate its replicability and effectiveness<sup>1</sup>. Between 2016-2020 UNICEF initiated or continued to develop a number of models in the areas of health, child protection, education and adolescent wellbeing. A set of 10 necessary conditions or 'Sine Qua Non' (SQN) for modelling is intended to guide this work.

In this evaluation, modelling was examined through five exemplar models, each at a different stage in modelling and work towards scale-up:

- **Family Outreach Worker (FOW):** an intensive family support service for families with children with multiple and complex needs, intended to improve the capacity of families to support children's development and to avoid out-of-home care. Modelling took place from 2013-18 in Belgrade, Novi Sad, Kragujevac and Niš. Delivery ceased after the end of modelling except in Novi Sad. Amendments to legislation required to take the model to national scale have been drafted but not adopted.
- **Intermittent Foster Care (IFC):** periodic family-based respite care for children with disabilities, to support families and improve care for children, and connect families and children with their local community. The model was implemented in 2015-2016 in Novi Sad, Belgrade, Kragujevac and Nis by regional Centres for Foster Care and Adoption, working with Centres for Social Work. The amendments to law required for scale-up have been drafted but not enacted. The model continues to be used in Novi Sad, and elsewhere some families from

<sup>1</sup> Terms of Reference for this evaluation- see Annex 1

the modelling period continue to be supported. Regulatory amendments have been drafted but as with FOW delivery has largely ceased.

- **Diversory Measures (DM):** a form of restorative justice, diverting children from criminal sanctions to rehabilitative activity. It is intended to protect the best interests of children, reduce reoffending rates, and reduce the burden on the legal system. DMs were enacted in law in 2006 but are not widely used, and modelling was undertaken between 2015-19 in Belgrade, Novi Sad, Kragujevac and Niš initially, then also in priority areas chosen from areas with highest juvenile crime including: Paraćin, Zrenjanin, Sombor, Sjenica, Jagodina, Kraljevo, Batočina, Kruševac, Arandjelovac and Novi Pazar<sup>2</sup>.
- **Early Childhood Intervention (ECI):** a transdisciplinary, family-centred programme delivered by teams of professionals from across public health, pre-school education and social welfare. It is intended to provide early identification of children with developmental delay, and early intervention including through home visits. This is the newest model, with modelling and evaluation ongoing. It is being fully implemented in Leskovac, Kragujevac, Niš, Sremska Mitrovica and Belgrade (Rakovica municipality), and partially implemented in Čukarica and New Belgrade.
- **Dropout Prevention Programme (DOP):** designed to prevent children's non-attendance at school, the model involves an assessment tool to identify children at risk, capacity building for schools, and planning and provision of preventive support. DOP was modelled between 2016-18 in in Vrbas, Kraljevo, Kragujevac Pancevo, Bela Palanka, Surdulica and Vladicin Han, and dropout prevention activity has been adopted in law and scaled-up nationally, although not yet with the full support UNICEF judge to be needed. DOP was subsequently included in a three-year programme addressing child marriage, currently in the process of external evaluation.

The objectives of the evaluation were to assess approaches to modelling (including use of the SQN), identify barriers and enablers to scale-up, and make recommendations to help the Serbian Country Office to strengthen modelling, and to optimise or scale-up the models. The primary audience for the evaluation is UNICEF Country Office staff in Serbia.

The evaluation involved:

- an inception mission and inception report
- development of a theory of change for modelling
- extensive document review
- six individual or group interviews with UNICEF teams and leaders and 40 interviews with stakeholders
- a small survey of local implementation sites
- and analysis of financial systems including a small number of interviews with key informants.

The evaluation used an analytical framework, the UNICEF Scale-up Framework, which is a synthesis of the evidence on the necessary steps, strategies and determinants for effective scale-up. The UNICEF Scale-up Framework sets out, based on this evidence, what needs to have been achieved by the end of the modelling process. It has four domains: a programme which has been optimised (improved and fully prepared) for scale-up; is

<sup>2</sup> According to plans set out in: *A Second Chance for Juvenile Offenders in Serbia*, UNICEF (ND)

supported by evidence: fits the delivery context and wider context, and where essential stakeholders are committed to supporting scale-up. These four domains form the key analytical framework that was applied in this evaluation of UNICEF's approach to modelling. The four domains, and the analysis of modelling against them, provide the main structure of the findings section of the report (chapters 3-6).

### **Social, political and economic context**

During the last two decades, Serbia has significantly improved the legal and policy framework for combatting discrimination, social exclusion and gender inequality. Challenges remain, particularly in access to education and the high use of institutionalised care.

Despite efforts to de-centralise responsibility for social protection, education and health, central government has by far the largest role in financing these areas. The new Law on the Planning System and draft Strategy for Social Protection Development involve some limited reform to the public policy framework for social protection. The fiscal strategy for 2021 does not suggest planned increases in social protection expenditure, and continued fiscal restraint is likely. Levels of transparency in fiscal decision-making and public participation are low, which highlights the complexities of intervening to influence financial allocation.

## **Findings**

### **Did modelling result in an optimised programme?**

Systematic approaches were taken to initiating and designing each of the five models, using for example situational analysis, discussions with families and professionals, review of international programmes and delivery systems as well as drawing on UNICEF staff expertise. Government commitment to modelling was secured at an early stage, alongside extensive consultation and partnership work with other stakeholders. UNICEF was viewed by the stakeholders interviewed as an energetic and active leader of modelling. Modelling generated high levels of enthusiasm among the stakeholders and partners involved.

Many of the elements and resources that need to be in place to support scale-up had been developed for the five exemplar models by the end of the modelling period. There were some gaps for example in whether all models had an equity-based theory of change, clearly specified essential and adaptable practices and fidelity criteria, and assessment of costs.

### **Did modelling build the evidence base?**

For a model to be ready for scale-up, there needs to be robust evidence about what it takes to implement the model, effectiveness (i.e. the extent to which intended outcomes are achieved), and cost-effectiveness. Review of evaluation reports and other documents showed that significant evidence was generated through evaluation of the models. All the models (with the exception of ECI where the evaluation had not yet been put in place) had some evidence about implementation. The quality of evidence about outcomes was strongest for DOP, which was the only model where evaluation had involved a quasi-experimental design and objective outcome measures. There was evidence about cost-effectiveness for FOW and IFC.

### **Did modelling result in a programme that fits the context?**

All five models were viewed by stakeholders as relevant and credible. They were seen as addressing high-priority needs, and having clear added value.

All five of the exemplar models were intended to improve, reform or change the system in which they operate. This inevitably creates some tension in their fit within delivery organisations and the wider system of e.g. policy, finance, legislation, regulations, other services, professional paradigms and established ways of working, and community cultures and preferences. Despite the positive regard for the models, stakeholder interviews identified areas where the models are not fully aligned with operating contexts. These included the intensity of interventions being over-ambitious for the capacity of delivery organisations, the need for intersectoral cooperation (i.e. support from other services and organisations) that was not always available, models being ahead of professional and socio-cultural norms, and the need for changes to legislation or regulation to incorporate models into mandated and funded practice.

### **Has modelling secured commitment to scale-up?**

There was an agreed target and pathway for all the models (with the exception of ECI where this work is ongoing). The necessary policy, legislation and regulation changes had been made for DM and DOP, and draft amendments to legislation and regulation agreed and not yet actioned for FOW and IFC. There was not yet government commitment to funding the models and their support at scale.

UNICEF was viewed by stakeholders interviewed as having strong relationships with government and other key bodies and was highly regarded for its professional expertise and wisdom. However, government had not yet committed to what UNICEF personnel regarded as the full set of legislative, regulatory and financial requirements, for any of the models.

Stakeholders encouraged UNICEF to continue with and amplify direct government advocacy, but also to recognise and support other organisations that can advocate to government. UNICEF was also encouraged to place more emphasis on mobilising social and professional movements in support of change. UNICEF's political advocacy includes financial advocacy but review of UNICEF's planning instruments found no references to specifically influencing government financial allocation for any of the models.

## **Discussion**

### **Readiness for scale-up of the exemplar models**

All the exemplar models have good potential to address equity issues and secure improvements to children's rights and wellbeing. To realise that potential, each of the models needs continued work to increase the readiness of delivery organisation and wider systems for the model, and to optimise the model to improve its fit and feasibility.

- The FOW appears to be viable for scale-up through residential institutions repurposed as Child and Family Centres. Further testing and optimisation of FOW in this new delivery setting would be needed.
- Similarly, IFC could viably be scaled-up. Once the necessary regulations are in place and financial allocation agreed, further testing of IFC would be needed to review fit within the new regulatory framework.
- DMs are enacted in law, and UNICEF's work has helped to build service and system readiness somewhat. To reach children and young people at scale, there is a need for significant expansion in available rehabilitative activities. This, and building social and professional acceptability of restorative justice approaches, should be the focus for UNICEF's continued work.

- The ECI model is at an early stage of implementation and evaluation. A phased, iterative approach will be needed to scale-up, with incremental changes to the model alongside strengthening the readiness of delivery organisations and the wider system, avoiding scaling-up until the necessary infrastructure is in place.
- Modelling achieved significant successes with DOP, demonstrating a viable approach and securing dropout prevention as an issue to be included in individual education plans. However further work is needed to embed DOP and improve the quality and comprehensiveness of school prevention work.

### **OECD/DAC criteria: relevance, efficiency and sustainability**

The five exemplar models were seen as relevant to beneficiaries' needs and in line with many partners' priorities, but there was more mixed evidence about their relevance to national policies and priorities. In terms of efficiency, UNICEF's approach to modelling is strong and no clear alternative approaches emerged in the evaluation, but modelling needs to be widened and strengthened to achieve the intended results, as discussed further below. The evidence for sustainability is also mixed, since only DOP has yet been scaled-up.

### **Strengthening modelling**

UNICEF's approach to modelling could be strengthened in a number of ways. The systems change ambitions behind each model could be more clearly set out and an integrated portfolio of work planned encompassing modelling, advocacy and communications. The design of models needs to be closer to the capabilities of the current system, with more robust testing of implementation and fit, iterative cycles of work to improve the performance of the service system, and developing the complexity and demands of models gradually in line with this.

UNICEF makes a significant commitment to evaluation, but there is scope to strengthen the robustness of implementation, effectiveness and cost-effectiveness evaluation. There is also scope to sharpen the focus on gender in model development, monitoring and evaluation.

The evidence points to a need for UNICEF to make its financial advocacy more targeted and aligned with government fiscal planning calendar, and based on credible costs analysis. There is also a need to extend advocacy and communication activity. Finally, planning and governance needs to be adapted to document the wider systems change ambition and wider portfolio of work required to address it. Monitoring approaches need to document not only whether the intended work was undertaken but also whether the desired results were achieved, with the expectation that systems change and scale-up involved dynamic, adaptive and non-linear approaches.

### **Conclusions, lessons learnt and recommendations**

UNICEF's approach to modelling has led to a set of models that are well-regarded and have potential for improving children's outcomes at scale. The approaches taken to initiating modelling are systematic and included securing the involvement and participation of appropriate stakeholders. Many of the necessary elements of models have been developed. There are some weaknesses in approaches to modelling, particularly in the fit of models to operational and systems capacity and the extent to which all necessary commitments to scale-up have been achieved. The implications are that UNICEF needs to strengthen its work particularly in improving systems and their readiness for the models and influencing government priorities, in support of modelling.

In summary, the lessons learnt are that UNICEF is well positioned to build on modelling; scaling up requires more attention to the fit between models and the current service system; this requires extended and integrated activity at model and system level, and UNICEF should develop its capacity for advocacy, communication, soft influencing, political analysis, evaluation and economic analysis.

Eight recommendations are made:

**1. Create a comprehensive and integrated scale-up plan for each area of systems change:**

Behind each model is a wider systems improvement and change ambition. However, this ambition is not clearly set out nor visible in plans, and is not explicitly agreed with partners and stakeholders as the basis for modelling work. UNICEF needs to set out the ambition and ensure that for each model there is a comprehensive scale-up plan to achieve it. The plan should articulate the intended end goal, the social and systems level change sought, and a pathway and integrated set of activities to change it which includes not only modelling but also advocacy, research and communications. The plan should be developed with partners, and commitment secured from partners to it, rather than only to modelling activity. Annual work plans need to be agreed with all relevant ministries, not just the lead ministry. In this way the change ambition and the work required to secure it will be transparent to all stakeholders, the commitment required will be clear, and weak or absent commitment will be visible more quickly.

**2. Design models that are closer to the current system capacity:**

Because UNICEF's ambition is systems reform, the models are designed to demonstrate what a *future* improved system could achieve. This creates barriers to scale up, since the system conditions and supported needed for scale-up are not fully present. UNICEF needs to design models that are closer to the capacity of the current system (i.e. the professional, operational, organisational and strategic capacity of agencies involved in implementation). This requires UNICEF to undertake risk and assumptions analysis, systematically identifying where the system is not sufficiently mature to sustain models, and planning work to improve the system.

**3. Identify where UNICEF's work needs to stimulate change in social norms and behaviours, and plan work to achieve this:**

The models are also somewhat in advance of social attitudes, norms and behaviours in their expectations and grounding (for example, ambitions for inclusion of disabled children, or for restorative justice approaches). UNICEF needs to identify where changes in social norms and behaviours are required to address root causes of problems addressed by models, to build demand, or to create the conditions for sustainable change. There needs to be more emphasis on building and mobilising social movements. Communications and knowledge dissemination plans need to be aligned with modelling plans to support this.

**4. Improve the monitoring of achievements against the scale-up plan:**

UNICEF's planning documents do not currently reflect the full range of work needed to secure scale-up, and monitoring is narrowly focused on whether intended actions have been undertaken rather than monitoring progress towards scale-up. UNICEF needs to improve its monitoring to assess regularly whether the necessary conditions and capabilities for systems change are being developed, and where there remains resistance and barriers. UNICEF also needs to plan for multiple scenarios and expect non-linear progress. This requires a more dynamic, adaptive way of working where plans are regularly reviewed, adapted, and additional work built in, or stages of work repeated, as necessary.

**5. Improve the robustness of evaluation and its use to improve model:**

Although UNICEF invests considerably in evidence generation, it needs to improve the robustness of both implementation evaluation and effectiveness evaluation. Implementation evaluation needs to involve more rigorous analysis of implementation strategies, barriers and enablers, and to be focused on the aspects of implementation that are known to be determinants of programme effectiveness. Effectiveness and outcomes evaluations need to be more rigorous, including using comparative designs (so that impacts can be robustly attributed to models), validated outcome measures, and measuring longer term outcomes across aspects of child wellbeing. Existing international evidence can also be used to make the case, where effectiveness evidence is not yet available. Cost-effectiveness evaluations need to be undertaken. A phased approach is needed, with research questions proportionate to modelling phase. This evidence needs to be used to improve models to increase fit and effectiveness, strengthen implementation strategies, and increase readiness for scale-up. It would also highlight where a model has limited chance of success.

**6. Strengthen political advocacy, skills and efforts:**

Political commitment to the models is not yet fully secured. UNICEF needs to bring advocacy and modelling work into closer alignment so that they work to the same objectives and plans. UNICEF should continue to develop political analysis and influencing skills of Country Office staff in programme, advocacy and communications teams. UNICEF Country Office also needs to strengthen its initial and ongoing analysis of political contexts, priorities and drivers, and the adaptation of work to align with this analysis. There is a need to amplify and diversify approaches to advocacy, both advocating directly to government and working indirectly through other institutions, individuals, coalitions and social movements. Senior leaders at UNICEF need to play a key role in advocacy efforts.

**7. Target and strengthen financial analysis and advocacy to influence allocation of government and public financing:**

Financial commitment to the models has not yet been fully secured. Financial advocacy is embedded in other advocacy work but there is scope for it to be better attuned to political financial strategies. UNICEF needs to strengthen its financial advocacy to influence the allocation of government and public funding, in support of models. This needs to be part of the work of Country Office leadership and programme and advocacy team, and clearly represented in UNICEF's planning instruments. UNICEF needs to set out a costed business case for investment in modelling and scale-up, based on stronger financial analysis of both current public financing and of the cost-effectiveness of models. Robust costed project proposals need to be put to government at key points in the government financial decision-making calendar between January and the end of August, with representations made at multiple levels in relevant ministries including to Ministers, Ministerial Assistants, State Secretaries and advisers as well as through other agencies with influence. The format or instrument for these representations is less important than the strength of business case made and its alignment with government priorities. The aim should be to ensure that spending commitments are included in both the final budget and in the government-wide annual work plan. Government financial commitment should also be documented in the annual work plans between UNICEF and each ministry, as well as UNICEF's financial commitment.

**8. Strengthen the focus on gender in model development, piloting and planning for scale-up:**

UNICEF's modelling is strongly oriented to addressing equity gaps and disadvantage. However there is scope to bring a stronger emphasis to gender in particular. This would involve: understanding gendered experiences and causes of the need addressed (e.g. school dropout), addressing these in model design and content, targeted strategies to

reach the boys and girls most in need, analysis of service barriers to effectively meeting the needs of boys and girls, understanding and addressing gendered assumptions and behaviours among staff, monitoring the reach to boys and girls and their satisfaction with and outcomes from the service, and adapting the model as needed to address gender issues identified. Better data on gendered differences in need, participation and outcomes is key to this.

# 1. Introduction

## Chapter summary

- The current evaluation is an evaluation of UNICEF's modelling activity to support the scaling-up of effective interventions. *Modelling* means piloting an intervention in new contexts to demonstrate its replicability and effectiveness. Modelling was examined through five exemplar interventions or 'models'.
- The evaluation involved an inception mission and development of a theory of change for modelling, extensive document review, interviews with UNICEF teams and leaders, 40 interviews with stakeholders, a small survey of local implementation sites, and analysis of potential funding sources for activity involved in scaling-up.
- The evaluation used an analytical framework, the UNICEF Scale-up Framework, which is a synthesis of the evidence on the necessary steps, strategies and determinants for effective scale-up. It establishes what UNICEF needs to have achieved by the end of the modelling process under four headings: Optimised programme, Evidence based, Fit for context, and Secured commitment.

## 1.1. Scale-up and modelling

Scaling-up effective programmes and interventions is one of the most challenging areas of implementation and improvement, but it is central to achieving sustainable, population-wide benefits. 'Scaling-up' refers to deliberate efforts to broaden the reach of an intervention, in order to achieve greater and more equitable impacts<sup>3</sup>. In practice, many initiatives with solid research evidence are not successfully scaled-up. This can be because of a wide array of factors at the intervention, organisation and systems level, including cost and complexity of interventions, lack of political will, the acceptability or 'fit' of the initiative, or the quality of the implementation supports provided.

The processes of piloting and modelling are a key strategy of UNICEF within the Europe and Central Asia (ECA) region<sup>4</sup>. *Piloting* is defined by UNICEF as testing a new theory of change to assess whether an approach *could* be effective. *Modelling* is defined as demonstrating that the intervention works in a new context, to promote replication and encourage adoption by others<sup>5</sup>. In practice, the current evaluation of modelling found that these stages (piloting vs modelling) are not distinguished from each other, and the early work to develop and test programmes is regarded by the UNICEF teams as part of modelling – see further discussion in Annex 2.

UNICEF have launched a significant number of models between 2016-2020 in the areas of health, child protection, education and adolescent wellbeing. The process of modelling is intended to provide information about the effectiveness and feasibility of wide-scale implementation, and to be an advocacy tool in efforts to secure the resources and partnerships need for scale up and sustainability of the models. It is also intended to increase ownership and buy-in from stakeholders. A theory of change for modelling was developed as part of this evaluation, based on interviews with UNICEF teams, and is also included in Annex 2.

In 2014 UNICEF developed consensus about the necessary conditions for modelling, based on discussions between Deputy Representatives in all Country Offices (CO) and the Regional Office of the Central and Eastern Europe and Commonwealth of Independent States region. These are articulated as ten 'Sine Qua Non' (SQN) and are shown in chapter 2.

## 1.2. Objectives of this evaluation

The Evaluation of Models for Scale-up Potential in Serbia was an external, independent evaluation that undertook a rapid assessment of modelling as carried out by the UNICEF Country Office (CO) in Serbia between 2016- 2020. The purpose of the evaluation was to inform future strategic directions and provide recommendations to UNICEF at both the

### Box 1.1 Defining scale-up

Scale-up<sup>3</sup> may involve:

- Replication or spread: services are delivered increasingly widely by the programme originator or others (horizontal scaling)
- Institutionalisation: government or other centralised power incorporates programme activities into regulation, legislation and funding (vertical scaling). This form of scaling-up is a particular focus of UNICEF's work.

<sup>3</sup> Aarons, G. A., Sklar, M., Mustanski, B., Benbow, N., & Brown, C. H. (2017). "Scaling-out" evidence-based interventions to new populations or new health care delivery systems. *Implementation Science*, 12(1), 111-124.

<sup>4</sup> Modelling: A Core Role for UNICEF's engagement in the CEE/CIS Region. UNICEF, 2015

<sup>5</sup> Terms of Reference for this evaluation- see Annex 1

country and regional levels. The evaluation was conducted by the Centre for Evidence and Implementation (CEI) in partnership with SeConS Development Initiative Group (SeConS).

The objectives of the evaluation (with a small amendment made to those set out in the Terms of Reference (ToR)<sup>6</sup> - see Annex 1) are:

- To evaluate and assess the extent to which selected models have been designed in accordance with the SQN
- Assess and identify implementation barriers and enablers to scale up of the models in the context of Serbia's Government systems and structures
- As compared to alternative strategies, assess the extent to which modelling was the most efficient way of achieving the desired results
- Make recommendations that will help the Serbia Country Office optimise modelling as a strategy in its next country programme
- Make specific recommendations that will help UNICEF optimise, replicate or scale-up the sampled models where feasible
- Assess the sufficiency of the SQN as a framework for guiding UNICEF's modelling efforts at the country level.

During the inception phase of the project, the objectives were developed into a detailed set of evaluation questions, shown in Table 1. Against each question is an indication of its relationship with the OECD DAC evaluation criteria<sup>7</sup>. The table also shows where in the report each is addressed.

**Table 1.1 Evaluation questions**

Evaluation question	OECD/DAC criterion	Where addressed
<b>To what extent has the design and implementation of models led to national scale-up?</b>		
What was the intended pathway for scale up of the models, incl. intended strategies, scale of reach, target population and end point?	Sustainability	Section 1.1 and Annex 3
If not scaled up, what were the outcomes, main opportunities and impediments? If scaled up or currently on the path to scale-up, what were the successful strategies in the given context?	Sustainability	Chapters 4, 5 and Section 7.1
<b>How might UNICEF strengthen its approach to scale-up in modelling?</b>		
What is emerging as consensus internationally as the important stages and strategies required and determinants of successful scale up?	Efficiency	Section 1.3 and Annex 8
How do these relate to the context of UNICEF's programs in Serbia including consideration of gender perspectives and achievement of equity- and child rights-based impact?	Efficiency	Chapters 2, 3, 4 and 5 and Annex 8

<sup>6</sup> Following recommendations made by reviewers of the Inception Report and agreed by UNICEF, two objectives in the ToR were combined into the second objective set out above. The original objectives as set out in the ToR were: 'Assess and identify implementation challenges that hindered or supported scale-up of the models' and 'Looking forward, assess the factors that may facilitate or further impede scale up in the context specific to Serbia's Government systems and structures (particularly in the areas of governance and financing) in the next programme cycle (2021-2025)'. Reviewers recommended the combined and briefer version of the objective to reduce duplication and increase coherence.

<sup>7</sup> OECD. *Evaluation criteria*.

<http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

Evaluation question	OECD/DAC criterion	Where addressed
Are these stages, strategies and determinants addressed in the sampled models' design and in the approaches taken to modelling?	Efficiency	Chapters 2, 3, 4 and 5
How did UNICEF in Serbia choose and decide to initiate its investments on modelling? Is that decision made by UNICEF only or is it a joint (explicit) decision with government to embark on modelling?	Relevance	Section 2.2 and 2.3
To what extent was modelling undertaken in accordance with the SQN, including an underlying equity-based hypothesis and equity-based outcomes formulated as child rights realisation?	Efficiency	Section 2.5 and Annex 13
Is the SQN a useful and sufficient framework for guiding UNICEF's modelling efforts? How are the stages, strategies and determinants of effective scaling reflected in the SQN?	Efficiency	Annex 13
What if anything is missing or could be strengthened to provide a framework for modelling for scale-up that includes the achievement of equity- and child rights-based impact?	Efficiency	Annex 5 and Annex 13
As compared to alternative strategies, is modelling an efficient way to achieve the intended ambitions including the equity- and child rights-based results of the country program?	Efficiency	Section 7.1 and 7.2
Are there examples identified of other initiatives outside UNICEF that were successfully scaled up, which may warrant further exploration?	Efficiency	Annex 14
<b>Are the models sustainable and scalable?</b>		
What are the key criteria for assessing the feasibility of the sampled models for scale-up?	Sustainability	Section 4.1 and 4.3
How feasible are the sampled models for scale-up?	Sustainability	Chapter 4 and Section 7.1
For those considered feasible for scale-up, what would scale up involve in the context specific to Serbia's Government systems and structures (particularly in the areas of governance and financing) in the next program cycle?	Sustainability	Chapter 6 and Section 7.1
For those models not considered immediately feasible, how might UNICEF take forward the intentions behind the models?	Sustainability	Section 7.1
<b>What approaches to the costing of models are needed to secure government support for scale-up?</b>		
What key entry points in public financing and governance at both national and sub-national level in Serbia should UNICEF consider for the scale-up of models and how should UNICEF approach its modelling in relation to these?	Efficiency	Chapters 2 and 7 and Annex 5
What are the key entry points and instruments of other funding sources (e.g. EU, International Financing Institutions, public-private partnerships) for taking models to scale in Serbia and how should UNICEF approach its modelling in relation to these?	Efficiency	Chapters 2 and 7 and Annex 5
What are the implications for how UNICEF should approach costing of models for scale-up and what information should such costings include, particularly in the framework of domestic resources?	Efficiency	Chapter 7 Annexes 5 and 6

The main OECD DAC evaluation criteria addressed are 'efficiency' and 'sustainability'. Efficiency, defined<sup>6</sup> as 'the extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way', is relevant to evaluation questions relating to how UNICEF approaches modelling, and how it addresses financing and costing as part of modelling. Sustainability, defined as 'the extent which the net benefits of the intervention

continue, or are likely to continue’ is the key goal of UNICEF’s scale-up work, relating to the continuation of implementation and impacts after the end of the modelling period. It is relevant to evaluation questions relating to whether modelling has led to national scale-up and whether the models are sustainable and scalable. One evaluation question – how UNICEF chooses and initiates investment in modelling – relates to relevance, defined as ‘the extent to which the intervention objectives and design respond to beneficiaries, global, country and partner/institution needs, policies and priorities, and continue to do so if circumstances change’.

**Modelling, as a concept and process, is the object of the evaluation.** It was explored in the evaluation through five exemplar models. The selected models provide a broad representation of UNICEF team, service area, policy area, lead Ministry, and current stage of scale-up. A brief description of each of the five exemplar models is provided in Table 1.. More detail on each model is provided in Annex 3.

**Table 1.2 The five exemplar models**

	<b>Family Outreach Worker (FOW)</b>	<p>The Family Outreach Worker service is an intensive family support service which aims to improve the capacities of families to support children’s development in a family environment, providing safety and protection from neglect and abuse. It is intended for families with children with multiple and complex needs; families where there is a risk of the child being taken into care; and families planning for the reintegration of the child after a period in care. Family Support Workers based in residential care institutions, supported by Centres for Social Work, met weekly with parents and coordinated other support services, for up to 12 months. Modelling took place from 2013-18 in four municipalities: Belgrade, Novi Sad, Kragujevac and Niš.</p> <p><b>The model has not been scaled up. Delivery ceased after the end of modelling except in Novi Sad. Amendments to legislation required to take the model to national scale have been drafted but not adopted. The scale-up pathway will be to embed FOW in the work of new Centres for Children and Families</b></p>
	<b>Intermittent Foster Care (IFC)</b>	<p>The Intermittent Foster Care service supports periodic, family-based respite care for children with disabilities. The service aims to support families, provide high quality care for children, connect children and families with support and resources in their local community, and aid community integration. Support is provided by the Centre for Social Work and the Centre for Foster Care and Adoption. The model was implemented in 2015-2016 in four municipalities (Novi Sad, Belgrade, Kragujevac and Niš) by regional Centres for Foster Care and Adoption, working with Centres for Social Work.</p> <p><b>The model has not been scaled up. The amendments to by-law required for scale-up have been drafted but not enacted. The model continues to be used in Novi Sad, and elsewhere some families from the modelling period continue to be supported. The intended pathway is to embed IFC in foster care provision</b></p>
	<b>Diversiónary measures (DM)</b>	<p>Diversiónary measures are a form of restorative justice, diverting children from criminal sanctions to rehabilitative activity in the community. The approach is intended to protect the best interests of children, reducing the number exposed to prolonged judicial proceedings, reduce reoffending rates and decrease the burden on the legal system. Diversiónary measures had been enacted in 2006 but were seldom used. They are ordered by either judiciary or prosecutors, and rehabilitative activity is provided by Centres for Social Work or other local providers. Modelling involved training and capacity building for key actors working within the justice and social welfare systems and was implemented in 2015-2017 in four municipalities: Belgrade, Novi Sad, Kragujevac and Niš.</p> <p>In 2018-2019 this work was expanded to municipalities in Serbia with the highest juvenile offending rates where local authorities had expressed commitment to</p>

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invest in and sustain diversionary schemes. The indicative list was Paraćin, Zrenjanin, Sombor, Sjenica, Jagodina, Kraljevo, Batočina, Kruševac, Arandjelovac and Novi Pazar.<sup>8</sup>

**DMs are enacted in law but the approach is still not fully scaled-up. UNICEF and partners are currently establishing work in seven further areas to promote the use of diversionary measures. Periodic ongoing capacity building and training continues in many of these regions.**



**Early  
Childhood  
Intervention  
(ECI)**

The Early Childhood Intervention model (ECI) is the newest of the exemplar models, recently developed by UNICEF with stakeholders across the health, education and social welfare sectors. It is being fully implemented in Leskovac, Kragujevac, Niš, Sremska Mitrovica and Belgrade (Rakovica municipality), and partially implemented in Čukarica and New Belgrade. It is a transdisciplinary, family centred programme delivered by teams of professionals from across public health, pre-school education and welfare institutions. Its aims are the early identification of children aged 0-5 years with learning delays and disabilities and provision of intensive early intervention including through family visits. Eligible children are screened by paediatricians in Paediatric departments at Primary Health Centre (PHC), and referred to the intersectoral ECI team, coordinated through Development Counselling Unit at PHC. Provision of support to children and their families is delivered through home visits and visits at kindergarten, including support for transition (ending ECI program, transition from home to pre-school, to school or to other services/programs).

**The model is at an early stage of modelling, which will include evaluation and determining the appropriate delivery service or services for scale-up. Pathway to scale is not yet determined**



**Dropout  
Prevention  
(DOP)**

The Dropout Prevention model is designed to prevent children's non-attendance at school. The model involves an assessment tool to identify at risk students, capacity building for teachers and schools, and development of individual education plans for each child, providing cross-sector support as needed. The model was implemented in 2014-2016, in 4 primary and 6 secondary vocational schools in 7 municipalities: Vrbas, Kraljevo, Kragujevac, Pancevo, Bela Palanka, Surdulica and Vladicin Han.

**The requirement for schools to incorporate dropout prevention activities into individual education plans has been adopted into law and scaled-up nationally (the intended pathways to scale) although without the level of implementation support and resourcing for schools that UNICEF judged necessary for the DOP model to be fully effective.**

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Each of the models is part of a wider programme of work, illustrated in Annex 4 by the Country Programme 2016-2020 theory of change. In 2015, UNICEF developed its Country Programme Document (CPD) jointly with government partners for the period 2016-2020. The CPD was designed to be aligned with key government strategies, notably the EU accession process, the sustainable development goals, and UNICEF's Strategic Plan 2014-2017. The CPD 2016-2020 is to a large extent a continuation of strategies endorsed by the previous Country Programme and the comprehensive Mid-Term Review conducted in 2013.

The overall goal of the Country Programme is to support the efforts of Serbia to promote and protect the rights of all children and to give all children equal opportunities to reach their full potential. The Programme focuses on supporting vulnerable children from the very start of life and enhancing the social welfare system's capacity to prevent vulnerable families from falling below the poverty line. UNICEF strategies for unlocking bottlenecks to the realisation of child rights include advocacy, partnership, leveraging

<sup>8</sup> Indicative list outlined in the UNICEF Country document: A Second Chance for Juvenile Offenders in Serbia (N.D.)

resources, capacity development, evidence generation and modelling/piloting innovative solutions.

The primary audience for and intended users of the report are UNICEF Country Office staff in Serbia. Secondary audiences are UNICEF Regional Office for Europe and Central Asia, UNICEF headquarters, the government of Serbia including line ministries and state bodies, and other stakeholders involved in modelling and scale-up. The ultimate beneficiaries are the rights holders who benefit, or could benefit, from the models. The intended uses of the evaluation are:

- For learning about and improved decision-making in modelling and scale-up
- To inform scale-up strategies for the exemplar models including the work of government and other partners
- To identify lessons learned and good practice for national, regional and other stakeholders already implementing or interested in applying modelling.

The scope of the evaluation reflects the ToR and decisions made during the inception period and documented in the inception report, particularly the focus on the five exemplars, and the chronology reflecting the periods of modelling for them. The remit of the evaluation did not extend to reviewing existing data sources on the scale of delivery of those models still being implemented, nor to primary data collection on these points. The evaluation relied on information from previous reports. The remit also did not extend to include other models, and areas of activity not identified as being part of the modelling process.

## 1.3. Evaluation methods

### 1.3.1. Evaluation methodology

The evaluation is not a conventional evaluation of a single model, but a formative evaluation of the process of modelling as undertaken by the Serbia Country Office, using the five exemplar models. It does not therefore focus on the impacts of the models themselves, but on the impacts of modelling as a process.

The key element of the evaluation methodology is the use of implementation science. Implementation science is the study of methods to promote the adoption and integration of evidence-informed practices, interventions, programmes and policies into routine care and service settings to improve population outcomes, and covers programme design, piloting, implementation and scale-up. This includes an extensive body of published, peer-reviewed literature about what it takes to scale-up programmes, the barriers and challenges involved, effective strategies, and the determinants of effective scale-up. It addresses the challenges of moving from small-scale delivery in idealised and tightly managed conditions, to scale up through existing systems, structures and resources. This evidence establishes what is required for effective scale-up and is therefore a key resource used in the evaluation. The analysis of modelling is situated within this wider evidence of ‘what works’ in modelling and scaling-up interventions.

Implementation science was operationalised in the evaluation in two ways. First, the published evidence on what works in scaling-up was synthesised, and the synthesis used to build the analytical framework (the ‘UNICEF Scale-up Framework’) against which each of the models was assessed. An analytical framework synthesising evidence about what works in scaling-up is required to address several of the evaluation questions set out in Table 1 above:

- What is emerging as consensus internationally as the important stages and strategies required and determinants of successful scale up?
- How do these relate to the context of UNICEF's programs in Serbia including consideration of gender perspectives and achievement of equity- and child rights-based impact?
- Are these stages, strategies and determinants addressed in the sampled models' design and in the approaches taken to modelling?

A framework based on synthesis of the international evidence is also needed to address other evaluation questions:

- Is the SQN a useful and sufficient framework for guiding UNICEF's modelling efforts?
- How are the stages, strategies and determinants of effective scaling reflected in the SQN?
- What if anything is missing or could be strengthened to provide a framework for modelling for scale-up that includes the achievement of equity- and child rights-based impact?
- What are the key criteria for assessing the feasibility of the sampled models for scale-up?
- How feasible are the sampled models for scale-up?
- For those considered feasible for scale-up, what would scale up involve in the context specific to Serbia's Government systems and structures (particularly in the areas of governance and financing) in the next program cycle?

The most robust approach to addressing these questions is by explicit reference to evidence from implementation science. Alternative strategies, such as addressing them by reference to UNICEF teams' plans, or by reference to the views and perceptions of stakeholders without a particular analytical framework, or by reference to the SQN, would lack rigour and objectivity. The SQN was therefore not used as a primary framework for the evaluation.

The second way in which implementation science is used in the evaluation is in the recognition that a pre-condition for scale-up is an implementable model. The key determinants of effective implementation are summarised in a number of syntheses or frameworks, of which one of the best tested is the Consolidated Framework for Implementation Research (CFIR).<sup>9</sup> CFIR identifies the determinants of effective implementation as being:

- The innovation: its complexity, adaptability, costs and other factors
- The staff involved in implementation: their beliefs, attitudes, knowledge and skills
- The inner organisational context for implementation: including factors such as capacity, leadership and usual work

<sup>9</sup> Damschroder, L.J., Aron, D.C., Keith, R.E. et al. Fostering implementation of health services research findings into practice: a consolidated framework for advancing implementation science. *Implementation Sci* 4, 50 (2009). <https://doi.org/10.1186/1748-5908-4-50>

- The outer environmental context: policy, funding, legislation etc.
- The implementation process itself: the processes and resources required for effective implementation.

CFIR informed the design of research instruments that were used in research with local implementation sites – see further below.

The evaluation used a mixed-methods approach. Documentary analysis was used to collate information about the models, the approach to and findings from evaluation, and planning and governance tools and how they were used, and to provide wider context. Qualitative research with UNICEF personnel and stakeholders was used to provide flexible exploration of the processes involved in modelling, and flexible application of the key evaluation criteria, in ways that reflect and gain value from the diversity between the five exemplar models, and the diversity in stakeholders’ perceptions. Scaling-up involves collaboration between a number of stakeholders and cannot be the work of a single agency or population, and using qualitative methods allowed this diversity to be captured. A short online survey was used to collect further standardised information from local implementation sites.

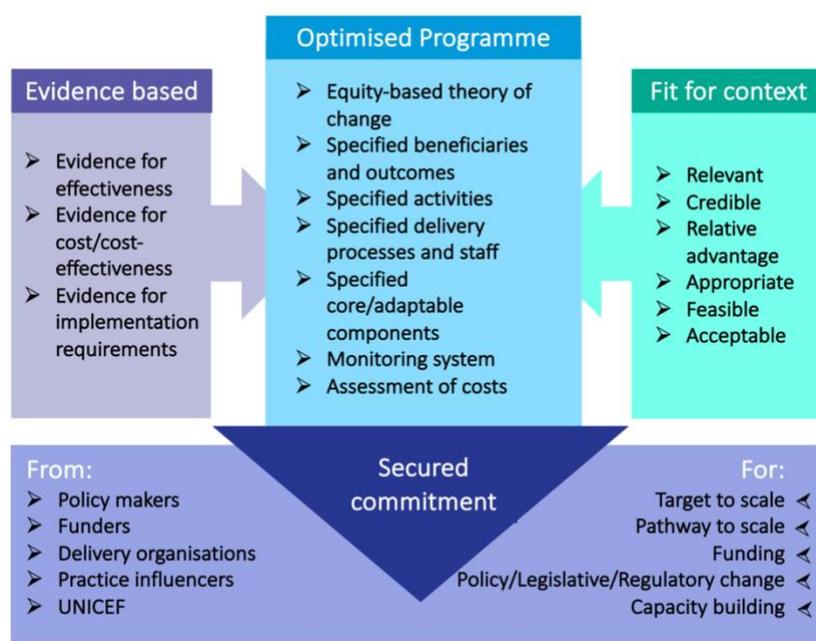
These methods were triangulated in analysis, bringing together findings from different methods to provide a more rounded analysis, and where possible drawing comparisons between methods. Alternative approaches, such as conducting the evaluation only through documentary analysis or only through structured quantitative questionnaires, would not have enabled the exploration of the diversity of perspectives that are intrinsic to effective scale-up. The range of methods used and the use of triangulation also adds credibility to the research and provides a check on accuracy. The evaluation team consisted of a total of eight members. Interviews and analysis were undertaken by six team members. The initial findings from the evaluation were presented to UNICEF Country Office and Regional Office staff in four presentations, and these aspects of the methods additionally provide credibility and validation and support accuracy.

### 1.3.2. Inception period

The evaluation began with an inception period which involved:

- Desk review of model documents and other relevant documents (see Annex 7 for a full list of documents reviewed in the inception and evaluation phases)
- A 4-day inception mission in February 2020 to meet with the UNICEF Country Office teams and key stakeholders
- Development of a theory of change for modelling (shown in Annex 2)
- Development of the UNICEF Scale-up Framework. This is a summary of the evidence (from selected syntheses or frameworks) about the necessary steps, strategies and determinants for effective scale-up. It outlines what UNICEF needs to have achieved by the end of the modelling process and is the main assessment framework used in this evaluation. The version of the UNICEF Scale-up Framework used in the evaluation is shown here. A slightly modified version, revised in light of learning from its application in the evaluation, together with explanation of how it was developed, is provided in Annex 8. The UNICEF Scale-up Framework is highly compatible with the OECD/DAC evaluation criteria as applied to individual models or interventions – see further Annex 8.
- Preparation of an Inception Report

**Figure 1.1 UNICEF Scale-up Framework**



### 1.3.3. Evaluation: elements of work

#### Use of the theory of change

The theory of change informed the aspects of modelling that were explored in the evaluation, particularly in the review of documentation and interviews with stakeholders. The evaluation reviewed whether the inputs and activities described in the theory of change were available or carried out and in what forms. It also reviewed whether the intended outputs were created or achieved, and whether the intended outcomes and impacts were secured. The evaluation team refined the theory of change in light of findings of the evaluation.

#### Review of model documentation

The evaluation team reviewed documentation for each model provided during the inception period. To ensure inclusion of all relevant documents in the evaluation, the three relevant UNICEF teams (Child Welfare, Early Child Development and Education) then completed a checklist for the exemplar model/s (Annex 9) to show which documents and elements of work had been completed. This identified further relevant documents that were then reviewed by the evaluation team. The evaluation team summarised key points from this document review relating to each model and its evaluation, and reviewed documents further to explore issues emerging from stakeholder interviews.

#### Review of further governance, planning and strategy documents

The evaluation team also reviewed a number of governance, planning and strategy documents provided by UNICEF during the course of the evaluation. A full list is shown in Annex 7. Key points from these documents were summarised, and the team reviewed planning documents further to identify whether and how issues emerging from stakeholder interviews and from further analysis were referred to in governance documents.

### Interviews with UNICEF teams and senior leaders

Interviews were held with the head and members of each of the three relevant UNICEF programme teams in June 2020 (the teams responsible for the development and modelling of the five exemplar models), and the Representative and Deputy Representative of the UNICEF Serbia CO in September 2020.

### Interviews with systems stakeholders and local implementation stakeholders

Between August and October 2020, 40 interviews were conducted with key system-level and local stakeholders engaged in the modelling phase. Participants were identified by the UNICEF teams. They included representatives from Ministries, national sector bodies, partner NGOs, research groups and local implementation partners. The roles of stakeholders in modelling varied, and included: partnering with UNICEF in the selection and development of models; responsibility for implementing models within local services; undertaking evaluation or associated research; funding implementation or evaluation; providing strategic support to modelling; and involvement in strategic discussions and decisions.

Some interviews covered more than one model, and some involved more than one participant. A total of 54 participants took part in an interview. The number of participants per model is shown in Table . A list of all the organisations involved is shown in Annex 10. Overall, of the sample of 54 participants, 44 were women and 10 were men.

**Table 1.3 Number of interviews and participants involved**

Model	Systems stakeholders Interviewed (n)	Local implementation stakeholders Interviewed (n)
 FOW	5	5
 IFC	4	6
 DM	10	5
 ECI	8	7
 DOP	3	1

The coverage of the interviews was shaped by the evaluation questions and by the UNICEF Scale-up Framework and SQN. Box 1.2 outlines the themes covered by interviews with each participant (stakeholder) cohort.

## Box 1.2 Topics covered by interviews

- **Interviews with UNICEF teams and senior leaders**
  - Model initiation and development: beneficiary population, outcomes, partners, delivery and scale-up model
  - Modelling activity: aims, activities, key learning, barriers and facilitators to implementation, outcomes
  - Evaluation and model evidence
  - Scale-up plans: barriers, facilitators, activities required, overall readiness for scale-up, viability
  - Key learning and reflections
  
- **Interviews with UNICEF senior leaders**
  - Objectives of modelling
  - Country context challenges relevant to modelling
  - Levers for influence
  - Perceptions of quality and effectiveness of modelling
  - Areas for improvement
  - Overall viability of modelling
  
- **Interviews with systems stakeholders and local implementation stakeholders**
  - Involvement in initiation, development and modelling of exemplar model/s
  - Perceptions of the model
  - Views about desirability of scale-up and activities required
  - Examples of other programmes successfully scaled-up
  - Overall readiness of the model for scale-up and viability

Further information about the methodology for the conduct of interviews (details of the sample, approach and analysis and example interview guides) is provided in Annex 11.

### Survey of local implementation sites

Following the interviews, a short online questionnaire was developed to explore implementation experiences and views about the models with individuals involved in local implementation. Coverage was informed by the UNICEF Scale-up Framework and by a key implementation framework, the Consolidated Framework for Implementation Research (see above section 1.4.1). The sample was provided by the UNICEF teams. Because the focus was on practical implementation experience, the survey only covered models currently being delivered. The survey did not include the Family Outreach Worker model, and only minimal coverage of the Intermittent Foster Care model as sites currently delivering these models were previously involved in interviews. A total of 39 complete responses to the survey were received (Table ).

The survey included questions about:

- Perceptions of the model
- Quality of programme resources and support
- Collaboration with other organisations in delivery
- Fit with organisational priorities and work

- Barriers to continued delivery

Further details about the survey methodology are provided in Annex 8.

**Table 1.4 Survey sample profile**

Model	Number	% of sample	Organisation	Number	% of sample
FOW	0	0	School	19	58
IFC	5	13	Pre-school	6	18
DM	1	3	Health centre	3	9
ECI	12	31	Centre for Foster Care & Adoption	3	9
DOP	21	54	Centre for Social Work	1	3
			NGO	1	3
<b>Total</b>	<b>39</b>	<b>100</b>	<b>Total</b>	<b>39</b>	<b>100</b>

### Analysis of financial systems

The analysis of financial systems involved desk-based review of documents concerning the funding sources available in the public system at national and local levels, international financing institutions, major NGOs and donors, public-private partnerships and private financial systems. This was complemented with conversations with key contacts of the evaluation team member who led this element, to obtain further information. Additionally, the costing analyses already undertaken by UNICEF were reviewed. List of documents reviewed and organisations from which participants were interviewed can be found in Annexes 7 and 10 respectively.

### Triangulation, validation and development of findings and recommendations

Most of the analysis drew on more than one data source. The way in which data sources were brought together varied. For some evaluation questions, the lead data source was the documentary analysis. Here the team reviewed and summarised the content of key documents, noting what was absent as well as what was reported. Other research questions drew more on the qualitative data. Here the team reviewed consistency and difference in the data from different study populations (for example, assessing whether assessments of stakeholders were consistent across stakeholders from different settings, and consistent with data from UNICEF personnel). Where relevant, the coverage or absence of key points in model or governance documents was also noted. In this way different data sources were brought together to substantiate, contrast or add to each other.

The interim findings were presented to the three UNICEF programme teams and to representatives from the Regional Office and UNICEF Headquarters, in four presentations. This provided validation of the evaluation team's interpretation, an opportunity to identify any inaccuracies, and further refinement of interpretation and recommendations.

#### 1.3.4. Gender equality considerations

Gender equality was taken into account in the methodology in a number of ways:

- The methodology and conduct were informed by the UN-SWAP standards and gender equality and the empowerment of women considerations<sup>10</sup>

<sup>10</sup> United National Evaluation Group (2018) UN-SWAP Evaluation Performance Indicator Technical Note

- The evaluation team reviewed model evaluation reports to identify findings about the research and impact of models disaggregated by gender, and implications for model development and scale-up
- Gender and wider equity issues were explored in discussions with UNICEF teams and leaders
- They were also explored in interviews with stakeholders
- The team ensured that research instruments were gender-neutral, and stakeholder participation was monitored to ensure that women were not under-represented
- Strategy documents, plans and other documents pertinent to modelling were reviewed to identify gender issues or considerations highlighted
- Gender and wider equity issues were considered in data analysis and interpretation, and gender implications of plans for scale-up are highlighted in the analysis in Chapter 7

Further ethical issue considerations are set out in Annex 12.

### **1.3.5. Stakeholder involvement and reference group**

Key stakeholders in the modelling process, both within UNICEF and externally, were all informants in the evaluation and took part in interviews or the survey. The UNICEF teams led the modelling process for the exemplar programmes. They were involved in the inception phase, took part in group interviews lasting around 90 minutes, provided further information and documents during the course of the evaluation, took part in sessions to discuss the findings, and provided commentary on an early draft of the report.

The roles of external stakeholders in modelling varied, and included: partnering with UNICEF in the selection and development of models; responsibility for implementing models within local services; undertaking evaluation or associated research; funding implementation or evaluation; providing strategic support to modelling; and involvement in strategic discussions and decisions. These stakeholders either took part in an hour long interview or completed the online survey (estimated 15 minutes); a few were also involved in a meeting during the inception phase.

Given the extensive involvement of stakeholders in the evaluation itself, a small external reference group was established but it was not government-led given the centrality of government perspectives on modelling in the evaluation itself. The reference group advised on the early design stages and reviewed the final report.

### **1.3.6. Strengths and limitations of evaluation and methods**

The strengths of the evaluation methods are:

- The use of evidence-based frameworks and concepts from implementation science to understand and explore the processes and determinants of scale-up. This meant that issues were uncovered that had not been addressed in-depth in previous evaluations.
- The focus on five exemplar models provided tangibility and depth to discussions of modelling and scale-up, making them more concrete and less abstract.

- The range of methods used, including qualitative interviews, paired interviews and focus groups; online survey; extensive documentary analysis, provided diversity and support credibility, validation and accuracy.

The evaluation design had some limitations:

- The focus of the evaluation was on models, rather than on themes or wider programmes of work. A key finding was that modelling needs to be explicitly oriented to the wider ambitions behind models. These are represented in UNICEF's work by themes or programmes. The focus on models means that the evaluation team was not fully sighted on this wider work.
- The evaluation did not service users or beneficiary children and families, as this was not feasible within the project resources, although their perspectives were to some extent captured in existing model evaluation reports.
- The evaluation mainly used a qualitative methodology, which captured in-depth contextualised data, but meant that data was not standardised and quantifiable. The number of interviews conducted per model was limited. Interviews were either conducted in English (not the first language of interviewees), or in Serbian (transcribed in Serbian with summaries translated in English), which affected the richness of data available.
- Samples were provided by UNICEF so that those more relevant and involved in modelling could be interviewed, although this is likely to orient the sample to individuals with more favourable perceptions of modelling and of the model.
- There were gaps in the data available. For example, gender and equity issues were not addressed in depth in any of the model evaluation reports that were reviewed. There was very limited data on the gender-related reach of the models (none for most) and no data on the gender-related impacts of the models
- The UNICEF Scale-up Framework which shaped the evaluation had not previously been tested or validated, although adaptations were made in its use to include other items reflecting key aspects of scale-up work or requirements, and to modify concepts and language in the light of learning from fieldwork.

## 1.4. Report structure

Chapter 2 provides a brief analysis of the national context of Serbia, covering social, political and financial considerations. It draws on documentary review supported by some further intelligence from key informants.

Chapters 3 to 6 are the main chapters reporting evaluation findings. They follow the structure of the UNICEF Scale-up Framework since this represents the analytical framework used in the evaluation. They address, in turn, the domains set out in the UNICEF Scale-up Framework. Chapter 3 reviews whether modelling resulted in programmes that were optimised and ready for scale-up. Chapter 4 addresses whether modelling built the evidence base needed for scale-up. Chapter 5 considers whether modelling results in models that were acceptable to and fit for the national context. Chapter 6 summarises evidence about whether modelling resulted in the necessary commitments for scale-up being secured.

The implications of findings from these four chapters are then discussed in chapter 7. It provides a summary analysis of each model and its feasibility for scale-up and outlines the work needed for each model to take forward scale-up. The chapter then draws together findings and implications for how modelling could be strengthened. Chapter 8 sets out conclusions, lessons learnt, and eight recommendations.

## 2. Serbia national context

This chapter provides a summary of the national context of Serbia, reviewing the social, gender and equity, and financial contexts of UNICEF's modelling work. It draws mainly on documentary analysis.

### Chapter summary

- The highest rates of poverty are among children and youth, in South-Eastern Serbia, and in households headed by someone with limited education, unemployed or inactive. Children from poor families and Roma children encounter substantial obstacles to accessing education.
- The number of children in alternative care continues to rise, albeit at a decelerating rate, and with uneven progress in de-institutionalisation. Juvenile crime is declining, although the share accounted for by girls is rising.
- Despite efforts to de-centralise responsibility for social protection, education and health, central government has by far the largest role in financing these areas.
- Local governments' role in the area of health and education is limited to capital expenditures. Municipalities have more room to intervene in funding social care, although this has not resulted in significant funding levels. In half of municipalities, less than 0.37% of the budget is dedicated to social care services, and 29 local governments allocated no funding to social care.
- Almost two thirds of all public expenditure is directed toward social spending (social protection, education and health) but half of that is directed to pensions. Public spending on social services is very limited.
- Besides European Union, which is the single most important donor, Serbia benefits from assistance from various other multilateral and bilateral donors. Private public partnerships are at an early stage, focused on physical infrastructure.

- The new Law on the Planning System introduces the principle of coordination and cooperation, with a focus on economic strengthening and education and on aspects of social protection including the social care, seasonal employment reforms and housing and pre-school. The fiscal strategy for 2021 does not suggest planned increases in social protection expenditure and continued restraint is likely.
- There is a clear annual calendar of milestones for budgetary planning. However, levels of transparency and public participation are low, which highlights the complexities of intervening to address financial allocation.

## 2.1 Serbia social context

### 2.1.1. Social and political framework

Serbia is a democratic, upper-middle income country with a total population of just under 7 million in 2019 (mid-year), with negative population growth rate of -5.3, and infant mortality rate of 4.8 per 1000 live births. Population ageing is one of the demographic challenges, with increased older population dependency ratio (from 24.7 in 2002 to 31.8 in 2019) and relatively high average age of the total population - 43.3 years in 2019. Over half of the population lives in urban areas.

Serbia is a unitary decentralised state with central government and two autonomous provinces, and a system of local self-government consisting of 174 local self-government units. Serbia was granted status as a candidate country for EU accession in March 2012, and over the past decade has been making steady progress towards social, economic and political development and reform, and greater regional cooperation. In areas relevant to child rights, Serbia has made efforts to reform legislation and public policy including legislative changes with regard to education, social policy, health, justice and anti-discrimination provisions.<sup>11</sup> National legislation is largely compliant with international standards, incorporating principles of a child-oriented approach, respect for human rights and social inclusion.<sup>12</sup>

During the last two decades Serbia has significantly improved the legal and policy framework for combating discrimination, social exclusion, and gender inequality. The country ratified several United Nations human rights conventions, including the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW), Convention on the Rights of the Child (CRC) and Convention on the Rights of Persons with Disabilities (CRPD). It has been regularly reporting to these international human rights mechanisms. However, there are many challenges that remain and require further decisive action.

### Poverty

Poverty is twice as common in non-urban areas (10.5 percent versus 4.9 in urban areas), and higher in South-Eastern Serbia, among children up to 14 years of age, youth (15-24 years), households headed by someone with a low education level, unemployed or inactive. Poverty is also slightly higher among women than men (7.2% vs. 6.9%). Some 120,000 children (aged 0-18) and 40,000 youth (aged 19-24) lived in absolute poverty in 2017.<sup>13</sup>

<sup>11</sup> UNICEF Serbia (2017). *Situation analysis of children in Serbia 2014*. UNICEF. <https://www.unicef.org/serbia/en/reports/situation-analysis-children-serbia-2014>

<sup>12</sup> UNICEF Serbia (2017). *Situation analysis of children in Serbia 2014*. UNICEF. <https://www.unicef.org/serbia/en/reports/situation-analysis-children-serbia-2014>

<sup>13</sup> SIPRU, Assessment of poverty, living standard and response to COVID-19 pandemic, [http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/10/Ocena\\_kretanja\\_siromastva\\_CIR.pdf](http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/10/Ocena_kretanja_siromastva_CIR.pdf)

## Education

Children from poor families and Roma children still encounter substantial obstacles concerning access to education, attendance, the quality of education they are offered and in their progression. As a result, many students fail to meet initial expectations and are then frequently directed into programmes and education plans intended for students with learning disabilities, or drop out from school. Children from vulnerable groups who are most in need of additional support for early development and learning are the least involved in pre-school education, which suggests that they face high inequity. According to Multiple Indicator Cluster Survey (MICS) data from 2019, only 10.5% percent of poorest children (age 36-59 months) attend pre-school, and only 7.4% of Roma children, and 45.9% children from rural areas attend pre-school.<sup>14</sup>

The 2019 MICS showed that only 85.4% of Roma children have timely primary school entry. The enrolment rates have been improving as this is an increase compared to the 2014 MICS when timely entry was registered among 69% of Roma children. However, gender differences are prominent with a slightly lower proportion of girls entering primary school on time than boys (82.33% vs. 86.3%). Only 63.7% of Roma children complete primary school compared with 99.5% for all children. The proportion of adolescents attending secondary school is 94.1% for the general population, with gender differences slightly in favour of boys (94.7% vs. 93.3% for girls). The completion of secondary school rate is 98.4% for boys and 97.0% for girls. The net attendance of secondary school is much lower among Roma children - 28.4%, with gender differences (30.0% among boys and 26.6% among girls).<sup>15</sup> Child marriage is a key reason for this. According to 2019 MICS, 15.9% of Roma women old between 15 and 49 years were married before age of 15 years, and 55.8% before age of 18 years.<sup>16</sup> In Serbia child marriage among predominantly Roma population is mostly driven by poverty, level of education (Roma girls are at particular risk of school dropout around the ages of 12-14), and gender norms.

Administrative data show that one third of pupils aged 15 are functionally illiterate. This points to an education of inadequate quality that requires further modernisation of the curriculum and teaching methods and intersectoral coordination to support inclusion and prevent dropout.

Since the introduction of inclusive education in 2009, the number of students in special schools decreased by 25.3%. The structure of students in special schools has also changed since 2009, shifting towards children with multiple disabilities.

## Out of home care

Since 2013 the overall number of children in alternative care has continued to increase, although at slower pace than in the previous period. In 2018, 89.5% of children without parental care were placed into foster families and 9.6% into residential institutions. Despite challenging circumstances, clear progress has been made towards de-institutionalization. However, this process has not been felt equally by all children. There remains a slightly higher number of boys predominantly among children with disabilities in both residential and foster care. Despite the introduction of a ban on placing children under-three years of age (2011) in institutional care, it continues to occur. In 2019, among children without parental care placed in residential institutions, 4% were younger than 3 years.<sup>17</sup>

## Juvenile crime

According to official statistics, there were 2,903 juvenile criminal reports, and 1,676 convictions in Serbia in 2019. Most reports and convictions are for boys (90.6% of

<sup>14</sup> UNICEF, SORS, MICS 2019, [https://www.stat.gov.rs/media/5611/mics6\\_izvestaj\\_srbija.pdf](https://www.stat.gov.rs/media/5611/mics6_izvestaj_srbija.pdf)

<sup>15</sup> UNICEF, SORS, MICS 2019, [https://www.stat.gov.rs/media/5611/mics6\\_izvestaj\\_srbija.pdf](https://www.stat.gov.rs/media/5611/mics6_izvestaj_srbija.pdf)

<sup>16</sup> UNICEF, SORS, MICS 2019, [https://www.stat.gov.rs/media/5611/mics6\\_izvestaj\\_srbija.pdf](https://www.stat.gov.rs/media/5611/mics6_izvestaj_srbija.pdf)

<sup>17</sup> UNICEF, SORS, MICS 2019, [https://www.stat.gov.rs/media/5611/mics6\\_izvestaj\\_srbija.pdf](https://www.stat.gov.rs/media/5611/mics6_izvestaj_srbija.pdf)

convicted cases).<sup>18</sup> The trends in the number of reports and convictions since 2013 are not linear but are in decline overall (13.5% decrease in reports since 2015). For juvenile criminal convictions there is a small but continuing increase in the share of girls (from 7.4% of all convicted in 2015 to 9.4% in 2019).

## 2.2 Political and financial context

### 2.1.2. Public finance systems: central and local government responsibilities

Overall public expenditure in Serbia amounted to 43.4% of gross domestic product (GDP) in 2018, relatively high compared to the level of development and explained by the legacy of socialism. Social spending amounted to approaching 24.2% of GDP, of which the largest share was for pensions (10.4% GDP). Spending on health was 5.5% of GDP and on education 3.3%.

**Table 2.1 General Government Expenditure by Function, 2018**

	% GDP	RSD (billion)	EUR (million)
General services	6.7	339.556	2829.633
Defence	1.5	76.02	633.5
Public order and safety	2.6	131.768	1098.067
Economic affairs	5.6	283.808	2365.067
Environment	0.3	15.204	126.7
Housing and communal services	1.5	76.02	633.5
Health	5.5	278.74	2322.833
Sport, culture, religion	1	50.68	422.3333
Education	3.3	167.244	1393.7
Social protection	15.4	780.472	6503.933
<b>Total</b>	<b>43.4</b>	<b>2189.376</b>	<b>18244.8</b>

<sup>18</sup> Statistical Office of the Republic of Serbia, Judicial statistics, Minor offenders 2019, <https://publikacije.stat.gov.rs/G2020/Pdf/G20201194.pdf>

## Health care

Health care in the Republic of Serbia is based on the principles of universality and solidarity, and the right of citizens to physical and mental health is a matter covered by the constitution. The health care system covers the entire territory of the country with primary, secondary and tertiary health care. It is an extremely complex system whose regulation includes a number of complementary laws and bylaws. This is a clear challenge for monitoring the system and its financing and understanding the functional relationships between its elements.

Health care is financed from three sources: compulsory health insurance funds, public funds, and private funding by citizens.

Health insurance is compulsory for all citizens who have income, including wages, pensions, benefits, etc., although those without an income can also make contributions. Family members of the insured have the rights from the obligatory health insurance if not on another basis. The Minister in charge of health care decides on the scope and content of health services that are funded from compulsory health insurance. The National Health Insurance Fund contracts with health care providers, generally those that are part of a network established by the Government. At the end of 2017, the Fund had more than 6.9 million insured persons, almost the entire population of Serbia.

The budget of the Republic of Serbia funds health care for groups of the population that are exposed to an increased risk of illness, prevention, suppression, and treatment of diseases of greater public importance, as well the socially vulnerable, children, those over 65 years of age, the unemployed and Roma who, due to their traditional way of life, do not have a permanent or temporary residence in the Republic of Serbia.

The role of autonomous province and local self-government units is limited to providing emergency medical care, health care planning and development activities, preventive measures in the immediate living environment, etc. In previous regulations, the role of local authorities in health care was more significant, but local capacities proved to be insufficient to ensure an adequate level of universality, and a centralised model was adopted.

Further financing comes from founders of public health institutions who provide business premises, equipment, construction, and investment maintenance. Citizens can also fund health care through direct payment for services, i.e. voluntary health insurance.

Total health care expenditure increased during the first decade of the 2000s as a consequence of the recovery of the previously devastated health care system, the growth of the population's purchasing power and the change in the structure of health care spending. In the second decade of the 2000s, a downward trend followed, which can be explained primarily by the growth of GDP, but also by the reduction of other indicators such as the number of health care staff. Between 2014 and 2018, the number of doctors was reduced by 630, and the number of other medical staff was reduced by more than 3,500. Expenditure on health care fell by over 3 billion dinars annually. The number of visits to the doctor in 2018 was 4 million fewer than in 2014, and the number of hospital days 390,000 lower. The only increase was in infrastructure investments: the number of hospital beds increased by 1300.

Over the past two decades, the share of public expenditure accounted for by health care expenditure decreased from 70.9% in 2003 to 57.6% in 2017. Private consumption rose from 29.1% of total health care expenditures in 2003 to 42.4% in 2017. This suggests that increasing expectations to which the state is not ready to respond. The COVID-19 pandemic will increase the total spending on health care from 2020.

## Education

The Constitution stipulates that primary and secondary education is free, and higher education is also free for gifted students of lower financial status. Enrolment of children in a preschool institution is mandatory in the year preceding the start of primary school, i.e. children aged 5 to 6.5 years. The education strategy in the Republic of Serbia envisages compulsory secondary education, but this has not yet been introduced into the legal framework.

Finance for education comes from the budget of the Republic of Serbia, the autonomous province and local self-government units.

From 5 to 6.5 years, pre-school education is free and mandatory for all children for 9 months and 4 hours per day. Pre-school education is free for children with disabilities who should, by law, be prioritized for enrolment. Funds are allocated from the central budget for this. The local self-government provides up to 80% of funds for the pre-school education of children aged 0.5 until the beginning of mandatory pre-school, determined on the basis of criteria adopted by the Minister. The remaining amount is usually paid by the parents. The local self-government also finances additional support, transportation of children and investments for public institutions.

The costs of primary education are borne by the central government or the autonomous province. This includes salaries and compensations of employees, development programs of the institution, professional training and investment projects. The law stipulates funding from the central budget to support especially talented primary school students in the form of non-refundable financial aid prescribed by the Minister, but this practice has not taken root. The local self-government bears the costs of investment and current maintenance of the school as well as other current expenses. Also, from these sources, funds are allocated for a part of professional training and a smaller part of expenses for employees. Local governments provide transportation of students for a distance of more than four kilometres, i.e. transportation, accommodation and nutrition of children and students with disabilities, regardless of distance.

Secondary education is financed from the central budget and the budget of the autonomous province in the same way as primary education. Funding for especially talented high school students in the form of non-refundable financial aid is functional, in contrast to the same measure intended for primary school pupils. The local self-government has no obligation to provide transportation for students, although this can be funded in accordance with local policies.

According to the Third National Report on Social Inclusion and Poverty Reduction, applying the methodology of the European Union, estimated public expenditures on education at the level of the Republic of Serbia in 2015 amounted to 3.9% of GDP, which is below the average public spending at the EU-28 level of 5.09% of GDP. According to the Ministry of Finance, total public expenditure on education in 2017 amounted to 3.98% of GDP. In terms of education level, 16.4% of total expenditures are allocated to pre-school education, 43.2% to primary education, 18.8% to secondary education and 14.5% to higher education. The fiscal strategy for 2021-2022 plans to increase education expenditures at the expense of social protection expenditures, which will be reduced due to better targeting of cash transfers.

## Social Care

Support to citizens in the field of social protection is divided into social benefits and social services. Funds for the main social benefits are allocated from the central budget. This includes Financial social assistance, Child allowance and Allowance for other care and

assistance. Cash benefits are regulated by a separate Law on Financial Support to Families with Children, namely: Birth grant and Wage compensation during absence due to childbirth - maternity leave, parental leave and leave for special child care. The budget of the Republic of Serbia also provides funds for one-time assistance in crisis situations that have caused a threat to a large number of citizens.

The aim of reforms over the last two decades in the area of social services was to allow the plurality of service providers and contribute to de-institutionalisation by reducing the reliance on large residential institutions, and instead develop community based services, whilst reducing the role of the Centres for Social Work (CSW).

The central budget provides funds for foster care as well as for counselling and training for foster families and adoptive parents, and residential care and supported housing for people with disabilities in less developed local communities. The budget of the Republic of Serbia provides funds for case management in CSW, funds for the work of institutions founded by the state or autonomous province, as well as funds intended for the implementation of programs for the improvements of social protection. In addition, central government finances the activities of the CSW related to the protection of the children's rights, adoption and guardianship, in accordance with the Family Law.

The provincial government funds programmes for the improvement of social protection in the autonomous province, financing of institutions established by the provincial authorities (except residential care institutions) and for innovative services and social protection services of special importance for the autonomous province.

The responsibility of the local government in terms of cash benefits refers to one-time assistance in individual cases as well as various other types of assistance regulated by local policies. In terms of social services, funds are allocated from local budgets for day care community-based services; services for independent living; emergency and temporary accommodation services and counselling/therapy and social/educational services. In addition, local authorities are funded through earmarked transfers to provide programmes aimed to enhance social protection in the local government area, and innovative services and those of particular importance to the Republic of Serbia. However, for municipalities with below average level of development, all six types of services are covered with earmarked transfers.

Central government determines the amount of earmarked transfers and criteria for allocation to local authorities (largely on the basis of population size) and which services constitute 'services of particular importance for the Republic of Serbia'. Municipalities are assigned to four categories, based on level of development. The least developed (in the 4th category) receive transfers regardless of whether they are able to co-finance social protection services from their budgets. Those in categories 2 and 3 are funded on the basis that they will supplement central funding with their own funding. Municipalities in category 1 are the most developed and do not receive any transfers. The net result is that major cities could end up receiving higher amounts of funds than they actually spent on local services.

A supplement to local funding is that every year, Ministry of Labour, Veteran and Social Affairs issues a call for applications<sup>19</sup> from civil society organisations for family protection projects at the local level. The latest call dedicated 40,000€ for these purposes.

The autonomous province of Vojvodina has more responsibility for social services, operated through the Vojvodina Capital Fund which provided funding for health and social protection among other areas. In 2019 projects in the areas of health and social protection were granted a total of around 2.1m€, and education projects around €2.9m. However, a review of the project calls<sup>20</sup> during the last five years shows that only one almost 100 calls was intended exclusively for projects in the area of social protection, and even focused on reconstruction and adaptation of residential facilities.

Overall spending on services within the mandate of local self-governments in 2018 stood at €31.1 million or 0.07 % of the GDP. Of this, day care community-based services accounted for 81% of total local government spending on social services. In half municipalities in Serbia, spending on social services within local government mandate was below €76,600 per year<sup>21</sup>, and in half less than 0.35% of their budgets is dedicated to these purposes. Only five local self-governments reserved more than 2.5% of their budgets for social services, some of these among the least developed areas of the country. Twenty-six local self-governments did not allocate any funds from their budgets for social services.

Most local governments provide only two to three services with higher number of services only in larger cities. The number of beneficiaries and funds invested has not changed in recent years in the majority of municipalities in Serbia. In 8 out of 145 local self-governments, there were no social services offered. Counselling/therapy were present in about a quarter of all municipalities and cities in 2018.

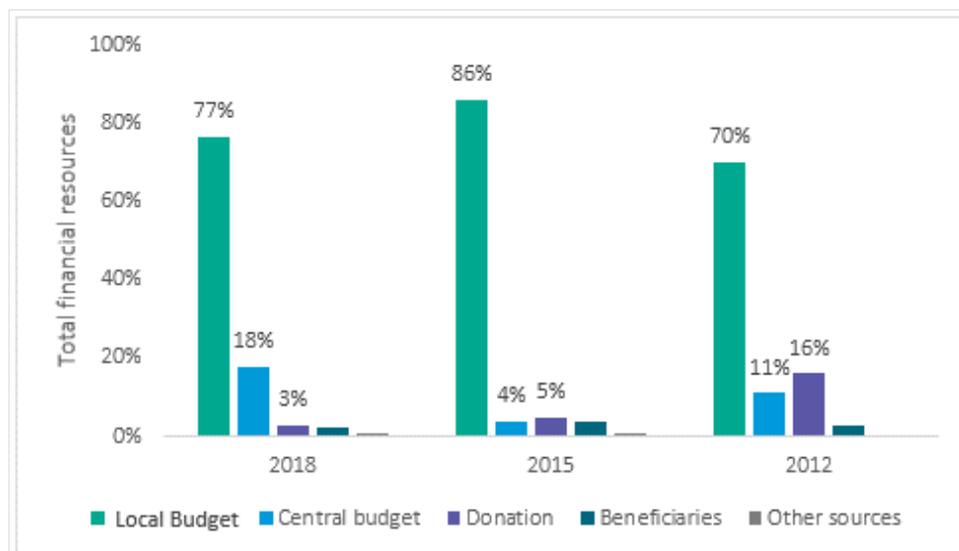
During the last decade, overall spending for social services within the mandate of local self-governments has not changed significantly in relation to GDP, although absolute amounts have grown steadily. In 2018, expenditure for local social protection services amounted to 3.65 billion dinars, increased from 2.6 billion dinars in 2015 and 2.5 billion dinars in 2012. Allocations from local government budgets for social protection services vary according to the availability of alternative sources. Municipalities and cities, from their budgets, had allocated from 70 to 86% of the total funds spent. With the growth of alternative sources of financing local services, the share of funds from the local government budget is declining while the share of funds from the local self-government budget is increases.

<sup>19</sup> <https://www.minrzs.gov.rs/srb-lat/dokumenti/predlozi-i-nacrti/sektor-za-brigu-o-porodici-i-socijalnu-zastitu>

<sup>20</sup> <https://kapitalnaulaganja.vojvodina.gov.rs/konkursi/>

<sup>21</sup> [http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/09/Mapping\\_social\\_care\\_services\\_and\\_material\\_support\\_within\\_the\\_mandate\\_of\\_LSG\\_in\\_RS.pdf](http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/09/Mapping_social_care_services_and_material_support_within_the_mandate_of_LSG_in_RS.pdf)

**Figure 2.1 Financial resources of local social services**



Source: Mapping of social protection services under the jurisdiction of local self-government units in the Republic of Serbia, 2013, 2016 and 2019.

### 2.1.3. Constraint and austerity

The large number of cases per social worker has been troubling the profession for years and has impacted on the quality of provided services. Austerity measures adopted in 2015 with the intention to curb the growing public deficit and public debt involved reduction of wages and employment in the public sector. The downsizing of the public-sector workforce was envisaged as a 5% cut each year for the three years subsequent to the introduction of the fiscal consolidation package. However, implementation has not evolved according to the plan. Instead, as anecdotal evidence and press coverage suggest, mainly individuals near retirement age have been urged to leave the public sector. This was especially the case for women near retirement age (60 years), although, by law, they had the right to retire at 65, similar to men.<sup>22</sup> Further, all new hires in the public sector have been forbidden. So, despite the fact that budgets for social services have not been under the attack of austerity measures, bearing in mind that women are the majority of the workforce in the social service sector, it seems likely that employment constraints coupled with wage cuts have had significant impact on the quality and quantity of service provisions in the recent period.

According to the Strategy (see below), one of the biggest challenges for the development of the social services at the local level is the alignment of adopted policies with the financing structure. In other words, the financing structure is not aligned with national priorities nor with expert opinion, and for example the structure of public funding for social services does not reflect the intention to de-institutionalise care for children. Allocation of funds for community-based services has somewhat increased while there was no reduction in the financing of institutional care during the last decade. Despite the aims of the previous strategy and opinions of experts in the field that beneficiaries should be placed in families and communities, finances have not followed these recommendations. Services for family accommodation and residential care institutions have secure financing from the central budget, whereas development and financing of family support services is in the mandate of local governments and depends on their capacities.

<sup>22</sup> <https://portal.pep-net.org/public/project/20000>

There has been a disequilibrium between the expectations, as presented in all strategic documents guiding the system of social services since 2000s, and the funding available. More than 75% of social services spending is covered through local budgets. In other words, it is up to local governments and their capacities to provide a framework for the normal functioning of the system of social services at the municipal level. The latest mapping of social services at the local level, performed in 2018<sup>23</sup>, confirms that these services are not sufficient, not equally available throughout the country and with varying quality among different municipalities. Provision of certain services is unstable and unsustainable. Every second local self-government has decreased spending from its budget on social services or has kept the zero-based budget compared to the 2015 mapping of the social services.

## **2.1.4. Other finance systems**

### **Multilateral cooperation**

Serbia receives assistance from numerous partners including UN agencies and multilateral and bilateral donors.<sup>24</sup> It is difficult to compare the support received, since assistance is provided in different forms, with different objectives and with different reporting methods. Serbian Government and World Bank estimates that the country receives between USD 0.5 and 1 billion each year from its development partners.

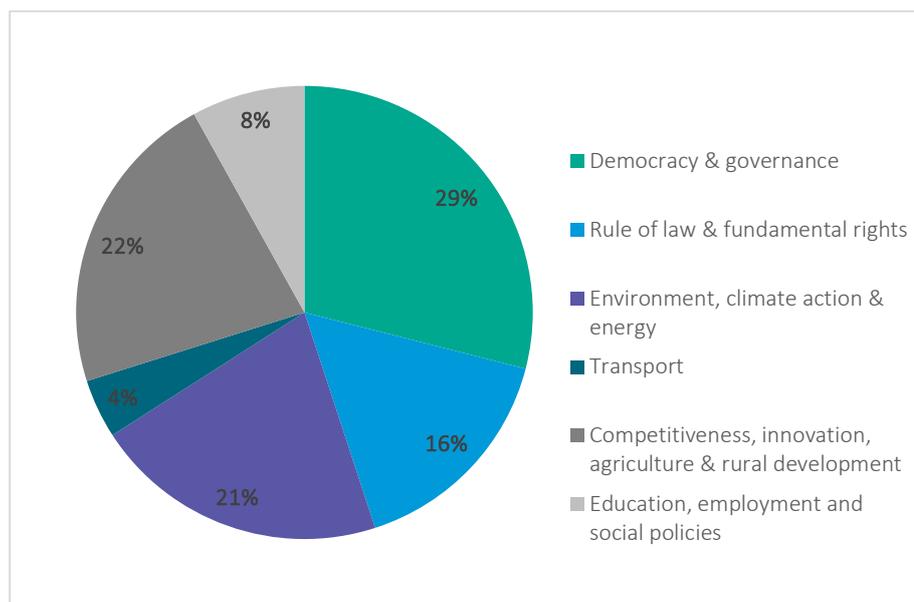
Among multilateral partners, the European Union through the Instrument for Pre-Accessions (IPA) has been the largest donor in Serbia since 2000, and Serbia is the biggest recipient of EU funds among the Western Balkans countries with €200 million annually. Since 2000, the EU have implemented projects regarding justice and public administration reform as well as physical infrastructure.

Under the Instrument for Pre-Accession Assistance (IPA) II, in the period of 2014-2020 Serbia received financial assistance of €1,539.1 billion total, including €123.7 million allocated in the area of education, employment and social policies. That is around €220 million per year or 0.6% of the Serbian GDP. Compared to government spending on similar areas, this is quite small (Table ) The main goals of the IPA II support were: harmonisation of legislation with EU law; improved quality of educational provisions; enhanced social inclusion; and active labour market policies. The main goals of the support in this area were: harmonisation of legislation with EU law; improved quality of educational provisions; enhanced social inclusion; and active labour market policies.

<sup>23</sup> Centar za socijalnu politiku, 2020, Mapiranje usluga socijalne zaštite u nadležnosti lokalnih samouprava i materijalne podrške iz budže-ta jedinica lokalne samouprave u Republici Srbiji, SIPRU tim

<sup>24</sup> Serbia Report on SDG Policy Support

**Figure 2.2 Share structure of IPA funds by sector 2014 - 2020**



Source: Serbia Report on SDG Policy Support

Most of the funds placed from the IPA to local social services are allocated from the education, employment and social policies sector. However, part of local social services is financed from other sectors such as democracy and governance as well as rule of law and fundamental rights. There is no separate allocation data available for local social services from the IPA fund. The overall share of funds from donations and on the basis of international cooperation in the costs of local social services is not high. According to data from the mapping of local social services, this source participated in the total costs with 16% in 2012, 5% in 2015 and only 2.8% in 2018.

There is currently no available report of the projects realised with IPA II funds. The European Commission proposal suggested an overall budget of €14.5 for Western Balkans and Turkey for the period 2021-2027. Recently, the Ministry of European Integration stated that by the end of June 2020 the preliminary list of priorities for financing in 2021 and 2022 would be suggested to European Commission, but no public announcement has been made on this.

Despite the fact that funds from donations (in particular Instrument for Pre-Accessions (IPA) programmes) have been recognised as important means of support for social protection projects, most local governments (especially those from the most underdeveloped areas) lack capacity to prepare and implement projects to receive this type of support<sup>25</sup>.

### **Bilateral cooperation**

Serbia receives bilateral assistance from 17 partner countries.<sup>26</sup> According to Serbia Report on SDG Policy Support, seven key bilateral partners have invested a total of \$ 427,7 million in achieving the SDGs in Serbia from 2018 to 2020. As stated in the report, it is noteworthy that SDG 1 and particularly SDG 10, both very important in tackling inequalities, poverty and social exclusion, receive a very minor part of resources from development partners.

<sup>25</sup> [https://www.swisspro.org.rs/uploads/files/73-485-ep\\_vdgg\\_social\\_protection\\_en\\_2018.pdf](https://www.swisspro.org.rs/uploads/files/73-485-ep_vdgg_social_protection_en_2018.pdf)

<sup>26</sup> MEI - By countries

Switzerland is among the most important of bilateral donors, providing financial support totalling 400 million € through its **Swiss Agency for Development and Cooperation (SDC)**. Priorities include the enhancement of the quality of life of Serbian citizens, particularly those who belong to excluded groups, through improving the rule of law at the local level, strengthening social cohesion and increasing the responsibility, transparency, efficiency and effectiveness of the local self-governments, as well as the participation of the population in the decision-making processes<sup>27</sup>.

The Swiss PRO Programme in 2019 launched a public call to civil service organisations, aimed at increasing the availability and quality of social protection services. The call supports the deliverer of new social services (not currently available in the municipalities). The Government of Switzerland supports about 20 local governments with a total of €242,000 in establishing an efficient and sustainable social protection system at the local level. Support is for a period of 1 year with a maximum grant of €12,000 per project. Each project should cover at least 500 users of social services from vulnerable groups.

### **Private sector donors: Corporations and Foundations**

The highest giving donors (2016-2020) were NIS a.d. Novi Sad, Novak Djokovic Foundation, Delta Foundation, and Dunav Osiguranje a.d. Beograd. The significance of the impact of donations is highlighted by the fact that in 2015, expenditures on counselling services increased threefold compared to 2012, largely due to donors support<sup>28</sup> for the new FOW service in four cities in Serbia (Novi Sad, Belgrade, Kragujevac and Nis). In 2015 counselling services had the highest share of donations in their financing structure, around 45% due to UNICEF programme. For other service types donations were around 2-3% of the total expenditures.

### **Private public partnerships**

Public-private partnership (PPP) is a long-term cooperation between public and private partner to provide financing, construction, reconstruction, management or maintenance of infrastructure and other facilities of public importance as well as provision of services of public importance.<sup>29</sup> In principle this could include infrastructure for educational and health institutions. In fact, there are examples of PPP in the educational system such as dual education<sup>30</sup> or that have the elements of PPP even though are not being officially regulated as such.<sup>31</sup> However, the majority of approved project proposals so far concern the reconstruction and maintenance of physical infrastructure.

Some commentators on Serbian legislation on PPP point out that there are limitations of the current framework when it comes to specific areas (education and health system).<sup>32</sup> In detailed observation of the content of the Law on public-private partnership, no direct obstacles to its application in education, health or social protection can be found.

<sup>27</sup> <https://www.swisspro.org.rs/en/onama/program>

<sup>28</sup> UNICEF launched a project with support from Novak Djokovic Foundation and implemented by the Republic Institute for Social Protection from October 2013 to 2015.

<sup>29</sup> According to the Law on public-private partnership, "Official Gazette RS " No. 88/2011, 15/2016 i 104/2016, available at [https://www.paragraf.rs/propisi/zakon\\_o\\_javno\\_privatnom\\_partnerstvu\\_i\\_koncesijama.html](https://www.paragraf.rs/propisi/zakon_o_javno_privatnom_partnerstvu_i_koncesijama.html)

<sup>30</sup> <http://tsvlasotince.edu.rs/wp-content/uploads/2019/04/giz-brosura-Vlasotince.pdf>

<sup>31</sup> Examples on LSGs which are subsidizing parents which children are enrolled in private preschool institutions remind on contractual PPP.

<sup>32</sup> Vlašković V., Milenković M., Majstorović E., Mijačić D., (2019) Case Study: Transparency of Public-Private-Partnership Projects in Serbia, Institute for Territorial Economic Development, available at <http://www.lokalnirazvoj.org/en/publications/details/56>

Nevertheless, the models offered by this law are primarily intended for large investments, and the procedure itself is too complex and expensive to be applied in the basic forms of health care, education or social protection. Therefore, PPP, as a legal procedure, is currently not suitable for application in these fields until the law is changed and a model that is conducive to smaller investments is introduced.

On the other hand, PPP, as a concept, could be implemented by relying on other regulations. The Law on Public Services<sup>33</sup> offers the possibility of establishing public services in a mixed founding structure. This means that it is possible to establish a public service whose founders are both a local government and a private entity. It should be borne in mind that public services cannot make a profit, so this type of organisation would be more appropriate for cooperation between the public sector and civil society organisations. It is also a possible way of expressing social responsibility by private companies that would at the same time participate in the steering bodies of the public service that they have jointly established with the public authorities.

Overall, this option has not been sufficiently explored, and the risks and advantages of this type of financing need to be considered carefully. Regulation will be an important consideration, and the level of public service to be provided must be in accordance with the prescribed quality standards. The readiness of the authorities to relinquish participation, in health care, education and social protection, to the private sector should be determined. This commitment of the government is not recognised in any source of public policy.

When it comes to initiating PPP in other areas, such as education or social protection on a local level, it should be carefully considered what are all the advantages and risks of this type of financing. The important part of the provision of services is regulation - The level of public service that will be provided in this way must be in accordance with the prescribed quality standards. It should also be considered that literature on Serbian legislation on PPP points out that there are limitations of the current framework when it comes to specific areas (education and health system).<sup>34</sup>

### 2.1.5. Public policy framework for social protection

Two key strategic documents that will guide the development of social protection in the following years are the Economic Reform Programme (ERP) and the Strategy of Social Protection Development for 2019-2025. These will be binding on government at all levels, but the Strategy has not yet been adopted. It should be noted that both documents were prepared before the corona virus crisis and will likely be reviewed once the scale of the crisis and its consequences are fully assessed.

#### Economic Reform Programme

The New Economic Reform Programme (ERP) for the period 2020-2022<sup>35</sup> sets out a limited number of structural reforms in the areas of social protection and education. In the area of education, mid-term priorities of the government are investments in dual (i.e. vocational and school-based) education system and digitalisation of educational system, including the development of the unique pupil number information system in education. In the area of

<sup>33</sup> Zakon o javnim službama, „Sl. glasnik RS”, br. 42/91, 71/94, 79/2005, 81/2005, 83/2005 i 83/2014“

<sup>34</sup> Vlačković V., Milenković M., Majstorović E., Mijačić D., (2019) *Case Study: Transparency of Public-Private-Partnership Projects in Serbia*, Institute for Territorial Economic Development, available at <http://www.lokalnirazvoj.org/en/publications/details/56>

<sup>35</sup> <https://www.mfin.gov.rs/dokumenti/program-ekonomskih-reformi-erp/>

social protection, there is only one structural reform – introduction of the integrated system of social cards.

### **Law on the Planning System**

The Law on the Planning System<sup>36</sup> introduces the principle of coordination and cooperation, which, among other things, implies special respect for the Government's priority goals in formulating public policies. In this regard, it is important to keep in mind the content of the Work Program of the Government of the Republic of Serbia.<sup>37</sup> In this, the further economic strengthening of Serbia is set as one of the six priority goals. In achieving this goal, the Government, among other things, emphasizes the importance of strengthening human capacity. The key role is assigned to education, while social protection is not perceived as an important element of strengthening human capacity.

One of the other goals of the government is an efficient and responsible state that includes, among other things, social and population policy. Within social policy, two priorities have been formulated. The first is the introduction of the social card as an instrument for more precise targeting of social assistance. The second is to expand the scope of seasonal employment reforms in order to reduce unemployment and dependence on state aid. The priorities of population policy are somewhat more substantial. The plan is to improve housing for young married, amendments to the Law on financial support for families with children in line with the experiences of the past few years, and the strengthening of infrastructure of preschool institutions through partnerships with employers.

Key elements of the new law on planning system are to connect policy planning with planning of the government's budget. This should allow prioritisation and more rational use of public resources. The Law requires impact analysis to be conducted during the process of planning, formulating and adopting public policies and regulations (ex-ante) as well as after the implementation of public policies (ex post) with the aim to determine its results.<sup>38</sup> This means that any decision on the introduction of new public policy has to be preceded with the analysis of its potential effects. This may provide an opportunity for UNICEF to gain traction where they have good impact data regarding models.

### **Draft Social Welfare Strategy**

The draft Strategy of Social Protection Development for 2019-2025 period recognises that services in the mandate of local governments are undeveloped and with unequal access throughout the country. Despite this gloomy picture of the current state of affairs in the service provision at the local level, the Strategy offers no clear direction for change as there are no recommendations except general claims like: "It is expected that additional funds secured thorough earmarked transfers would enable development of social services in local self-governments".<sup>39</sup> Similarly in relation to counselling/therapy, the strategy does not offer a precise direction for change, claiming that: "For the support of families with children at risk of early school leaving, and prevention of child separation, it is necessary to extend counselling-therapy and socio-educational services to other municipalities".

The new strategy is more concrete in the area of the dropout prevention and intervention. It acknowledges that the current model lacks efficiency as Centre for Social Work do not

<sup>36</sup> Available from: Zakon o planskom sistemu „Sl.glasnik RS br.30/2018.

<sup>37</sup> Available from: [view\\_file.php \(srbija.gov.rs\)](#)

<sup>38</sup> Law on Planning System. <https://www.paragraf.rs/propisi/zakon-o-planskom-sistemu-republike-srbije.html>

<sup>39</sup> *Nacrt Strategije socijalne zastite u Republici Srbiji od 2019. do 2025. godine, Inicijalna verzija.*

have enough capacity to deal with this problem on a regular basis. The strategy, thus, recommends that local self-governments with a higher share of students at high risk of dropout and children living in Roma settlements allocate larger number of workers from Centres for Social Work for these tasks. The Strategy also advises that central budget funds should be secured for these purposes.

Given the quite uneven funding of social services from local budgets across municipalities, the Strategy considers determining a minimum level of expenditures for social protection at the local level. Although no evaluation of earmarked transfers has yet been done, the Strategy questions whether financing according to the size of the municipality, rather than number of services, is the right approach. Also, the current system of public procurement practices favours offers with the lowest price, often without taking into account quality of the services. There is an undivided opinion that the existing model of financing local social services did not give the expected results. Nevertheless, there is still no initiative to thoroughly consider more effective forms of financing local social protection services. This topic emerges from stakeholders exclusively in a simplified form of distinction between funding from the central or local level of government. It is unlikely that the central government will simply take responsibility for financing the local services now used by more than 25,000<sup>40</sup> beneficiaries. Especially bearing in mind that there is a significant number of potential beneficiaries for whom these services are not currently available.

The strategy points to a number of challenges in the field of childcare. Around 30% of all beneficiaries in the social protection system are children. The high level of poverty and poverty risk of families with children was emphasised, which is especially true for families with more children and families in rural areas. In addition, it points to vulnerable groups that are not sufficiently recognised in the system or in the public, such as young drug and alcohol addicts, children caught begging, children from families with unrecognised paternity. The data show that in recent years the number of reported cases of domestic violence has increased, the high number of children without parental care, single-parent families and children with disabilities who cannot join society without support of public services. The number of children separated from their families and who are in the social protection system is continuously increasing, despite the decreasing number of children in the total population. As a result, the number of children under guardianship has increased. The gap between the decrease in the number of children in the population and the increase in the number of children in the social protection system indicates an insufficient level of support for birth families and a lack of integrative services. The strategy draws attention to the fact that families with children are provided with uncoordinated support within various systems, and that social protection services in the mandate of local self-governments in Serbia are underdeveloped and insufficiently accessible. Inadequate capacity of the Centres for Social Work is especially highlighted. The strategy proposes to address these challenges through several key areas:

- Improving cash benefits
- Development of sustainable and quality services in the community as a precondition for continuing and maintaining the process of deinstitutionalisation
- Strengthening the capacity of CSR for integrated planning and support to individuals and families, but also capacity of other social welfare institutions.
- Improving the system of monitoring needs and goals in the field of social protection.

<sup>40</sup> [http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/09/Mapping\\_social\\_care\\_services\\_and\\_material\\_support\\_within\\_the\\_mandate\\_of\\_LSG\\_in\\_RS.pdf](http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2020/09/Mapping_social_care_services_and_material_support_within_the_mandate_of_LSG_in_RS.pdf)

- Integration of services and importing support from the social protection system, with support and services from other systems

Finally, it should be borne in mind that the draft strategy has not yet been adopted and that the text has been made on the basis of data from 2016. In the meantime, numerous legislative acts have been improved and different circumstances have arisen, primarily those caused by the COVID 19 pandemic. It should be expected that the text of the Strategy will undergo significant changes until its final adoption

### **Fiscal strategy**

Contrary to the statements in the draft social protection strategy, the fiscal strategy for 2021<sup>41</sup> does not suggest a planned increase in social protection expenditures. Social assistance and transfers, excluding expenditures for pensions, were reduced during 2020 by 2.7 billion dinars compared to the projections from the beginning of the year. This is due to the reduced realization of certain categories of social protection. Such changes are quite unexpected, given the challenges caused by the epidemic. Projections of the share expenditures for social protection and transfers in GDP range from 14.1% in 2021, to 13,7% in 2023. Given the expectations of nominal GDP growth in the projected period, it can be expected that this type of expenditure will remain at approximately the same level. Given that public organization provide local social services for 58% of beneficiaries, public employee expenditures should be considered as an important indicator for social protection. According to the projection from the fiscal strategy for 2021, the share of public employee expenditures ranges from 10% of GDP in 2021 to 9.6% in 2023. Similar to expenditures for social assistance and transfers, public employee expenditures will remain at approximately the same nominal level.

In addition to the above, it should be noted that the Law on Budget System envisages the continuation of restrictive employment policy in the public sector until 2023. Another important budget item is the procurement of goods and services, given that this type of expenditure includes the procurement of social services from private and non-governmental organizations. As in previous types of expenditures, no increase is projected here either. The expected share of expenditures for the procurement of goods and services in GDP for 2021 is 7.6% and 7.1% for 2023, respectively.

Data from the fiscal strategy refer to the entire state budget and do not necessarily reflect fully on social protection. However, the Government's commitment to keeping expenditures at the current level is quite clear. The implication for UNICEF is that the adoption of a social protection proposal with a request for additional resources will need to be preceded by intensive advocacy and would ideally rely on efficiency gains.

### **Ministry priorities**

A more detailed insight into the priorities of social protection can be gained by reviewing the budget section of the relevant ministry.<sup>42</sup> As a rule, the program structure of the budget is determined in accordance with the hierarchical functions of the state, the goals of the Government, i.e. the competencies and goals of the budget users.<sup>43</sup> A list of key competencies is determined based on the legally prescribed competencies of budget users. Programs are identified in accordance with key competencies and, as far as possible, linked to the organizational structure to ensure the application of the principle of organizational responsibility for the implementation of the program. The budget of the Ministry of Labor, Employment, Veterans and Social Affairs is based on the organizational

<sup>41</sup> Fiskalna strategija za 2021. godinu sa projekcijama za 2022. i 2023. godinu. „Sl. Glasnik RS“ br. 142/2020.

<sup>42</sup> Available from: Realizacijabudzeta 01.01-31.12.2019.pdf (minrzs.gov.rs)

<sup>43</sup> Available from: Uputstvo za pripremu programskog budzeta.pdf (mfin.gov.rs)

structure, which, given the complexity of the field of social protection, significantly complicates the insight into achieving the objectives of relevant public policies.

The budget section of the Ministry contains three programs of importance for the field of social protection. The "Social Protection" program should be based on the competencies of the Law on Social Protection, while the "Family Legal Protection" program should be based on the Family Law. However, these expectations have not been consistently implemented through program activities. Most of the legal competencies are difficult to identify in the Ministry's budget section and some are completely invisible. The third program "Budget Fund for Social Protection Institutions", according to the decision on the establishment of the fund, relies on the Program for the use of the Budget Fund, adopted by the Minister. Given that this document, contrary to legal provisions, is not publicly available, it is not possible to draw appropriate conclusions.

In addition to relying on legal competencies, determining the content of the budget should be based on the Ministry's medium-term plans and social protection strategy. As mentioned earlier, the social protection strategy has not been adopted and the ministry's medium-term plans are not publicly available. The Law on Social Protection introduces the Social Protection Improvement Program, which should contain measures and activities to improve existing and develop new social protection services. The program is defined by the Law on Planning System as a medium-term public policy document that elaborates the specific goal of the strategy or some other planning document in accordance with which it is adopted. It is not known whether the Ministry adopts this document and certainly it is not publicly available or established in the consultative process.

The Ministry of Labor, Employment, Veterans' Affairs and Social Affairs regularly prepares a performance report, based on the Law on Budget System and the Law on Planning System. This report should contain qualitative and quantitative indicators of the achievement of program goals and public policy goals. However, these reports are not publicly available. Also, during 2020, an Ex-post analysis of the implementation of the Law on Social Protection was made in accordance with the Law on the Planning System. This analysis should provide insight into the implementation of measures and activities established by the Law on Social Protection. In this way, the relevance, efficiency, effectiveness and sustainability of the Law would be assessed. Unfortunately, as in previous cases, this document is not yet publicly available.

### **Austerity**

Comparing the planning documents of the Government with the sectoral sources of public policies and the budget, it is apparent that the harmonisation of the planning documents, in accordance with the Law on the Planning System, remains a challenge. Also, the use of data in the planning and evaluation process is not recognized, which significantly hinders the improvement of the area. The striking lack of transparency further complicates already complex circumstances. Finally, in order to respond to envisaged economic difficulties arising from COVID-19 pandemic, as of March 2020 government introduced measures to support households, firms and basic infrastructure. The whole package of support measures is large, amounting to 11% of GDP, and will be financed by increase in the government debt. In June and in December 2020 government provided additional financial help to certain sectors (hospitality and restaurant industry) and in July additional financial help to small, medium and some large enterprises. Lockdown will at the same time reduce the capacity of the economy to contribute to the budget by paying taxes which will further put a strain of the government's funds. This could potentially lead to new austerity measures in the coming period and reduce available funds for social spending. Given that financial crisis is expected to put largest burden on more vulnerable population, it would be a challenge to meet increasing needs with fewer resources.

## 2.1.6. Government planning processes and where to intervene

The budgetary calendar in Serbia has a clear set of milestones:

**Table 2.2 Serbian budgetary calendar**

Item and date	Activity
1. February 15	Minister for Finance invites direct users of public funds to suggest priority areas for financing and their mid-term priorities in public investments
2. March 15	Direct users of public funds submit their proposals to the Minister for the budgetary year and the next two fiscal years along with the performance report for the previous year
3. April 15	Minister for Finance along with ministers in charge for the economy and economic policy submits Fiscal Strategy to the Government. Fiscal strategy contains goals of the economic and fiscal policy for the budgetary year and the next two fiscal years
4. April 25	Government approves the Fiscal Strategy. After the approval of the Fiscal council on June 1 Minister for Finance submits Fiscal strategy to the Government for adoption
5. June 15	Government adopts Fiscal strategy and submits it to the National Assembly's Committee for finance, republic budget and control of spending of public funds for consideration and to the local governments  National Assembly's Committee submits their comments and recommendations regarding the Fiscal strategy to the Government by June 30
6. July 5	Minister sends instructions that should be followed in preparation of the draft budgets to the local governments and other users of public funds.
7. September 1	Users of public funds submit their budgetary proposals to the Minister of Finance
8. October 15	Minister submits draft budget proposal to the Government
9. November 1	Government adopts draft Budget Law and submits it to the National Assembly
10. December 15	National Assembly adopts Budget law

Informal advice obtained as part of this evaluation from a former employee of the Ministry of Finance, was that UNICEF should start early on with discussions with the Ministry for Labour, Employment, Veteran and Social Affairs (MLEVSA), meeting with the Ministry in January to present a project proposal along with the draft budget. MLEVSA is a crucial point for discussion, not the Ministry of Finance (MOF). MOF only intervenes if the budget limit for the MLEVSA is surpassed. Regarding the budget UNICEF should have a clear picture what needs to be funded. In principle, adoption of a project of up to 5 million EUR would be feasible, co-funded by UNICEF and public money). Intensive lobbying would be required, oriented to multiple levels including the Minister, Ministerial Assistant, State Secretaries and advisers in MLEVSA (and other relevant ministries). This would need to be constant activity until the project is included in the budget of the MLEVSA by September 1.

The aim should be to ensure that modelling activity is including in the government-wide annual work plan. This is created incrementally over the course of the year, with each ministry making proposals and the Prime Minister the ultimate decision-maker, although there is no transparent process for decision-making. Since ministers are accountable to the Prime Minister for delivery against the annual plan, this is the best representation of a financial commitment.

Regardless of the Government's determination to keep expenditures at approximately the same level in the medium term, the possibility of increasing funds intended for social protection should not be completely ruled out. However, advocating such a position requires strong analysis that is primarily based on changing the current paradigm of social protection. It is clear that this area is perceived as a public expense rather than a public investment, and so a costed business case needs to be set out. The strength of the business case and financial analysis is more important than the precise format in which it is documented.

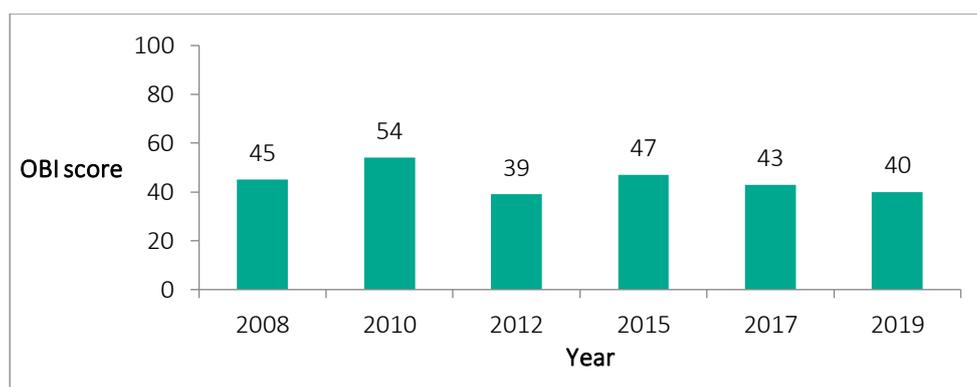
Advocating the allocation of larger funds for social protection ideally needs to be preceded by a significantly higher level of harmonisation of planning documents and laws with the budget programming process. Better data and evidence would certainly contribute to these aspirations.

### Transparency and participation

Numerous efforts were made by the evaluation team to obtain further information from the Ministry of Finance, Secretariat for Finance of the province of Vojvodina (a provincial arm of the Ministry of Finance) as well as to the Capital Fund of Vojvodina, without success. This illustrates previous findings regarding the transparency of the budgetary procedures. The International Budget Partnership has been running the Open Budget Survey that produces an Open Budget Index (OBI) since 2008. This measures the state of budget transparency, participation, and oversight in countries around the world. Questions in the survey address the public availability and comprehensiveness of the key budget documents that governments should publish at various points of the budget cycle and whether there are opportunities for public participation in the budget process. It also examines the roles of legislatures and supreme auditors in budget formulation and oversight.

Serbia's OBI score has varied since 2008, as can be seen on the graph, but it has always been below 60 points (OBI is an index of 0-100 with higher values indicating greater transparency in budgetary processes and higher public participation).

**Figure 2.3 Open Budget Index (OBI) scores- Serbia (2008-19)**



Source: <https://www.internationalbudget.org/>

The 2019 score of 40 points out of 100 in 2019 placed Serbia at 70th place among 117 countries that participated in the survey. A transparency score of 61 or above indicates a country is likely publishing enough material to support informed public debate on the

budget.<sup>44</sup> Compared to other countries in the region, only Bosnia and Herzegovina achieved a lower score (33), while Romania (64), Bulgaria (71), Croatia (68), Slovenia (68) and Albania (55) all fared better. The interpretation of these figures is that the country provides insufficient information to the public regarding the budget and processes and that opportunities for public participation in the budget process are almost non-existent (the score for public participation in the 2019 survey was 2/100).

## 2.2. Key features of the enabling environment for modelling

Finally, a number of features of the Serbian national context are relevant to the challenges and opportunities of modelling, also highlighted in the analysis above and by UNICEF staff and stakeholders.

### Financial constraints

As the analysis above indicates, there are significant financial constraints on public sector funding, likely to become tighter in response to the funding requirements of the COVID 19 pandemic. Securing additional funding for a policy or service area requires the involvement of the highest levels of government. The budget is regulated by legislation and the consent of the Government is required for changes in the budget: approval by individual ministries is not enough. UNICEF teams and other stakeholders referred to the significant challenge this imposes.

### Frequent changes in key government posts

The dynamic political scene in Serbia is reflected in frequent changes in decision-makers. Even the contents of key strategic documents do not ensure continuity. Some continuity can be achieved by maintaining the involvement of public servants whose position is not tied to changing decision makers. However, these results are limited because the public administration has a high level of adaptability to the circumstances of political change. UNICEF teams in particular described the loss of momentum, and sometimes commitment, that was frequently the result of changes in senior post-holders, and that could be mitigated only partially by strong relationships with civil servants and consultants.

### Limited absorptive capacity of government, not readily open to influence

The government's absorption capacity is closely linked to frequent changes in decision-makers. Decision-makers are often not familiar with all the details of the duties they take on and a significant role is played by the public administration. UNICEF teams and stakeholders referred to senior levels of government not readily being open to influence, and to the influence of social movements and professional groups being more limited than in other countries, although it was said that this is changing with growing social media use.

### Constrained service capacity

As the earlier analysis has highlighted, service delivery capacity is limited particularly in key areas such as Centres for Social Work. National and local stakeholders frequently referred to service capacity being under considerable pressure and to key professional groups being under-resourced, exacerbated by constraints of expanding publicly funded posts. There were also references to specialist service capacity being limited, for example in services for

<sup>44</sup> <https://www.internationalbudget.org/sites/default/files/country-surveys-pdfs/2019/open-budget-survey-serbia-2019-en.pdf>

disabled children, youth justice specialist support, and the number of child psychologists and psychiatrists.

### **Constrained civil society sector**

UNICEF personnel described the civil society sector in Serbia as being more limited and less influential than in other countries, resulting from political centralisation.

### **Service provision governed by legislation and regulation and not readily flexible**

The central regulation of service provision, linked with budget control, means that legislative or regulatory changes is needed to adopt new models or services, in contrast with other countries where the content of service provision at a local level is a matter for local discretion.

### **Intersectoral cooperation constrained national and local levels is constrained**

Intersectoral cooperation is stimulated by regulations or governance. One of the characteristics of the legislative framework in Serbia is inconsistency of regulations, which, among other things, causes a lack of cooperation between different sectors. Improving these circumstances is a complex, time-consuming and uncertain endeavour. Although cooperation at management level yields some results, these are not necessarily sustainable. UNICEF teams and stakeholders described intersectoral cooperation as being more limited than in other countries where models had been implemented – for example, Portugal and the United States where the ECI model had been used.

### **Social movements not well established**

Traditional social movements have limited influence and variable capacities. For example, movements such as disability groups or parenting groups which have been influential in other middle- and high-income countries were described as being very nascent in Serbia.

### **Poor national data systems**

Data management is often unregulated and unrelated to regulations and expected outcomes, with insufficient discipline in recording and documenting processes. Such circumstances could be improved by the application of the Law on Planning System and especially by the development of the practice of making ex-ante and ex-post analyses. Nevertheless, the full implementation of this Law is a lengthy process that requires a significant change in public administration practice. National data systems in several policy areas were described by UNICEF personnel and stakeholders as poor, for example there is no single system for monitoring the application and outcomes of DMs.

## 3. Did modelling result in an optimised programme?

The report now turns to the findings from the evaluation, analysing UNICEF’s modelling activity, and the progress made in relation to each of the five exemplar models, by reference to the UNICEF Scale-up Framework. This chapter sets out findings in relation to the first domain, whether modelling resulted in an ‘optimised’ programme. Programme optimisation (as described in relation to health interventions) is *‘a deliberate, iterative and data-driven process to improve a health intervention and/or its implementation to meet stakeholder-defined public health impacts within resource constraints’*.<sup>45</sup> It involves developing key programme content, implementation strategies and resources, and refining and improving these based on early feedback and evaluation, in readiness for scale-up.

The chapter draws primarily on the analysis of model documents, supported by interviews with UNICEF teams and stakeholders.

### Chapter summary

- Systematic approaches were taken to initiating each of the five models, and government commitment to modelling was secured at an early stage alongside extensive consultation with other stakeholders

<sup>45</sup> Wolfenden, L., Bolsewicz, K., Grady, A. et al (2019) ‘Optimisation: defining and exploring a concept to enhance the impact of public health initiatives’ *Health Research Policy and systems* 17:108

- UNICEF was viewed as an energetic and active leader of modelling and modelling generated high levels of enthusiasm among the stakeholders and partners involved.
- Several of the components that form the core, necessary, elements of models (as set out in the UNICEF Scale-up Framework) were created through modelling. There were some gaps: model-level theories of change, specifying core and adaptable components and fidelity criteria, establishing monitoring systems, and assessment of costs. Use of the Sine Qua Non in modelling was limited.

### 3.1. Initiating modelling

The exemplar models reflected UNICEF’s long-term investment in policy and practice areas. Initiation involved systematic approaches to identify options, including:

- situational analyses and other research to explore gaps in current provision and unmet needs
- discussions with families, professionals and stakeholders
- reviewing international programmes and delivery systems
- drawing on UNICEF staff expertise.

UNICEF’s stakeholders particularly valued the extent of early collaboration and discussions, and the involvement of key partners about a potential model. The document reviews and interviews with UNICEF teams and stakeholders consistently show efforts to involve government and other stakeholders from an early stage. Annual work plans illustrate that an explicit joint decision was made with government to embark on modelling.

*“We started with a situational analysis of what we have in Serbia, and what we can use, and how we could support these professionals we have, in what way, and then we started to build, and at the same time we informed ministries, we worked with them as an Advisory Board and so on.”* System stakeholder

### 3.2. The approach to modelling

Stakeholder engagement was also a strong component of modelling itself. Both the UNICEF teams and stakeholders consistently described strenuous efforts to engage government as well as national sector partners, NGOs and professional associations, with few references to obvious gaps where partners that should have been included were not. Advisory groups, working groups and cross-sectoral teams were developed, with teams in local implementation sites and at national level carrying out coordinated work. This had raised awareness of the models and motivation to take part in modelling, stimulated new relationships and local cooperation, and achieved early successes in overcoming potential areas of resistance.

*“So we had the opportunity for practitioners to say how they see the situation, what it looks like from the position of a practitioner, which of these examples of good practice we heard about here could be applied, what would be important for us, what would be significant for us.”* System stakeholder

UNICEF teams and stakeholders described UNICEF as very actively involved in modelling, playing an essential role in leading work, collaboratively developing plans, adapting, problem-solving, and drawing on the expertise of partners. There were occasional references to UNICEF not having anticipated all the work needed and other partners

needing to a little more than they had expected, and to a lack of direction in ECI following initial training, but generally the work was viewed very positively.

The modelling approach consistently generated high levels of enthusiasm and engagement from partners. Families and young people do not appear to be directly involved in the collaborative development of models and there is scope to strengthen co-creation activity beyond research and consultation.

*“We were going back and forth, back and forth. In a way, checking all the time with the counterparts, with all stakeholders involved, and monitoring, checking if something is working, what is not working? That was actually, our strategy was also, I guess, to be present there, together with them, and to jointly go through all the stats, closely monitor, listen, give, take feedback all the time. I don't know if that is a modelling strategy, but that is something that we did, when I think about that time [it was] .... Very intensive, really intensive, because you cannot let things go as they start, and it cannot be like business as usual. It really needs close, close work in close partnership with all stakeholders.” UNICEF personnel*

*“I believe a project with UNICEF always goes okay. They know how to programme a project.” System stakeholder*

A wide range of capacity building methods was described as part of modelling, going beyond formal training and including country and site visits, coaching and mentoring, intensive formal and informal communication across teams and with advisory groups, conferences, seminars and other learning exchange and networking activities. Stakeholders expressed strong satisfaction with this work, with no obvious exceptions or gaps.

*“All kinds of activities that included education ... and trainings and Zoom, and consultation, supervision, reflection direct, indirect, team meetings, various lectures .... [We] gained a huge contingent of knowledge. I don't think we are even aware yet how much knowledge we have gained.” Local implementation stakeholder*

*“So my key story is that this project is extremely well designed ... and it had so many instruments, tools, different activities, which really made up one amazing whole of different activities that contributed and ... our mentoring collaboration and how much we asked the schools what it was, how much we encouraged them to do some new things, and so on.” Local implementation stakeholder*

This satisfaction is also reflected in the survey of local implementation sites. The survey asked whether implementation sites had received sufficient support to prepare for implementation. This support had been received by all but one of the 39 participants. As Table (overleaf) shows, it was judged completely or mainly sufficient by almost all.

**Table 3.1 Sufficiency of support for implementation**

How would you assess the quality of support you were given to be ready to deliver the UNICEF program?							
Responses	Completely sufficient (n)	Mainly sufficient (n)	Neither sufficient nor insufficient (n)	Mainly insufficient (n)	Completely insufficient (n)	Don't know (n)	Not answered (n)
Response count	18	15	0	0	0	1	5

Base: survey participants n=39

### 3.3. Developing key programme components

The UNICEF Scale-up Framework summarises the key programme components, parts and resources that need to be developed, and improved, in a programme in order for it to be ready for scale-up. These include:

- An equity-based **theory of change**: the importance of a theory of change as an aid to programme development, testing and scale-up is highlighted by much of the research that underpins the UNICEF Scale-up Framework
- Specified **beneficiaries and outcomes**, formulated as child rights realization and with clarity about whether the aim is to reach the most vulnerable children: several of the reviewed frameworks<sup>46</sup> emphasise the importance of clarity about the populations to whom a programme is targeted and the intended impacts
- Specified programme **content and activities, delivery processes and staff**: the importance of a simplified and standardised programme, clarity about what is required to prepare for implementation (e.g. staffing levels and training), activities undertaken (e.g. set out in practice protocols or guidance), and other resources to support preparation and delivery<sup>47</sup>
- Specified **core/adaptable components**. Core components are those elements deemed to be essential for programme outcomes to be secured. They are elements that must be delivered, and consistently with the programme instructions. Adaptable components are elements that can either be modified or not included. The scale-up literature also highlights the need for clarity about fidelity criteria and the scope for adaptation: the frameworks reviewed note the importance of fidelity requirements that can be monitored, and the need for balance between fidelity and adaptation<sup>48</sup>
- **Monitoring system**: so that implementation and performance can be tracked and improved<sup>49</sup>
- Assessment of **cost of delivery** of the scaled-up model: so that the level of resources required for sustainable and scaled-up delivery are clear<sup>50</sup>

The partners involved in modelling were generally very positive about the highly collaborative approach to developing these core components. In some cases, UNICEF led the development of resources, in others, partners led, but both were described as positive

<sup>46</sup> Charif et al (2018); Cooley et al (2012); WHO (2010) – see Annex 5 for full references

<sup>47</sup> Cooley et al (2012); Yamey (2011); Milat et al (2020); Larson et al (2014)

<sup>48</sup> Milat et al (2020); Charif et al (2018); Cooley et al (2012)

<sup>49</sup> Fagan et al (2019); Cooley et al (2012)

<sup>50</sup> Fagan et al (2019); Charif et al (2018)

and effective processes. UNICEF teams and stakeholders described the development of accredited training programmes, tools for identification or screening of eligible or targeted children, procedures, standards and guidance, and viewed these components as essential contributions to their successful delivery of the models.

*“You know, when you provide a service you take responsibility for its quality. So you have to have clear instructions and guidelines.” Local implementation stakeholder*

*“Like instructions for implementing diversionary measures, the manual, each step described .... We have all those materials, so any time a new case manager calls us, we go with them through that, all the steps defined, so they know when to send us official referral. We have the entire procedure explained in those instruments.” Local implementation stakeholder*

The evaluation team triangulated this interview data with a review of programme documentation to assess the extent to which the core components had been completed. Table 3.2 summarises this analysis. As the table shows, not all components were fully completed for all models. In some cases, key components appeared to be most fully described in evaluation reports, suggesting that they may not have been clarified, or documented, as early in the modelling process as is optimal. It was also not always clear whether final improved versions had been created which reflected learning from modelling. This is an important part of optimising a model for scale-up.

**Table 3.2 Completion of core programme components**

Programme component	FOW	IFC	DM	ECI	DOP
Theory of change	...	...	...	✓	✓
Beneficiaries and intended outcomes specified	✓	✓	✓	✓	✓
Content and activities specified	✓	✓	✓	✓	✓
Delivery processes specified with resources	✓	✓	✓	✓	✓
Core/adaptable components and fidelity criteria	✗	✗	✗	✗	✗
Monitoring system	✓	✗	✗	✓	✓
Assessment of costs	✓	...	...	✗	✓

✓	Component largely or fully completed.
...	Component partially completed.
✗	Component not existing.

Two models, ECI and DOP, had a full model-level **theory of change**, in both cases developed at an early stage in model development. The three child welfare team models (FOW, IFC and DM) were included in wider programme-level theories of change. This is an

area where practice could be strengthened: a model-level theory of change provides important clarity about key activities and intended mechanisms for change, intended outcomes, and necessary conditions for effectiveness. This supports work to evaluate and strengthen models and provides guidance for scaled-up delivery. This is an area of UNICEF’s work that could be strengthened.

### Box 3.1 The importance of a model-level theory of change

#### A good theory of change aids:

- Articulation of the underlying logic and theory
- Agreement of realistic outcomes and ambitions
- Understanding of how the model contributes to wider programme-level ambitions
- Consistency in understanding across partnerships and time
- Understanding of necessary enabling conditions and what it will take to implement effectively at scale including wider activity
- Induction of staff at delivery sites
- Improvement of service delivery and processes
- Focussing evaluations, interpretation of findings, and demonstrates whether a programme is on track to secure longer-term outcomes
- Identification of core and adaptable model components
- Communication, marketing and advocacy
- Realistic work planning, prioritising and resourcing

The intended **beneficiaries and outcomes** for some models were set out in model guidelines (for example IFC). In some cases, however, the evaluation reports were suggested as the best source of information on beneficiaries and outcomes.

Eligibility criteria and referral processes were generally set out in guidance documents. Some models had clear procedures for identifying and assessing eligible children or families. This is important to ensure both that models reach the most marginalised and deprived children, and that the support provided is effectively tailored to their needs. For example, DOP includes an instrument to be used by schools to identify children at risk of school dropout, and IFC uses recommended assessment processes. Stakeholders involved in DM said that assessing need and defining appropriate rehabilitative activity was an aspect of the model that needs to be strengthened.

The model elements that were most consistently developed were specifications of **service content and activities**, and of the **delivery processes** involved. These were documented in guidelines and standards – Table 3.3 shows the approach used in one exemplar model.

**Table 3.3 ECI model guidelines**

	ECI	‘Pilot Implementation Recommendations Action Plan 2-19-20’ sets out: the background and theoretical basis of ECI, recommended service structure, step-by-step activities for screening, referral, intake, assessment, family plan, intervention, service delivery, transition out, and evaluation. The document also sets out staffing requirements and roles.
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Local implementation sites were generally positive about the guidelines and standards produced for the models. These were an essential implementation resource. There were some comments from ECI sites that these resources had not been made available quickly enough following initial training, leaving sites unclear about how to implement what they

had learnt. In general, however, the resources and their availability were very positively viewed by stakeholders.

It was noteworthy that none of the documentation of service content and delivery processes identified gender-specific considerations or adaptations. It might be expected that these would be particularly relevant for DM (given the low proportion of girls among juveniles in the justice system which suggests a need for particularly consideration of relevant rehabilitative activities) and DOP (given the gender implications of issues such as child labour and child marriage)<sup>51</sup>.

The models involved aspects of work which could be flexed and adapted to the needs and circumstances of individual children. The documentation reviewed by the evaluation team, however, did not include a specification of **core and adaptable components and fidelity criteria**. Core components are those that must always be implemented in the same way, adaptable components are those that are optional or can be adapted. Fidelity refers to models being implemented as intended, and fidelity criteria set out requirements particularly for quality aspects that have been demonstrated as key to effectiveness. These aspects of models are an important aid to scaling-up, relevant both for supporting effective high-quality implementation and for enabling tailoring for the best fit to local contexts.

The extent to which models included a **monitoring system** that would support delivery at scale varied. Monitoring systems ideally monitor the take-up of the model, services provided, and progress or outcomes achieved. They may be standalone systems integrated into the model or may use existing national or service data systems. They need to monitor gender and other equity dimensions of the reach and implementation of models, as well as of outcomes. Such monitoring systems provide essential information to inform decisions about iterative model improvement, scale-up, and a process of ongoing adaptation to ensure a good fit between the model and the operating context (see further chapter 5 and 7).

Monitoring was particularly noted as a challenge to the DM model where there are two separate and incompatible systems monitoring the use of DMs, with ad hoc arrangements for recording the use of DMs in individual cases.

Finally, there was variation in how information about the **costs of delivery** of a model adapted for scale-up was addressed in the models. A full costing for delivery at scale was available only for FOW and DOP. Annex 6 provides further information about key considerations in costing each of the models.

Cost analyses should be accompanied by a conclusion on cost effectiveness by comparison with services already in use (see Chapter 4). The existing analyses suggest the reallocation of funds from existing services to the proposed models. In the previous two decades, there have been several similar proposals but these have had little success, if any. Future analyses should focus on identifying how to address obstacles to reallocation of funds. A key obstacle is the need for increased funds during the transition from existing services to alternative ones. Conducting cash flow analysis based on an understanding of the public

<sup>51</sup> However DOP was subsequently included in a three-year programme addressing child marriage, currently in the process of external evaluation. The model involves intersectoral interventions at Roma community, municipal and national level. The DOP model was adapted to focus on child marriage (including for example tailored professional development and support for school staff, and is being tested in a further group of schools.

budget will therefore be important. In addition, the government's restrictive budget policy calls for increased efficiency, so a strong focus on efficiency will be essential.

### 3.4. Use of the Sine Qua Non

As noted in Chapter 1, the SQN (Box 3.2) was developed by UNICEF to aid modelling. Although knowledge of the SQN had informed modelling for some teams to some extent, none of the teams had used it as key resource in modelling or adhered to it, and not all UNICEF team members were aware of it. The SQN does not include all the items that scale-up literature and the interviews suggest are necessary parts of the development and optimisation of model (see Annex 13 for further discussion of the SQN).

#### Box 3.2 The Sine Qua Non

- 
- **Start with a theory of change for the program area relevant to the model**
    - The model should directly link to a Theory of Change (ToC), covering national impact
  
  - **Then specify for the model:**
    1. An equity-based hypothesis (H) to describe the pathways from Model to above ToC
    2. Expected equity-based Overall Results formulated as Child Rights Realisation and which meet international HR standards, technical protocols and guidance
    3. Baseline as a basis for (H) above, including equity-increasing impact indicators
    4. Set Sustainability/Exit Strategy and Termination date agreed with partners
    5. Monitoring mechanisms, including for process indicators, adequately funded
    6. Impact Equity Based Evaluation clearly scheduled, budgeted for, partnered, which assesses if the Model meets HR standards and closed equity gaps, within the model
    7. Cost-benefit analysis/Beneficiary incidence analysis and estimated resource (human, financial, organisational) for scaling up
    8. Clear dates and budget to document the practice, based on 5-7 above
    9. Strategies and budget to disseminate results (communication, advocacy)
    10. Total Budget for the model, including funding all of 1-9 above.

## 4. Did modelling build the evidence base?

This chapter continues to analyse modelling activity by reference to the UNICEF Scale-up Framework, focusing on the dimension concerning the build of an evidence base for the models. The chapter reviews the extent to which evidence about implementation, effectiveness and cost-effectiveness was generated. It draws mainly on the evaluation team's review of the model evaluation reports, supported by data from UNICEF personnel and stakeholder interviews.

### Chapter summary

- Although significant evidence was generated in modelling, there were gaps in the evidence generated
- Evidence about what it takes to implement models well did not cover all necessary aspects of implementation.
- Evidence about outcomes rarely used using evaluation designs involving comparison groups, objective or validated outcome measures, or examining longer term impacts.
- Evidence about cost-effectiveness was very limited.

### 4.1. The need for evidence

This chapter assesses the work undertaken during modelling to build the evidence base for models. As the UNICEF Scale-up Framework summarises, for an intervention to be ready for scale-up, evidence is required about three key dimensions:

- **What it takes to implement the intervention:** in organisations consistent with those that will deliver at scale, and under routine operating conditions. Key texts on which the UNICEF Scale-up Framework is based<sup>52</sup> emphasise the importance of analysing implementation, including in multiple settings, to understand what is required for effective implementation
- **Outcomes:** in line with the equity and child rights ambitions of the models and based on a version of the model that is in line with the intended scaled-up delivery. This is consistently identified as key information for scale-up, essential not only to engage government and partners<sup>53</sup> but also because proceeding without sufficient evidence that a model works can lead to scaling-up poor interventions, leading to wasted resources, missed opportunities and loss of credibility<sup>54</sup>
- **Cost-effectiveness:** assessment of the costs involved in relation to the benefits secured<sup>55</sup> is important to make sound decisions about sustainable funding.

These forms of evidence are important aids to securing commitment to scale-up and to ensuring that scale-up is well implemented. There were different views from stakeholders about the extent to which evidence is a strong influence on government. In general, it was viewed as an important influence on technical staff even where political decision-making necessarily reflects a wider set of considerations.

Evidence should also influence UNICEF's decisions about whether and how to scale-up, highlighting areas for model improvement and the work needed to create the conditions required for effective implementation at scale.

## 4.2. The nature and quality of evidence generated in modelling

### 4.2.1. Evidence about implementation

Evidence about implementation approaches and challenges was gathered for all the models (except ECI where the evaluation had not been commissioned). The model evaluations undertaken were varied in the depth with which implementation was explored and in the range of implementation challenges identified. For FOW, IFC and DM, summative thematic evaluations undertaken later in the modelling process, or after modelling had stopped, identified more challenges than earlier model-specific evaluations.

As Chapter 1 described, implementation science is the body of evidence about what effective implementation involves and requires. It involves robust evaluation of specific factors known to be relevant to effective implementation, and thus essential pre-conditions for effective scale-up, are surfaced and explored. Key constructs from this evidence are summarised in Box 4.1.

<sup>52</sup> Barker et al (2016); WHO (2011); Yamey et al (2011); Larson et al (2014): see Annex 5 for full references

<sup>53</sup> Spicer et al (2014)

<sup>54</sup> WHO (2011)

<sup>55</sup> WHO (2011); Milat et al (2020); Charif et al (2018)

## Box 4.1 Implementation evaluations

There is consistent evidence that the level of implementation achieved is a key driver of the effectiveness of programmes. Robust evaluation of implementation is important to test and adapt implementation strategies, and to understand how to achieve the intended programme outcome at scale. Three key areas where theoretically informed evaluation approaches would be helpful are: determinants of effective implementation, evaluation outcomes, and stages of implementation completion.

### → **Determinants of implementation**

There is extensive evidence from effectiveness studies about the factors that influence or determine successful implementation. Exploring these explicitly and directly adds rigour and robustness to what? and uncovers issues that may otherwise be hidden. A widely used, evidence-informed summary of determinants of effective implementation is the Consolidated Framework for Implementation Research (CFIR)<sup>56</sup>. The CFIR identifies the key determinants of implementation as:

- **Intervention characteristics:** evidence strength, relative advantage, complexity, adaptability
- **Individuals involved** in delivery: their knowledge, beliefs, skills and willingness to adopt the intervention
- **'Inner setting'** or delivery organization (e.g. school, Centre for Social Work, court): culture, readiness and resources for implementation
- **'Outer setting'** or wider system: policies, legislation, regulation, funding, social values and cultures, population needs and preferences
- **Implementation processes** and strategies: including planning, engaging, capacity building

### → **Implementation outcomes**

Defining implementation outcomes is important to understand whether fully effective implementation has been achieved, and the elements contributing to achieving implementation. A widely used and evidence-informed taxonomy<sup>57</sup> outlines implementation outcomes as:

- **Acceptability:** the perception among stakeholders that a model is agreeable, acceptable or satisfactory
- **Appropriateness:** the perceived fit, relevance and compatibility with delivery organisations and the wider system
- **Feasibility:** the extent to which it can be carried out
- **Adoption:** whether the decision has been made to take-up the innovation
- **Fidelity:** the degree to which it was implemented as intended
- **Cost:** the cost-effectiveness or cost-benefit ratio
- **Penetration:** whether it has become integrated and embedded in the delivery organisation
- **Sustainability:** whether it is maintained and continued

<sup>56</sup> Damschroder, L. J., Aron, D. C., Keith, R. E., Kirsh, S. R., Alexander, J. A., & Lowery, J. C. (2009). Fostering implementation of health services research findings into practice: A consolidated framework for advancing implementation science. *Implementation Science*, 4(1), 50-65

<sup>57</sup> Proctor, E., Silmere, H., Raghavan, R., Hovmand, P., Aarons, G., Bunger, A., Griffey, R. and Hensley, M. (2011) Outcomes for Implementation Research: Conceptual Distinctions, Measurement Challenge, and Research Agenda. *Adm. Policy Ment. Health* 38: 65-76

In initial implementation stages, acceptability, appropriateness, feasibility, adoption and fidelity are likely to be most important, with cost, penetration and sustainability more important in later stages. UNICEF’s implementation evaluation would be strengthened by explicit assessment of the enablers and barriers to, and the extent to which implementation outcomes have been achieved.

- **Stages of implementation completion**  
 Measuring the degree of completion of implementation and the proportion of activity completed is also important. A well tested taxonomy<sup>58</sup> involves tracking progress through **pre-implementation** (engagement, feasibility assessment, readiness planning), **implementation** (training staff, establishing monitoring, beginning delivery, stable stage of delivery) and **sustainability** (full competency and embedded delivery). Building assessment of stage completion into evaluations would help to highlight whether elements of early stages have been bypassed and delivery begun before necessary supports are in place, and whether later stages have been reached.

The evaluation team assessed the model evaluation reports to assess the extent to which key implementation constructs had been addressed and rich data concerning implementation strategies, determinants, barriers, enablers and outcomes<sup>59</sup> generated. Table 4.1 summarises the evidence generated about implementation for each of the model programmes.

**Table 4.1 Approaches to implementation evaluation**

	FOW	<p>Model evaluations<sup>60 61</sup> provided partial coverage of implementation issues based on interviews with service staff and families but are limited in depth of exploration and identification of implementation challenges. No clear framework used in exploration of implementation</p> <p>Summative evaluation<sup>62</sup> based on desk review and primary research with stakeholders provided more in-depth appraisal of implementation, and identified implementation challenges not identified in model evaluations</p>
	IFC	<p>Model evaluations<sup>62</sup> provided partial coverage of implementation issues based on interviews with service staff and families but are limited in depth of exploration and identification of implementation challenges. No framework for implementation evaluation described.</p> <p>Summative evaluation<sup>3</sup> based on desk review and primary research with stakeholders provided more in-depth appraisal of implementation, and identified implementation challenges not identified in model evaluations</p>

<sup>58</sup> Chamberlain, P., Hendricks Brown, C. and Saldana, L. (2011) Observational measure of implementation progress in community-based settings: The Stages of implementation completion (SIC). *Implementation Science* 6: 116

<sup>59</sup> Implementation outcomes are distinct from beneficiary outcomes. They are concerned not with whether the intended improvements for end users are secured, but with whether the intended quality and completeness of implementation has been secured – see Box 4.1

<sup>60</sup> Republic Institute for Social Protection. *Piloting the Family Outreach Service and evaluation of the service provision outcomes. Study summary.*

<sup>61</sup> Žegarac, N. (2017). *Supporting families with children with disability — Evaluating the impact on family and child wellbeing.* Belgrade, Jove Ilića: University of Belgrade – Faculty of Political Sciences.

<sup>62</sup> Irimia, R., & Isakov, A. B. (2018). *Summative evaluation of the efforts to strengthen social welfare system to advance child protection with a focus on childcare reform in Serbia (2013-2017). Evaluation report.* Pluriconsult Ltd.

	DM	<p>Model evaluation<sup>63</sup> drawing on administrative data and stakeholder interviews reviewed effectiveness of work on capacity building and local cooperation and provides a generally positive account. No reference to framework for implementation evaluation.</p> <p>Two summative evaluations<sup>64</sup> both involving new primary research with stakeholders (the second particularly extensively) provided in-depth appraisal of implementation and identified implementation challenges</p>
	ECI	Not yet commissioned
	DOP	<p>Extensive coverage of implementation issues in main evaluation report which identifies implementation challenges although no framework for evaluation of implementation is described<sup>65</sup> Model includes EMIS monitoring system</p>

The evaluation team also reviewed evaluation reports to assess coverage of gender and wider equality issues. These are key considerations to understanding whether the models are contributing to narrowing equity gaps, and assessing the effectiveness of processes for identifying, referring and assessing eligible in reaching the most marginalised children and families. It was striking that there was almost no coverage of these issues in any of the model evaluation reports reviewed by the evaluation team. Model evaluations had generally not looked in depth at the reach of models to the intended participant groups, and had not examined differential reach by gender or other circumstances.

For example, the first FOW evaluation<sup>66</sup> highlights the reach of the model to single-parent families and the proportion of these which are a mother, and also the proportion of families in the evaluation who were of Roma culture. There was no systematic gender analysis nor analysis of the other circumstances of mothers and girls. There are some insights for Roma parents and children, but no disaggregation by gender. There is similarly no gender analysis in the later FOW evaluation<sup>67</sup> beyond description of the research sample. The DM summative evaluation<sup>68</sup> highlights the absence of specific consideration in the design of the DM modelling activity and in the 2014 and 2017 evaluations, although notes that all young people in the justice system can be considered vulnerable. It concludes that vulnerable groups need to be more of a focus in capacity building activity. Finally, the DOP evaluation<sup>69</sup> also has no analysis of the reach of DOP by gender, nor on

<sup>63</sup> UNICEF. (2017). *Final report – Strengthening the justice and social welfare systems to advance the protection of children in Serbia*. UNICEF.

<sup>64</sup> Horvat, M., Berrlh, C., Netkova, B., & Razić Ilić, D. (2017). *Summative evaluation to strengthen implementation of justice for children system in the Republic of Serbia (2010-2017)*.

<sup>65</sup> Jovanovic V, Markovic JC, Velelinovic Z, Vusurovic A, Jokic T (2016) *How to Be a Caring School – A study on the effects of prevention and intervention measures for preventing the dropout of students from the education system of the Republic of Serbia*. UNICEF

<sup>66</sup> Republic Institute for Social Protection (N.D.). *Piloting the Family Outreach Service and Evaluation of the Service Provision Outcomes*

<sup>67</sup> Žegarac, N. (2017). *Supporting Families with Children with Disability — Evaluating the Impact on Family and Child Wellbeing*. University of Belgrade

<sup>68</sup> Horvat, M., Berrlh, C., Netkova, B., & Razić Ilić, D. (2017). *Summative evaluation to strengthen implementation of justice for children system in the Republic of Serbia (2010-2017)*.

<sup>69</sup> Centre for Education Policy (2016). *How to Be a Caring School – A Study on the Effects of Prevention and Intervention Measures for preventing the Dropout of Students from the Education System of the Republic of Serbia*.

actual dropout by gender, although it notes gender differences in the prevalence of risk factors for dropout.

#### 4.2.2. Evidence about outcomes

The extent to which there was robust evidence about outcomes varied between the five exemplar models in terms of features such as whether there was a comparison design (essential for outcomes to be attributed to models), sample size, the use of objective or validated outcome measures and the length of follow-up periods. Table 4.2 summarises the outcomes evidence generated for each of the exemplar models.

**Table 4.2 Approaches to measuring outcomes**

	<b>FOW</b>	Service data about progress made by 366 families <sup>70</sup> Survey of parents: 189 parents at 1 month and 9 months after service use <sup>71</sup> ; parental self-report on issues including living conditions, inclusion in school, overcoming behavioural problems Review of case files for number of families remaining together
	<b>IFC</b>	Survey of families at 1 month and 10-12 months after service use plus case manager entry and exit survey: outcomes including inclusion, child happiness <sup>72</sup>
	<b>DM</b>	Semi-structured interviews with 121 children and 80 parents 3-6 months after DM realized. Self/parent report of outcomes including emotional regulation, school achievement <sup>73</sup>
	<b>ECl</b>	Not yet commissioned
	<b>DOP</b>	School administrative data on attendance, drop out, achievement and grade repetition in the 10 piloting schools. Quasi-experimental design: interrupted time series comparing before and after introduction of DOP <sup>74</sup>

Again, it is noteworthy that there was no analysis, in any of the model evaluations, of outcomes and impacts by gender, nor by other equity dimensions.

There was robust evidence about outcomes for the DOP model, based on a quasi-experimental design. For FOW, IFC and DMs there was early evidence on outcomes based on parental or staff perceptions; these evaluations did not involve a comparison design.

The gaps and shortcomings in outcomes data were not generally highlighted by the UNICEF teams nor in stakeholder interviews. The evaluation approaches used were generally perceived as sufficient by many of the stakeholders interviewed as well as by the UNICEF teams. Government was not seen as particularly demanding in its evidence

<sup>70</sup> Republic Institute for Social Protection. *Piloting the Family Outreach Service and evaluation of the service provision outcomes. Study summary.*

<sup>71</sup> Žegarac, N. (2017). *Supporting families with children with disability — Evaluating the impact on family and child wellbeing.* Belgrade, Jove Ilića: University of Belgrade – Faculty of Political Sciences.

<sup>72</sup> Irimia, R., & Isakov, A. B. (2018). *Summative evaluation of the efforts to strengthen social welfare system to advance child protection with a focus on child care reform in Serbia (2013-2017). Evaluation report.* Pluriconsult Ltd.

<sup>73</sup> Ignjotovic TD (ND) *Evaluation of Piloting of Diversion Orders Implementation in Serbia University of Belgrade*

<sup>74</sup> Jovanovic V, Markovic JC, Velelinovic Z, Vusurovic A, Jokic T (2016) *How to Be a Caring School – A study on the effects of prevention and intervention measures for preventing the dropout of students from the education system of the Republic of Serbia.* UNICEF

requirements, and few stakeholders suggested that more robust evidence was needed either to secure government commitment or to make the case for the models being scaled-up. However, the approaches used by UNICEF are not consistent with the wider international evidence about what is required to justify and support scale-up. This is discussed further in chapter 7.

### 4.2.3. Evidence about cost-effectiveness

Cost-effectiveness relies on effectiveness evidence: it is a measure of the net cost impact of the model compared to the counterfactual and depends on robust data about both costs (discussed in Chapter 3) and effectiveness (discussed in section 4.2.2 above). Limited data on cost effectiveness was generated for the exemplar models. Table 4.3 summarises the data generated.

**Table 4.3 Approaches to measuring cost-effectiveness**

	<b>FOW</b>	Cost of delivery of modelled and 'settled' version <sup>75</sup> Comparison of costs of service compared with placement costs and threshold analysis <sup>76</sup>
	<b>IFC</b>	Comparison of costs of service compared with placement costs and threshold analysis
	<b>DM</b>	No analysis
	<b>ECl</b>	Not yet commissioned
	<b>DOP</b>	Analysis of costs of scaled-up model

For FOW there is an analysis of the costs of delivery of the model as modelled, with an estimate of how these might be different for a 'settled' version, and analysis of the costs of the service compared with placement costs which estimates the outcomes needed for the service to break even ('threshold analysis'). For IFC there is similarly a threshold analysis. There is no cost or cost-effectiveness analysis for DM, and none yet commissioned for ECl. There is some analysis of the costs of a scaled-up model of DOP, but no cost-effectiveness analysis.

UNICEF's stakeholders see this as an important area for enhancement of the existing data, critical to securing Ministerial commitment and to ensure that sufficient funding is made available for the models to be effective.

<sup>75</sup> Stanić, K. (2016). *Cost price of family outreach service*

<sup>76</sup> *Improving child protection by finding solutions within the existing fiscal space* (ND)

#### 4.2.4. Gaps in evidence

Table 4.4 summarises gaps in evidence for each of the exemplar models.

**Table 4.4 Gaps in models evaluation evidence**

	FOW	Implementation support requirements and effective strategies Longer term outcomes including child wellbeing, family care and institutional care Cost-effectiveness based on longer term impacts
	IFC	Implementation support requirements and effective strategies Longer term outcomes including child wellbeing, family care and institutional care Cost-effectiveness based on longer term impacts
	DM	Implementation support requirements and effective strategies Impacts on recidivism Single national system for monitoring use and outcomes of DMs Longer term outcomes including child wellbeing, education and employment Cost-effectiveness based on longer term impacts
	ECI	Implementation support requirements and effective strategies Longer term outcomes including child development, health, education Cost-effectiveness based on longer term impacts
	DOP	Effective strategies for different dropout risks and contexts Monitoring of longer-term impacts on attendance, drop out, achievement, grade repetition, wellbeing and employment Cost-effectiveness based on longer term impacts

## 5. Did modelling result in a model that fits the context?

This chapter continues the analysis of modelling activity by reference to the UNICEF Scale-up Framework. It reviews whether modelling resulted in a model that fits the delivery and wider context, working through the various criteria set out in the UNICEF Scale-up Framework. The chapter draws on interviews with UNICEF personnel and stakeholder interviews, and the survey of local implementation partners.

### Chapter summary

- All five models are viewed by stakeholders as relevant, addressing high-priority needs, founded in an understanding of family functioning and children's needs, and focused on building parental capacity and strengthening local connections. They were seen as having clear added value.
- The fit of models to the intended delivery organisations (e.g. schools and Centres for Social Work) and to the wider system is a key determinant for scale-up. This is typically, in global scale-up endeavours, an issue where work is needed to strengthen readiness for scale-up, and this was the case for the UNICEF exemplar models. There were aspects of all the models that were challenging, given the capacity of delivery organisations. Tensions also existed in the fit of models with professional and socio-cultural and norms.
- Each of the models requires intersectoral cooperation (i.e. support from other services and organisations) and this was widely viewed as not yet sufficiently in place.
- There is a need for changes to legislation or regulation to incorporate the models into mandated practice, and to secure sustainable funding.

- The models are clearly viewed as valuable and necessary, however, the system support required to make them sustainable at scale is not yet in place.

## 5.1. Why are acceptability and fit important?

This chapter covers the third domain in the UNICEF Scale-up Framework: the extent to which the models are seen (by policymakers, funders, delivery organisations, families, communities and influencers) as:

- Relevant and addressing a high priority, equity-based need: the international scale-up evidence reviewed emphasises the importance of programmes operating in areas of recognised, sharply felt and persistent need, and where there are clear gaps in provision<sup>77</sup>. This is an important starting point for the development of any model.
- Credible: the evidence refers to programmes needing to be based on theory and research, and demonstrably effective<sup>78</sup>
- Having relative advantage over other options and visible benefits: being preferable to alternatives or to current provision, having evident superiority<sup>79</sup>
- Acceptable, appropriate, feasible and a good fit with:
  - Policy, finance, legislation, regulation: to be scalable, interventions need to be aligned with policy priorities, requirements and ‘incentives’<sup>80</sup>, i.e. what is permitted, funded, encouraged, supported or condoned
  - Capacity of delivery organisations and staff: interventions need to be feasible given the capacity and capabilities of delivery organisations, convenient to use, placing no or minimum additional burden on organisations, with complexity in line with their capability<sup>81</sup>
  - Community cultures and preferences: alignment with population demand and preferences is emphasised by several frameworks<sup>82</sup>

However, at the same time, interventions, delivery organisations and the wider system (i.e. policy, finance, legislation, regulations, other services, professional paradigms, community cultures and preferences) are in a near-constant state of change. This means that interventions need to be modified, and that delivery organisations and the wider system also need to change to adapt to the intervention.

The Dynamic Sustainability Framework was used in the evaluation of UNICEF’s approach to modelling, particularly in analysis of the feasibility and fit of the models and in considering how far UNICEF’s planning and governance support the dynamic iterative work required. The following sections of this chapter look first at how the models themselves are perceived, and then at perceptions of their feasibility and fit to delivery organisations and the wider system context in Serbia. Chapter 7 reviews approaches to planning and governance.

<sup>77</sup> Yamey et al (2011); Larson et al (2014); WHO (2011); Cooley et al (2012); Spicer et al (2014) – see Annex 5 for full references

<sup>78</sup> Charif et al (2018)

<sup>79</sup> WHO (2010); Barker et al (2018)

<sup>80</sup> Yamey et al (2011); Spicer et al (2014); Fagan et al (2019); Barker et al (2018)

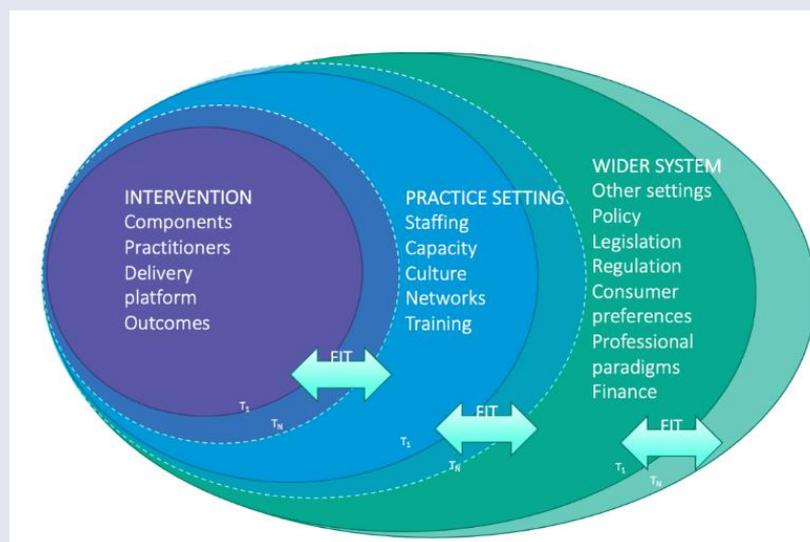
<sup>81</sup> Spicer et al (2014); Fagan et al (2019); WHO (2011); Cooley et al (2012); Barker et al (2018)

<sup>82</sup> WHO (2010); Cooley et al (2012)

## Box 5.1 Fit and alignment: The Dynamic Sustainability Framework

The fit of an intervention within delivery organisations (e.g. schools, Centres for Social Work, courts) and the wider system surrounding them (e.g. policy, finance, legislation, regulations, other services, professional paradigms, community cultures and preferences) is a key determinant of sustainability. *‘As a consequence, assessment of organizational characteristics (e.g., structure, climate, culture, resources) is seen as an essential component of sustainability, and indeed, the fit between context and the intervention is at the center of a sustainability phase.’* (Chambers et al. 2013:118). However, since delivery organisations and wider systems are subject to constant change, this involves an ongoing, dynamic and mutual process of realignment. This means that approaches that aim to optimise interventions prior to implementation, independent of context, will not aid scalability and sustainability. Instead, the process needs to be one of contextually sensitive programme adaptation to find and sustain fit: *‘... the success of an intervention to be sustained over time lies in the measured, negotiated, and reciprocal fit of an intervention within a practice setting and the practice setting within the larger ecological system.’* (Chambers et al. 2013:121). Figure 5.1 illustrates this.

Figure 5.1 The Dynamic Sustainability Framework<sup>83</sup> (adapted from Chambers et al., 2013)



This framework endorses modelling in real world contexts as a key stage before scale-up. Models can be developed in context-specific ways. The Dynamic Sustainability Framework also highlights the need for dynamic, non-linear approaches to modelling. This is likely to require a combination of adapting models, building capacity in delivery organisations, and wider system reform. In particular it means that model design and adaptation should not be regarded as finite processes. If a model does not fit, it should be adapted until it does, and adapted as the delivery context changes. As the delivery context becomes more receptive, the model can be modified to be more demanding or complex, in line with delivery capability.

<sup>83</sup> Chambers, D.A., Glasgow, R.E. and Stange, K.C. (2013) 'The dynamic sustainability framework: addressing the paradox of sustainment amid ongoing change' *Implementation Science* 8:117

## 5.2. Are the models viewed as relevant, credible and having clear benefits?

### 5.2.1. Relevance and addressing a high priority equity-based need

All five models were consistently viewed by stakeholders as relevant and addressing high priority equity-based needs, in line with the intentions of the UNICEF teams. Although there were some concerns about feasibility (see below), none of the stakeholders interviewed viewed any of the models as irrelevant or unhelpful.

The FOW and IFC models were seen by both system stakeholders and local implementation stakeholders as providing children with complex needs with family support that is critical for families to stay together, and for state care to be avoided. This support was seen as clearly need and not otherwise readily available.

*"The percentage of children who have developmental difficulties is not so negligible, and as biological parents ... are very often very tired, very often they are worn out, and this kind of service, how can I tell you, simply taking a break would mean a lot, as well as support for such families. So the service itself is something that is great for me "*  
Local implementation stakeholder

Similarly, the DM model was supported by stakeholders for recognising the vulnerability and needs of children and restorative justice as in line with their best interests. The DOP model highlighted the factors that lie behind school dropout for vulnerable communities, and the need for schools to address them.

*"So, somewhere in the school collectives, we actually felt how important those children really are. And then, when we included the numbers, then we saw that the number was not negligible either. And, in fact, the structure of students, we actually make them aware so they can see the structure as well, the structure of students, and in what way, not everyone can rewrite school plans and programmes. And somewhere, in fact, they have to analyse. Exactly that, when we had this social analysis and the rest, then we said you have to do that, almost every year before you start planning. Not to rewrite last year's. So, each school year has its own specifics, let alone each school."*  
Local implementation stakeholder

The ECI model focus on early intervention and multi-disciplinary approaches that help parents to recognise the abilities and potential of children with developmental difficulties, was applauded.

*"This approach to parents, approach to the child, deficit avoidance, and generalization of the skills a child has is something that is really a big step forward".* Local implementation stakeholder

All the models were seen by stakeholders and by UNICEF personnel as addressing equity-based need. This issue was discussed with stakeholders in an open question about equity and disadvantage, rather than focusing initially on gender. It was noteworthy that none of the evaluation participants provided commentary about gender in response, commenting instead on other aspects of equity. The fact that each of the models addressed disadvantaged children but with quite wide definitions, including children with disabilities or living in a range of adverse circumstances, as well as Roma children, was noted positively. Similarly UNICEF personnel generally described the overall equity intentions of models, rather than focusing on gender.

*'As for drop out [when she was working in Serbia] I couldn't really tell you that there was something that we're really focusing so strongly on. There were initiatives, but this was different in the sense that it really focused on those who need something the most, and it wasn't on only Roma kids for example but also took into account early pregnancy, misplaced homes and so on.'* System stakeholder

### **5.2.2. Credibility**

Stakeholders viewed the models as credible in a number of ways. They recognised that the models were underpinned by theory and evidence, or were based on an existing programme. They saw them as reflecting an understanding of family needs and family functioning. They valued the models as child- and family-based, and taking a whole family perspective, and they viewed them as empowering families and built parenting capacity.

### **5.2.3. Relative advantage and visible benefits<sup>84</sup>**

The models were all seen by stakeholders as having clear relative advantage in the sense that they added value to existing services and filled essential gaps. There were no references to models being similar, or inferior, to standard practice or to other innovations, and they were consistently seen as improving what was otherwise available.

They were also seen as producing benefits – at multiple levels – that are visible to the practitioners and system stakeholders. These reflected the models' intended outcomes and included enhancing children's development, learning and social and community engagement, supporting families to stay together (especially FOW and IFC), helping parents to develop new skills, approaches and understanding of children (FOW, IFC and ECI), and helping children and parents to access further service and community support. These perceived benefits include but go beyond the outcomes evidenced in model evaluations

*"All of us really had faith that it was a good thing, that we were doing good things. All of us from the team who...and those who were indirectly involved .... And we received confirmations from everyone who had some contact with this service, primarily from families and children".* System stakeholder

*"I strongly believe that there is no greater benefit or satisfaction than that when you see your child progressing, and I have an impression that we do some useful and important things, not only for the family in question, but for the community as well."*  
Local implementation stakeholder

The positive regard for the models is reflected in the survey data (Table ).

**Table 5.1 Perceptions of value of the exemplar models**

	Agree strongly (n)	Agree (n)	Neither agree nor disagree (n)	Disagree (n)	Disagree strongly (n)	Not answered (n)
The program addresses an issue that is a priority for my organisation	11	18	6	0	0	4
With this program we can provide better support to children in Serbia than before the intervention was available	16	17	2	0	0	4
Generally, families and children are positive about the program and find it helpful	13	17	5	0	0	4
The program helps us to support vulnerable children and families (e.g. children living in poverty, children with a disability, Roma families)	19	11	5	0	0	4
Base: survey participants n=39						

### 5.3. Are the models viewed as acceptable, appropriate, feasible and a good fit?

The acceptability of a programme to the communities that are intended to deliver and use it, and the fit of a programme to the intended delivery organisation and wider system, are key determinants of scalability.

From the accounts of UNICEF personnel and those of stakeholders (particularly system stakeholders involved in the initiation of models), it was clear that the UNICEF models were not designed primarily to fit easily and without friction in the current system, but to *change, improve or reform* it. UNICEF staff emphasise that their role is to advance child rights in areas where they are not being supported. They described giving careful thought to how to adapt models to the Serbian context, and basing them in existing services rather than creating new independent services that would be permanently led by UNICEF or an NGO. In this way, each of the models introduces new ambitions for children, and new paradigms for professional work, and thereby they deliberately and constructively push the system towards improvement (see Box 5.2).

## Box 5.2 What is systems change?

### → What is systems change?

UNICEF's ambitions in Serbia are wider than the scaled-up delivery of effective models. Although this is an important part of the ambition, the real goal is systems change. Systems change is *'an intentional process, designed to alter the status quo by shifting and realigning the form and function of a targeted system'*.<sup>85</sup> UNICEF's ambitions are in line with the growing body of literature that makes the case that even the most effective programmes, on their own, will not be sufficient to achieve changes for whole populations.

Key aspects of the wider system that emerge from this study as most relevant are aspects of delivery organisations (e.g. capacity, skills, and ways of working), aspects of the wider system (e.g. funding, policy, legislation, regulation, intersectoral cooperation, national data system, professional paradigms and family values and norms). These are the dimensions that *'hold in place'*<sup>86</sup> a social problem, and that need to be addressed to solve the problem and make space for a proven model as part of that solution.

The interviews also highlighted difficulties in the acceptability and appropriateness of the models, and in relation to their feasibility and fit. Stakeholders identified limiting factors that are relevant considerations in assessing readiness and requirements for scale-up.

*"[Situational analysis] confirmed actually what we knew, that the practice in the country is not in line with modern approaches when it comes to support to families of children with developmental difficulties and disabilities, that we are starting, from the point of early identification, with a very weakened process, despite some progress that has been made in the past years, that the concept is not at all family-centred ... it's not strength-based, and all the weaknesses that actually were the critical, critical components of an effective approach in actually changing or supporting families with children with developmental risks."* UNICEF personnel

### 5.3.1. Acceptability and appropriateness

The models were universally viewed by stakeholders as meeting important needs and making a difference. They were also recurrently viewed as a positive challenge to the system in that they implicitly questioned both family and professional cultures. For example, the FOW, IFC and ECI models were valued by stakeholders for aiming to grow parents' expectations about the abilities and possible lives of children with disabilities. The DM model was seen as constructively exposing professionals to different ways of thinking about the causes of children's offending and the value of restorative rather than punitive approaches.

*"A child from zero to three years of age is not a small man, and it is not true that there is time for him/her, so even if something is wrong, time will do its thing .... Because the misconception is that there is time for a child, that older children should be educated,*

<sup>85</sup> Foster-Fishman P, Nowell B and Yang H (2007) 'Putting the system back into systems change: A framework for understanding and changing organizational and community systems' *American Journal of Community Psychology*, 39, 197-215

<sup>86</sup> Kania J, Kramer M and Senge P (2018) *The Water of Systems Change* FSG

*schooled and invested in, that is only a baby, this one has time, he/she has just started walking, he/she is just crawling and so on.”* Systems stakeholder

At the same time, these aspects of models were seen as exposing ways in which the system is not yet ready for them. It is important to note that these views were not universally held, and some stakeholders – both system stakeholders and local implementation partners – saw models as being implementable at scale without significant social and attitudinal difficulties to overcome. For example, there were concerns that the FOW, IFC and ECI would not be viewed as acceptable by some parents because they challenge conceptions of their child’s capabilities. Stigma about the use of out-of-family care was also thought to mean some families, who would benefit from IFC, had chosen not to use it.

*“Most often, parents who take care of children with disabilities ... are focused on what the child cannot do and not on what the child can do. So we had some disagreements with them that when we try to ... see what the potentials are that we had certain problems there to convince the parent who lives all his life on that mode that the child cannot do something and that some helper is always needed for almost everyone, that we had certain obstacles there.”* Local implementation stakeholder

The models were also seen as questioning some aspects of professional paradigms or norms. ECI was seen as a very new approach for professionals, which meant extensive training was needed to introduce and embed early intervention principles. Stakeholders talked about DMs not being used by judges and prosecutors because the shift in thinking from punitive to restorative justice approaches had not been made. A challenge to DOP that was noted was that some teachers have a limited conception of the role, focused just on teaching and not including responsibility for ensuring that schools are accessible to students and reducing drop-out. This was contrasted with the need for what UNICEF describe as ‘*a more democratic school culture*’.

Again, these issues were not a concern for all the stakeholders interviewed. Some felt that the degree of challenge to professional norms was not significant, or that the value of these new ways of working would quickly outweigh enthusiasm for existing paradigms. However, for others they were more significant concerns.

*“What turned out to be one of the most important problems in that school ... is that almost two thirds of the employees travel, and they perceive school as something where they go, work and return home .... [M]y position is, in fact, that the vocation of a teacher is in fact you are a teacher not only when you are in the classroom, you are also a teacher on the street, and wherever you are... And that turned out to be a great weakness, for any serious work and the implementation of anything, anything more serious, so that something could come to life.”* Local implementation stakeholder

The UNICEF teams were clearly aware of these issues and addressed them through the training and capacity building, which was an important component of each model, and through advocacy and communication. In addition, there were plans to link with universities and other professional training institutes to strengthen early intervention and child development as components of initial and in-service training, and to extend training for judicial professionals in youth justice and child rights.

*“[We] tried to ensure from the very beginning, that we have people who are engaged that are ... from the universities that are training these professionals who are key professionals in the application of service, so that we can also have some discussion*

around how these new practices can be brought to the level of university training for these professionals in the future. Because if we stay only in very intensive capacity-building that is provided by international partners, and even by national partners if there is a training of trainer, it's not going to be sufficient to really scale that up throughout the country, and to even have a broader understanding among the professionals. Because what the model is doing is - there is one very challenging part, and this is kind of a changing completely the paradigm of work, and paradigm of how services are provided." UNICEF personnel

### 5.3.2. Feasibility and fit

The fact that models are designed to improve rather than fit the current system also raises issues in relation to feasibility for and fit within delivery organisations.

#### Capacity of delivery organisations

A recurrent issue highlighted by local delivery sites and system stakeholders was the capacity of delivery organisations to take on the work involved in delivering the model. This reflected existing work burden – for example Centres for Social Work were repeatedly described as being “overwhelmed” or “overloaded” – but it was also related to the unusual intensity of work with families required by the models. Although intensive family support was seen as necessary, and a positive feature of the models, it was perceived as challenging in practice. The availability of the necessary staffing resource was an issue for several of the models, as Table summarises.

**Table 5.2 Staff capacity issues**

	<b>FOW</b>	Capacity of FOW service providers to supervise FOW work. (In addition, capacity for Centres of Social Work to provide assessment care planning and monitoring services. Additional staffing would be provided by new Child and Family Centres. (UNICEF have estimated the number of staff needed in the new Centres to provide FOW.))
	<b>IFC</b>	Capacity of Centres for Foster Care and Adopt to assess and train new foster carers and provide support and oversight. (In addition, current foster care regulations need to be modified to reduce the burden of assessment and training, and to ease the administration of monthly payments to foster carers, and to provide more generous payment)
	<b>DM</b>	Capacity of Centres for Social Work to assess children and determine appropriate rehabilitative activity, oversee activity, and provide activities where no other provider is available. Capacity of other organisations to provide appropriate activities
	<b>ECI</b>	Capacity of paediatricians to undertake assessments of children to identify developmental delay. Capacity of ECI team members to undertaken ECI work including home visits alongside other duties
	<b>DOP</b>	Capacity of school staff to assess risk of school dropout, develop plans, liaise with other organisations providing support, and provide and oversee prevention work

*"When we started implementing the service, due to the lack of staff, it was the biggest drawback because it was necessary to appoint a foster care counsellor, who would monitor the family, otherwise our counsellors are already burdened with monitoring standard families. Also, a team had to be provided to assess the families who apply to provide service, which included the appointment of a psychologist and a pedagogue, as*

*well as a social worker. So those were all additional calls, and additional obligations and a lack of staff.”* Local implementation stakeholder

*“Because if the people don’t have enough time do the ECI and it is just added to their already – they’re overwhelmed already and if this is just added to their duties, nothing will really happen.”* System stakeholder

*“We will gain nothing if we send over 25 questionnaires to a paediatrician who has thirty or twenty-five children today. He or she will absolutely not fill them out.”* System stakeholder

There were also areas where the models were viewed by local and system stakeholders as not consistent with existing roles and skills. Carrying out a robust assessment of a child or family’s circumstances and needs was seen as an essential part of most of the models, and the availability of appropriately skilled staff was a concern. As a result, some organisations had used or taken on specialists to carry out assessments. The ECI model was adopted from Portugal and the United States, where multi-disciplinary teams already exist. The amount of training needed for Serbian professionals to be ready for the model was viewed as challenging, and the work was seen as much more complex and intensive than the usual work of the professionals involved.

The UNICEF teams were aware of these issues, although in general did not describe them as emphatically as some stakeholders, nor see them as significant challenges to scale-up to the degree that learning from implementation science would suggest. The issues were highlighted in strategic programme evaluations, but only some were identified in earlier model evaluations.

It is also important to note that these issues were balanced with an overall positive perception of the models. Thirty of the 39 survey participants were continuing to deliver the model, and generally it was viewed as a good fit with working practices in the organisation, and as relatively simple to deliver, as Table 3 and Table show. Almost all survey participants felt the model should continue to be implemented in their organisation. The barriers to sustained delivery identified by survey participants reflect those identified in the qualitative research (this and the next section), particularly lack of staff capacity; fit of model requirements with working hours and workload; lack of awareness of the needs addressed by the model among staff, and lack of motivation to implement it; and limited intersectoral support.

**Table 5.3 Views about continuing delivery**

	Yes, definitely (n)	Yes, probably (n)	Yes, with some changes (n)	Probably not (n)	Don’t know (n)	Not answered (n)
<b>In your opinion, should your organisation continue to deliver the program in the future?</b>	20	2	7	2	2	6
<b>Base: survey participants n=39</b>						

### Availability of intersectoral cooperation and support

The models were often valued by stakeholders for taking a holistic approach to family needs, in line with UNICEF's intentions. This meant that they generally required support from other services that are not the main provider. Intersectoral support in Serbia was widely seen as weak and needing to be strengthened. UNICEF staff described models as deliberately aiming to simulate cooperation, and the success of this was highlighted by stakeholders.

*"We knew from the studies that were done that there is also [a need for] inter-sectoral cooperation and that without that the dropout prevention cannot function. So as well, the dropout prevention, as we knew from the literature, it is not related only to one sector, it has to do with social welfare mostly and the health system in some cases."*  
UNICEF personnel

*"We are always talking about intersectoral collaboration, so all three sectors [health, education and social welfare] get to collaborate together, which is not common in our country, and so this is a bit of change of practice in general, at local and also at national level, which is not easy to achieve."* UNICEF personnel

However, gaps and weaknesses in intersectoral collaboration were seen by stakeholders as potentially problematic for scale-up. The extent to which this was viewed as a potential obstacle varied, but for some stakeholders the degree of concern expressed was significantly greater than that expressed by UNICEF teams.

It was a particularly significant issue for the implementation and scale-up of DMs, where stakeholders described difficulty in accessing the range and quality of rehabilitative activities needed. For example, gaps in available provision included: psycho-social interventions for youths and families; addiction and rehabilitation services; mental health services; other health services; community-based volunteering activity; educational support, and work placements. UNICEF's modelling of DMs was seen as having prompted significant improvements in local cross-sector cooperation. Further work was being taken forward by local leaders in some areas to stimulate cooperation, and the Judicial Academy had also organised a series of roundtables to prompt local cooperation. However, the constrained availability of rehabilitative activities was seen as a significant issue for scalability.

*"Most of these diversionary orders cannot be actually implemented because of lack of organisational capacity .... A lot of judges understand the value of it, but they cannot prescribe it because they know it will not be carried out. There is no capacity for it in that municipality, or it will be such a burden to the child to go [far] away to give him [something not meaningful] to do – so they fine him or something like that."* System stakeholder

Stakeholders also described difficulties in accessing support for families as part of FOW, support for foster carers involved in IFC, and support for schools to tackle issues identified by the DOP model.

*"... some foster families really ... very quickly gave up, recognising essentially that what we said during the training about the promised support is missing."* Local implementation stakeholder

*“Somehow this inter-sectoral cooperation is not functional .... [I]t is interesting how it is difficult for sectors to cooperate and how it is difficult to do things that they need the inter-sectoral cooperation.” UNICEF personnel*

The survey findings reflect a rather more positive account of local cooperation, although it was not possible to explore the issue in depth there. Twenty-two of the 39 survey respondents indicated that other organisations were involved in the delivery of the model. The quality of cooperation was mainly seen as very or quite good as Table 5.4 shows.

**Table 5.4 Quality of local cooperation**

	Very good (n)	Quite good (n)	Neither good nor bad (n)	Quite bad (n)	Very bad (n)	Not answered (n)
<b>How do you assess cooperation with these institutions/ organisations in delivering the program?</b>	11	6	4	1	0	0
<b>Base: survey respondents saying other organisations are involved in delivery n=22</b>						

### **Fit with policy, finance, legislation and regulation**

In the Serbian context, policy, finance, legislation, and regulation are particularly closely linked since the work of public services is set out in legislation and regulation. This also determines the available funding, with only limited local discretion for service innovation. This explains why each of the models, to be successfully implemented and scaled up, would require legislative and regulatory change.

Although considerable work was undertaken by UNICEF to engage government representatives in modelling in the initiation phase, the models did not generally reflect issues that were already recognised as government priorities. They served the purpose more of raising the profile of particular needs or sowing the seeds for a new ambition. This was viewed as a strength of UNICEF’s work, in the sense that its role is not to execute agreed government priorities or strategies. But it was also recognised as a vulnerability in modelling, with a view that although UNICEF’s role is to change government priorities, more work is needed to align models with existing priorities.

*“I think in a middle-high country like Serbia the expectation of our partners is that our country office obviously doesn't do service delivery but does modelling from which they can draw inspiration .... But it's very important in this type of geography that actually, the government is always in the lead, and that we make sure that modelling happens in the context of the prioritisation that they have done .... [I]n the past some of the models were not completely owned by the government .... We have tried things to contextualise things that we know work, for instance in the area of child development, for instance in the area of preschool, but [the] timing didn't fit the prioritisation of the government.” UNICEF personnel*

Table provides a summary of the legislative and regulatory change requirements for each model to be scaled up. The colour of text indicates the extent to which changes have been made, red indicating that they have not (FOW and IFC), amber that some of the necessary legislation has been enacted (DM and DOP). ECI is shown in grey and regulatory changes are anticipated but not yet know.

**Table 5.5 Legislative and regulatory change requirements**

	<b>FOW</b>	Regulations have been drafted to embed FOW in the work of new Child and Family Centres and secure national funding. These have been agreed in principle by working groups including the Ministry but have not been adopted. As a result, delivery has ceased in the original modelling areas except Novi Sad
	<b>IFC</b>	Regulations have been drafted to amend existing foster care and embed IFC in the work of Centres for Foster Care and Adoption. Again these have been agreed in principle by working groups including the Ministry but not adopted. Regulatory change is needed to the requirements for assessment, training and monitoring of foster carers as they were seen as unnecessarily demanding for intermittent care from people who are often family members. Regulations for arrangements for payments to foster carers also need to be changed. Currently, each time the number of nights of foster care changes, a new assessment of payment requirements has to be made, creating a significant administrative burden. As a result, new families are not being taken on in the original modelling areas, except in Novi Sad
	<b>DM</b>	DMs are enacted in legislation, but the funding of rehabilitative activities is not mandated and there is not yet agreement where financial responsibility sits. Stakeholders consider that national rather than local funding is needed to ensure sustained availability
	<b>ECI</b>	Legislative change requirements are not yet known but are likely to be significant, to embed early intervention and multidisciplinary working in the service system and provide for funding
	<b>DOP</b>	The requirement for schools to incorporate dropout prevention activities (such as risk assessments) into individual education plans has been adopted into law, although without the volume of school training that UNICEF judged necessary

For some models, the need for cross-Ministry alignment and cooperation was an added issue to be addressed. For example, rehabilitative DM activities are beyond the remit of the Ministry of Justice (the lead Ministry). Similarly, issues beyond the remit of the Ministry of Education relevant to DOP include the availability of local transport, homelessness, the pressure for children in families in poverty to do paid work, and labour market conditions. Addressing these issues requires a wider portfolio of work including advocacy – see further chapters 5 and 7.

## 5.4. Implications for modelling

Overall, the UNICEF models were viewed as relevant, credible and having visible relative advantage. However, there are issues relating to their feasibility and fit within the wider Serbian system, which would constrain their scalability and so need to be addressed to increase readiness. Delivery of FOW and IFC largely ceased after the modelling period except in Novi Sad, where stakeholders said that there is a strong visionary local leadership and support for innovation. Implementation of ECI had stopped following initial training in a few areas or institutions. The uneven use of DMs across Serbia reflects different levels of enthusiasm for the model among local judiciary and prosecutors, which in turn reflects the availability of the necessary activities. The quality of DOP implementation was seen as dependent on the individual motivation among school staff to use the model fully.

*“With any project, the scope is limited, the impact is limited to those where they work. You can see by the statistics – where [UNICEF] worked, it was good; in the parts [of the*

country] that they didn't work, nothing changed. That's one of the basic issues with all development projects, is sustainability, as always, it's like a mantra .... If institutional actors do not pick it up, and blow it up on the bigger stage, then it just falls. Most of the things that UNICEF did then were great examples, but I don't see that it was picked up by the system." System stakeholder

"Well, I think that it was personal motivation of professionals that joined this programme, is the most important thing and also the support of the management of institutions. Without support of direct managers of primary health services, and pre-school institution and centre for social work, it would not be done." Local implementation stakeholder

The data suggests that the service, and wider system, in Serbia are not yet fully ready for the exemplar models and are vulnerable to push back from the system – see Box 5.3.

### Box 5.3 How systems neutralise innovation

- 
- **The systems immune response**<sup>87</sup>  
Scaling is far from a linear inevitability, and innovation (a new intervention, service or approach) is frequently stymied or blocked by the surrounding system. This is particularly the case where an innovation disturbs the current system and requires it to change to support the innovation, if the necessary commitment to change has not been secured. Donella Meadows, a leading theorist on systems thinking, refers to this as 'systemic policy resistance'<sup>88</sup> which she sees as arising where there are discrepancies in goals: 'Such resistance to change arises when goals of subsystems are different from and inconsistent with each other'.
  - **'Bad systems trump good programmes'**  
Drawing on evidence about failures to scale up programmes, the leaders of a philanthropic foundation in the United States highlight the need for system reform for effective programmes to reach scale.<sup>89</sup> 'We have seen how bad systems trump good programs, even when we have effective interventions.'

<sup>87</sup> Conway R, Masters J and Thorold J (2017) *From Design Thinking to Systems Change* London: RSA

<sup>88</sup> Meadows D (2010) *Thinking in systems: a primer* Earthscan

<sup>89</sup> McCarthy P and Kerman B (2010) 'Inside the Belly of the Beast: How Bad Systems Trump Good Programs' *Adm Policy Ment Health* 37: 167-172

## 6. Has modelling secured commitment to scale-up?

This is the fourth and final chapter that reports the evaluation of modelling activity by reference to the UNICEF Scale-up Framework. It assesses activity against the final dimension: whether modelling has secured the commitments needed to scale-up. It draws primarily on the stakeholder interviews and interviews with UNICEF personnel, supported by the review of UNICEF planning and governance documents.

### Chapter summary

- For scale-up to be viable, commitment is needed from government and other stakeholders to a vision, target and pathway for scale; to re-allocation of finance; to policy, legislative and regulatory change, and to any necessary capacity building to ensure that delivery organisations are ready for scale-up.
- UNICEF is viewed as being in a strong position to secure commitment to scale-up from a range of stakeholders, having strong relationships with government and other key bodies and being highly regarded for its professional wisdom.
- UNICEF have generally been successful in securing commitment for modelling, and has secured commitment to supporting scale-up from some stakeholders, but government commitment to modelling has not always translated into commitment to support scale-up.
- Stakeholders encourage UNICEF to continue with and amplify direct government advocacy, but also to recognise and support other organisations that can advocate, for the same ambitions, to government.

- Stakeholders also encourage UNICEF to work more actively in support of changing social norms and influencing behaviours, through marketing and communications in addition to advocacy.
- Advocacy and communications activity is not always aligned and integrated with modelling activity in UNICEF’s governance documents and UNICEF personnel highlight a need for better integration of these activities.

## 6.1. Securing commitment: why it matters

Scaling-up initiatives, interventions or programmes requires multiple, committed individuals and organisations to make it happen, particularly at a system level. Commitment is an ongoing process rather than a single event. The evidence on which the UNICEF Scale-up Framework is based highlights that commitment is needed from **UNICEF itself** recognising that capacity and resources are finite and prioritisation is needed<sup>90</sup>; **policy makers**<sup>91</sup>; **funders**<sup>92</sup>; **delivery organisations**<sup>93</sup> directly implementing the model or whose services support it at scale, and wider **practice influencers**<sup>94</sup>: experts or other stakeholders in the field who influence wider practice. Their commitment is needed for:

- **An agreed target for scale**<sup>95</sup>: a clear, intended goal or vision for the model that is quantifiable and measurable. This should include the scale of reach intended, whether focusing on the most vulnerable or on all eligible children, and the organisations to be involved
- **An agreed pathway for scale**<sup>96</sup>: whereas the target for scale is the ‘what’, the pathway for scale is the ‘how’. It outlines the ‘**end game**’ for the model’s success (e.g. policy, legislative or regulatory change to institutionalise the model, or delivery at scale by a particular set of organisations, or incorporation into mainstream practice). The pathway maps out the types of changes needed to reach the end game, and a planned set of activities. It also needs to set out the expectations of committed partners in this effort, so that roles, responsibilities and accountabilities are clear.
- **Funding**<sup>97</sup>: both for scale-up activity (activities such as preparation, training, recruitment and advocacy are critical to a successful scale-up effort and should be considered ‘actual work’ that is budgeted for, detailed and resourced) and for sustained delivery at scale. Funding needs to be proportionate to the goal and timeline outlined in the target and pathway for scale-up.
- **Policy, legislation and regulatory change**<sup>98</sup>: a key aspect of scale-up particularly in the Serbian context.
- **Capacity building**<sup>99</sup>: such as requirements to extend workforce size and skillset, training required, exchange of learning, development of good practice and so on.

<sup>90</sup> Barker et al (2016) – See Annex 5 for full references

<sup>91</sup> Spicer et al (2014); Fagan et al (2019)

<sup>92</sup> WHO (2011); Larson et al (2014); Milat et al (2020)

<sup>93</sup> Larson et al (2014); WHO (2010); Cooley et al (2012); Milat et al (2020)

<sup>94</sup> WHO (2011); Larson et al (2014); Cooley et al (2012)

<sup>95</sup> WHO (2011); Cooley et al (2012); Barker et al (2016)

<sup>96</sup> WHO (2011); Cooley et al (2014)

<sup>97</sup> Fagan et al (2019)

<sup>98</sup> Yamey et al (2011); WHO (2011); Cooley et al (2014)

<sup>99</sup> Spicer et al (2014); Fagan et al (2019)

Of these, government buy-in or political will was viewed by UNICEF teams and stakeholders as the most impactful commitment – because it is here that the decisions that determine the future of a model rests. However, interviewees noted that it can also be the most sensitive type of commitment to achieve and maintain, given changes in personnel and priorities.

## 6.2. To what extent has UNICEF secured commitment?

Looking across the aspects of scale-up for which commitment is needed:

- In all the models, the stakeholder interviews suggest there was commitment to the **target for scale**, in the sense of the social problem to be addressed and the target population (although this was not generally expressed in model documentation or by interviewees in quantifiable or measurable terms).
- There was agreement about the **pathway** for all models except ECI (since this issue had not yet been resolved), in the sense that there was consensus about where in the delivery system the model should be delivered at scale, and the organisational and other changes required for this. It was agreed that FOW should be delivered by the new Child and Family Centres, IFC within the foster care system, DMs by the judicial system and DOP by schools. There was less consistent agreement about the underlying systems changes needed for this to be effective, such as the need for development of rehabilitative activities to support DMs.
- Agreement to **funding** delivery at scale had not been fully achieved. For FOW and IFC, the agreed amendments to legislation to embed FOW and IFC in funded services have not yet been enacted. For DM, judicial system funding was in place but not sufficient funding for rehabilitative activities. DOP was part of funded school activity, but there is a need for expanded funding both for training and support, and for services to support students at risk of drop-out.
- The necessary **policy, legislative and regulatory change** for scaling up DM and DOP had been secured, but those for FOW and IFC had not been enacted, and for ECI the requirements were not yet known
- Finally, commitments to **capacity building** were also not fully in place. Non-government partners with capacity building roles in modelling were generally willing and expecting to continue providing this if funded. Government stakeholders generally saw capacity building as to be funded and managed by UNICEF or another part of the system.

Table outlines the indicative status of each of the models regarding commitment secured, based on interviews with UNICEF personnel and stakeholders and analysis of model documentation.

**Table 6.1 Indicative summary of commitment attained by models**

Model/ Commitment feature	FOW	IFC	DM	ECI	DOP
					
Target for scale-up					
Pathway					
Funding					
Policy					
Capacity building					

 Commitment largely or fully secured.  
 Commitment partially secured.  
 Commitment not secured.

## 6.3. How has UNICEF secured commitment

### 6.3.1. UNICEF's advantageous legacy position in Serbia

UNICEF was viewed by stakeholders as relative mainstay organisation in the Serbian political context, and well placed to facilitate commitment and partnerships between government, national sector organisations, research institutes, professional groups, NGOs and the public. UNICEF was highly regarded as having strong relationships with both government and other key organisations. Indeed, it is seen as the constant presence over decades in which there have been significant changes. The technical and context-based understanding and wisdom of the UNICEF team in Serbia means it was seen as a source of expertise for government as well as a powerful conduit for information and communication.

*“We have a strong UNICEF office here in Belgrade and most of the people have been working there for years. Probably we have there some people who are longer [more experienced] in this topic, than anyone from the Ministry. So, they are really deeply understanding [of] all circumstances in social welfare in Serbia and childcare ... I think that decision-makers are using their [UNICEF staff's] experience very much. At the*

*beginning of each government, most important decision-makers in social welfare and childcare are trying to catch as much as possible from the experienced person from UNICEF.” System stakeholder*

*“Civil society organisations are not very famous in Serbia, so UNICEF had a big role to put together different systems; they have authority to do that. People trust them... They have the channels and means to motivate [sectors and ministries].” System stakeholder*

### 6.3.2. Securing commitment to modelling

As noted in chapter 3, UNICEF secured the commitment of a wide range of stakeholders to modelling and demonstrated a sophisticated network of connections and partners in different service settings. Key ministries appeared to be securely committed to modelling, reflected in annual work plans agreed with the lead ministry. As Table 6.2 shows, some ministries were engaged in modelling for more than one model (DMs, ECI and DOP). The stakeholder interviews and interviews with UNICEF personnel indicated that secondary ministries were not always as clearly and actively committed to modelling.

**Table 6.2 Government Ministries engaged in modelling**

	Model	Ministries involved as partners	
	FOW	Ministry of Labour, Employment, Veterans and Social Affairs	
	IFC	Ministry of Labour, Employment, Veterans and Social Affairs	
	DM	Ministry of Justice	Ministry of Labour, Employment, Veterans and Social Affairs
	ECI	Ministry of Health	Ministry of Education
	DOP	Ministry of Education	Ministries of Youth and Sport & Health (part of model advisory group)

Finally, other stakeholders, both national systems-level and local implementation partners, were generally strongly committed to modelling and, as noted in chapter 3, were of the view that all the necessary partners were appropriately engaged.

### 6.3.3. Securing commitment to scale-up

UNICEF is viewed by stakeholders as having worked energetically to secure government partnership and commitment to scale-up, including aligning models and the language used to government priorities. Other stakeholders, including NGOs, service providers and institutes rely on UNICEF and their ability to be ‘in the room’ regularly, continuing the dialogue with the most influential policy makers on their behalf.

However, government commitment to modelling did not always translate into commitment to scale-up or the wider systems change needed to support it. Interviews with stakeholders suggested that government and some other organisations differentiate

commitment to modelling and scale-up as discrete stages, while for other stakeholder groups (some organisations, individual professionals and the public), the differentiation is less stark. The evaluation data suggest a spectrum of forms of commitment with:

- at one end of the spectrum, commitment to modelling but not clearly to scale-up or systems change (the perceived position of Ministries)
- at the other end, commitment to a shared systems change ambition (the position for example of other NGOs and of some local or national implementation partners)
- and in between, commitment to scale-up but not necessarily enrolment in UNICEF's wider systems change ambition.

Although commitment across the spectrum will be important for scale-up, this rather mixed picture meant that there was not always clarity about roles, responsibilities and lines of accountability for scale-up.

Across the models, there was a perception among UNICEF teams and non-government partners that ministerial commitment to scale-up is *'declaratory'* rather than full. There appeared to be a disconnect between decisions about modelling and plans for scale-up. To a degree for all models, government commitment was seen to have faltered before sustained implementation or scale-up is achieved. However, stakeholders also believed that UNICEF had not yet exhausted opportunities to secure this commitment and should continue with and extend its work with government.

*"It is not possible to expect that they [government] will [commit] just because they have finally understood that it's good and useful, so a little bit of advocacy and show-and-tell is much needed in this regard."* System stakeholder

There appeared to be several reasons for the perceived lack of government commitment; most notable though is that key senior ministry appointments and relevant ministerial priorities have changed and consequently, model(s) in the same system are no longer as high a priority.

*"The Family Outreach Worker is actually the example where I think they cornered every aspect before starting the pilot. They had the commitment of government, they had the funding from the EU, and EU pushing the government as well. They documented it very thoroughly. They did the evaluation. They costed it. And still nothing happened."*  
UNICEF personnel

Multiple ministerial input, sometimes coupled with perceptions of poor cooperation between ministries, has sometimes meant that no clear lead partner was identified or that it remained unclear for stakeholders what scale-up would require. Some interviewees noted that, even among only the exemplar models in this evaluation, some operate within the same sectors and so are competing with the same ministries for priority, capacity, finance and commitment.

These findings are particularly significant since, as discussed in chapter 5, UNICEF's ambition is for systems change. This suggests a need for UNICEF to ensure government buy-in and commitment is based on a longer-term vision, systems change and, crucially, what is required for it to happen.

*“Change is always hard, but change is less hard if there is a clear pathway”* System stakeholder

## 6.4. Opportunities to strengthen commitment

### 6.4.1. Strengthening government advocacy

There is strong support for UNICEF’s political advocacy work to be continued, and whilst some stakeholders were impressed by the work UNICEF had done, others wanted it to be amplified in relation to all five models, actioning the work set out in Table 4.4 in chapter 4. Some stakeholders emphasised the need for UNICEF to re-double its efforts given the frequent change in government personnel and priorities, recognise the need to continually form new connections, and to be proactive in anticipating or bracing for a change of priority. Although they recognised they may not be sighted on all of UNICEF’s advocacy activity, they saw a need for more advocacy and for it being more visible to partners, as summarised by a system stakeholder below.

*“UNICEF is acting like there is a strong continuum [continuity] here in Serbia in the last 20 years, which is actually not true. Each next government can accept everything from the past or can reduce or refuse everything from the past. So, it is not true or at least it would be wrong to think that there is a strong [continued relationship] in the last 20 years; and UNICEF is acting like there is. Their [UNICEF’s] attitude is we made something [with government] ten or fifteen years ago. We are not going to do that again. I understand their attitude and from their point of view they are probably right. However, from my point of view or from the point of view of professional needs, I would like to see them being more active in terms of advocacy.”* System Stakeholder

UNICEF personnel noted a need for more nuanced and systematic analysis of the (changing) political context to identify synergies, potential blockages and potential influencers. They described instances where modelling had moved forward without sufficient early work to build political demand and synergy. UNICEF leaders emphasised the importance of aligning models, from the start, with existing government priorities or incentives (i.e., what is encouraged, supported, valued and permitted). Teams recognised the need to be agile in how they position a model to align with government or ministerial priorities and commitments either within the sector, or to the model itself. For example, DOP was initially not linked with inclusive education as it was not a focus in government at the time<sup>100</sup>.

*“So we proceeded with the modelling without actually preparing the advocacy first .... Sometimes the model came at the wrong moment, where the issue was not [yet] on the agenda at the time.”* UNICEF personnel

*“I think, frankly speaking, what is lacking at the onset of a development of pilots in Serbia is this political analysis, first of all, and who are the movers and shakers that we need to mobilise to make sure there is this ownership at the beginning.”* UNICEF personnel

<sup>100</sup> This also reflected the fact that the drop-out prevention agenda was initially separate from inclusive education at UNICEF Regional Office level. The Serbian Country Office was the first office to align inclusive education with drop-out, in co-operation with the Regional Office.

UNICEF staff and others emphasised the importance of input from senior UNICEF leaders for these efforts, and to address cross-sectoral issues which are handled at the highest levels of government.

#### **6.4.2. Strengthening financial advocacy**

UNICEF personnel and stakeholders viewed political and financial advocacy as closely connected: policy and legislative change that secures a model as part of mandatory practice is linked to ensuring it is funded through national budgets. This was a clear part of the scale-up strategy for FOW and IFC, for example.

For DMs and DOP, political and financial advocacy are entwined in that securing DMs and DOPs as part of the juvenile justice and school systems by definition secured their funding. The key issues for continued financial advocacy, however, is funding for rehabilitative activities in the case of DM, and social provision in the case of DOP. Despite the close involvement of the Ministry of Justice, stakeholder interviews suggest that the government expectation is that funding for rehabilitative activities should be a municipal responsibility, and funding for capacity building the responsibility of UNICEF.

Finally, for ECI there is not yet a government commitment to funding screening nor intensive support, and continued work is needed.

Interviews with UNICEF teams and with model stakeholders highlight that UNICEF has been very active in advocating for models and their funding in general. However, there was no discussion of financial and political advocacy being linked with key points in the budgetary calendar (see chapter 2) when interventions are likely to be more effective in influencing funding allocations.

A review of UNICEF's planning documents by the evaluation team found no reference to influencing government financial allocation for any of the models in Annual Work Plans, Result Assessment Module monitoring plans or knowledge mobilisation and communication plans, and very scant references to securing funding from other sources. This was identified as an area for strengthening by UNICEF leadership.

*"I think [access to funding] is where UNICEF, frankly speaking, has been the weakest. Mobilising funds to do a pilot is okay ... We've not been influencing that process enough and I think as part of our new Country Programme ... we've put a huge emphasis on public finance. I think one key issue in the development of models is that we're not anticipating the cost of the model, how much will it take to scale it up? ... That's a critical missing link, to be able to invest in or to influence the government planning and budgeting."* UNICEF personnel

#### **6.4.3. Influencing government through others**

Although some stakeholders saw advocacy as largely or entirely the work of UNICEF, others also wanted to see UNICEF leverage the ability of other organisations (including stakeholders' own) to advocate directly to government. Some interviewees said their potential influence had not been fully employed in UNICEF's leadership of modelling. They suggested that UNICEF should leverage, and help to build, the capability of other organisations such as national bodies, professional associations, civil society and local leaders, and to connect government with others who could speak powerfully for models. Ensuring that government could hear directly from groups and individuals who can speak for the change brought about by a model was seen as a powerful change agent, and one that could be used, for example, in promoting ECI.

*“[Ministers] need to be more involved to see how it functions and what are the benefits for the children, for the parents .... This is crucial for them to see what were the systemic solutions ... for the three ministries to take part and to really talk to the people from the [Portuguese] government about how they made it, what they did, when it was done ...”* System stakeholder

UNICEF teams and leaders, and stakeholders, also noted the importance of leveraging other influences on government such as the EU (particularly the integration agenda), and other key players such as Russia and China. The private sector was also seen as an increasingly important influence on government. It was noted that UNICEF needed to take the private sector into account when considering private-public partnerships and in influencing work. This was seen as requiring the alignment of models with improving social mobility, economic growth and labour market skills, as well as improving outcomes for the most disadvantaged children. Finally, other funders including international financial institutions such as the International Monetary Fund, European Investment Bank and significant foundations were seen as important influences, although the need for funding to be sustained across the lifetime of modelling and scale-up efforts and/or budgeted for accordingly was emphasised.

#### **6.4.4. Building movements and leveraging social commitment**

As well as advocacy directed at government, there was strong support from some stakeholders for UNICEF to do more to *‘change hearts and minds’* and to build and mobilise social and professional movements in support of change. This issue was not discussed by all stakeholders, but for some, practitioner associations, parent movements, associations of guardians and other groups were seen as important for developing a groundswell of support for an initiative. Examples were noted of this being effective in the Serbian context, such as in relation to domestic violence or other crime. These potentially powerful movements were seen as having potential to generate significant community and social demand for change and can influence the status quo, plans and priorities of government, and connect with the vision underlying models. The importance of UNICEF recognising parents’ voices, and using their power to mobilise other support, was particularly emphasised.

*“The parents [in Georgia] made miracles! Getting our parents and our association with them to see what they do, to exchange what they did, what steps were made, how they did that, would be very powerful.”* System stakeholder

The potential of networks and movements to be a direct influence on government was seen as important, and UNICEF was viewed as having a role in connecting movements with government. However, stakeholders also wanted UNICEF to build the momentum and voice of these movements to become powerful coalitions, ready to act when the government becomes receptive. Similarly, building the capacity of local leadership for coalitions and as support for UNICEF’s ambition was also considered important.

Overall, stakeholders suggest a need for UNICEF to amplify and also diversify its advocacy and communication activities. Several stakeholders saw a need for a national media campaign, for example on foster care, parenting support or restorative justice, to support the vision and ambition behind models. They valued conferences and seminars run by UNICEF and welcomed more. They also emphasised the need to recognise that local organisations often have strong networks that can be mobilized to build movements and strengthen voices.

*“Well, what I have witnessed in recent years is that UNICEF is really very successful in connecting departments, connecting people, and motivating them [...] everything that UNICEF does and what it initiates, and that is in fact a fantastic starting point, to propose something that is then either an extension, or something that is new. [UNICEF] are a great starting point to win over people from other sectors”* Local implementation stakeholder

*“[UNICEF need] to be present in the media; they have many resources to make it visible and to advocate intensively with the policy makers and with the broader public about things like this. I think it is strength of the UNICEF that everybody recognised what UNICEF says. It's stuck within people's heads, it's important”* Local implementation stakeholder

The UNICEF teams recognised the central importance of government advocacy, and some also talked about the importance of building social movements, but this and the need to advocate with and through others were not as emphasised by the UNICEF teams as they were by some stakeholders.

#### **6.4.5. Integrating modelling, advocacy and communications**

UNICEF personnel also commented that modelling, advocacy and communications work need to be better integrated in modelling plans and work. They noted that UNICEF's internal structures separate advocacy, communications and programming expertise, and also separate thematic areas, mirroring siloes in government. Some staff said that better integration was achieved where projects had funded specific advocacy or communication capacity attached to a model or programme of work.

*“We need to bring the team to work together in an integrated way and deliver to counterparts in an integrated way .... Wherever we have been successful it's when those four elements – communication, advocacy, innovation and programme substance – were aligned .... [In the current structure] We are actually also reflecting the segmentation of the government.”* UNICEF personnel

This lack of integration is reflected in model planning and governance documents reviewed. The 2020 communications and knowledge dissemination plans reviewed by the evaluation team reflect these shortcomings. There are specific knowledge dissemination plans for child protection, early childhood development and education, and a communication strategy and integrated communication implementation plan. These do not set out an overall vision or ambition for change (beyond a brief phrase or sentence), nor analysis of the barriers to be addressed and shifts needed. A varied set of intended activity is described but it is not clear how the activities contribute to the social and system changes needed, and the connection with modelling and models is often unclear.

Similarly, there is a little reference to advocacy or communication activity in model- or programme-level theories of change (the ECI model was an exception). Annual work plans which formulate activity agreed with each Ministry varied in whether systems-level change was described, but where it is mentioned it is with very limited detail, and the focus is on describing modelling activity to be carried out. The UNICEF 2020 Results Assessment Module monitoring plans similar briefly refer to the systems change ambition but largely describe specific modelling work with few references to advocacy or communication. There were no references in planning documents to financial advocacy specifically, and no indications of advocacy being linked to specific points in the fiscal calendar.

## 7. Discussion

This final chapter synthesises the findings from the previous four chapters. It begins by providing a summative analysis of the readiness of each model for scale-up and the work required. It then summarises the study findings in relation to the three OECD/DAC evaluation criteria. The chapter then discusses implications of the findings for how modelling could be strengthened, and ends with a brief summary of lessons learnt.

### Chapter summary

- All the exemplar models have good potential, and all need a combination of systems-level change, attention to delivery organisations and further development of the model to realise that potential
- The FOW appears to be viable for scale-up, if the new Child and Family Centres are established with FOW as part of their work. Further testing and optimisation of FOW in this new setting would be needed
- IFC could be scaled-up provided the necessary changes to foster care regulations are made; again further modelling under these new scenarios is needed.
- DMs are enacted in law but are unlikely to reach children and young people at scale until there is an expansion in available rehabilitative activities. This, and continued work towards wider support for restorative justice approaches, would be the most useful focus for UNICEF's continued work

- The ECI model is at an early stage of implementation and evaluation. The evidence from this evaluation suggests it needs to be adjusted to adapt to the current capacity of the system. A phased, iterative approach is likely to be needed to scale-up, to avoid scaling-up before the model, and the wider system, are ready
- There would be value in further work to ensure the DOP model is adaptable to fit to differing school capacities, with continued capacity building depending on need. Overall, this is likely to improve the quality of the model's implementation at scale
- The evidence for the relevance, efficiency and sustainability is mixed, and there is scope to strengthen modelling in a number of ways:
  - There needs to be clarity about the overall systems level change intended and how the model is intended to contribute, and modelling needs to be located within a wider portfolio of planned activities to which key stakeholders are committed.
  - UNICEF invests considerable resources in evaluation but there is scope to strengthen implementation evaluation, effectiveness evaluation and cost-effectiveness analysis.
  - The design of models needs to be closer to the capabilities of the current system, with more robust testing of implementation and fit, and iterative cycles of work to improve the performance of the service system incrementally
  - There needs to be more focus on gender in refining model content and approaches and in evaluation.
  - UNICEF needs to extend and diversify advocacy and communications work, and strengthen and target financial advocacy, and integrate this with modelling.
  - Planning and governance needs to be adapted to reflect these wider portfolios of work, recognising that scaling up requires dynamic, non-linear approaches.

## 7.1. Readiness for scale-up of the exemplar models

In this section we assess the readiness for scale-up of the exemplar models and highlight the key steps required. The discussion draws on the analysis in previous chapters and uses the three 'domains' set out in the Dynamic Sustainability Framework, namely the wider or outer system, the 'inner system' of delivery organisations, and the model itself. The analysis distinguishes between work needed at each of these levels, for each model. The table at the end of each section summarises the work needed and suggests a sequence.

The section on each model also includes a figure (Figures 7.1-7.5) which graphically represent readiness for scale-up for each of the models, assessed against the UNICEF Scale-up Framework. The figures reflect the four key domains of the UNICEF Scale-up Framework, assessing how far the model has been optimised, how far the necessary evidence has been generated, how far the model is fit for context, and how far commitment has been secured. The domain of 'fit for context' was divided into two sub-categories to show separate scores for the credibility, relevance and relative advantage of the model, and its appropriateness, feasibility and acceptability, since these two sub-categories were distinguished in interviewees' assessments.

To create the figures, each of the five areas of assessment (i.e. the four domains in the UNICEF Scale-Up Framework, one of which was divided into two) includes between 3-7 individual items (as set out in the USF). For each of individual item, a score from 0-3 was assigned, based on the findings reported in chapters 3-6, with 0 representing little or no progress and 3 representing work being complete. This was inputted into an excel spreadsheet and a combined average score for each of the five areas was generated.

### 7.1.1 Family Outreach Worker

#### Current status

Many of the necessary model elements of FOW are in place, the text of proposed legislation has been agreed in principle, and there is consensus about the Child and Family Centres as the delivery organisations. The FOW model has strong potential to address equity issues. The focus was widened from children at risk of family separation to children with developmental disabilities, and stakeholders see it as able to reach children with multiple needs. Data on the reach of the model across gender and family circumstances would be needed to establish its ability to reach the most disadvantaged, and this will depend in part on the strength of referral pathway. Given that there are still more boys in out of home care than girls, the model has particular potential for boys, but its potential to address other equity gaps is strong.

#### Wider system level work needed

Government's commitment to legislating for and funding FOW as part of the work of Child and Family Centres needs to be secured. This is likely to require continued and expanded advocacy and communications, both directly to government and by building momentum and support via other stakeholders. Stakeholders are also keen to see FOW as just part of a wider spectrum of support services for families, so attention would need to be paid to ensuring it does not divert funding from other levels of need or service intensity. Building wider social demand for a spectrum of support for families, and particularly demand for intensive services, would also help to create systems readiness for FOW.

#### Delivery organisations level work needed

As the new Centres are established, their capacity and ways of working will need to be developed to support FOW alongside other functions, with review of how FOW fits with other responsibilities and functions, training and support needs, and ensuring that the service capacity required for FOW is made available.

#### Model level work needed

As Centres, once established, will be new environments for implementation of FOW (albeit repurposed organisations that engaged in the modelling work), a phased approach to implementation would be needed. Implementation may identify issues that require more work to support Centres, and/or modification of the model. For example, the delivery approach will need to be adapted to reach children in rural areas. The UNICEF vision is locally based outreach workers with strong community links, employed and supported by each Centre. This would need to be tested and evaluated and ongoing monitoring put in place. Reviewing how FOW has operated in the new context will provide insight and learning to strengthen the model and its wider delivery. Longer term outcomes should also be evaluated once stable implementation has been achieved.

**Table 7.1 Scaling-up FOW: sequencing further work**

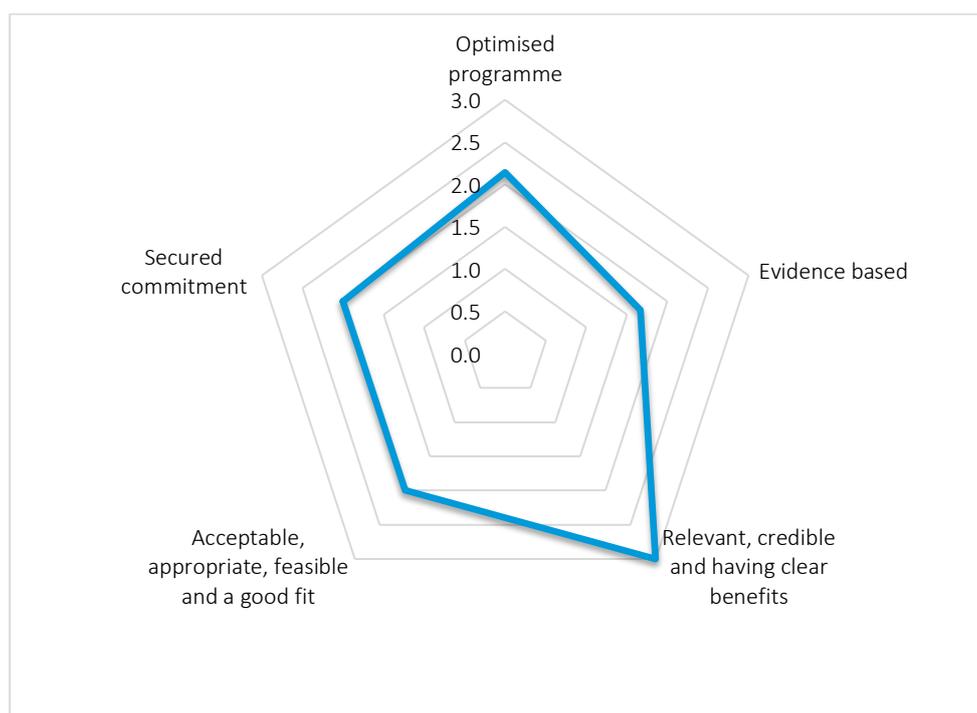
	<b>FOW</b>	1. Continue and extend advocacy and building support to secure government commitment to new Centres and to funding FOW as part of their work
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- 
2. Plan how FOW will fit in their work: referral routes, staffing needed, how to prepare for implementation, how to reach children in distant areas
  3. Support and assess implementation in (some or all) Centres
  4. Adapt model if needed and continue to assess implementation
  5. Establish system for ongoing monitoring of delivery and reach, including to assess reach to the most vulnerable families
  6. Put in place arrangements for measuring short and longer-term outcomes
- 

### Assessment against the UNICEF Scale-up Framework

Figure 7.1 shows the evaluation team’s summative assessment of progress on FOW against the domains in the UNICEF Scale-up Framework. The highest score is given for relevance, credibility and having clear benefits. The score for ‘optimised programme’ reflects the absence of some key components, including a model-level theory of change and clear core and adaptable components and fidelity criteria. The score for ‘secured commitment’ reflects the fact that the agreed legislative changes have not been enacted, and the score for ‘acceptable, appropriate, feasible and a good fit’ reflects the need to assess this in relation to the new Child and Family Centres once established. The lowest score is for ‘evidence based’ reflecting that there is limited evidence about outcomes.

**Figure 7.1 Readiness for scale-up: FOW**



### 7.1.2. Intermittent Foster Care

#### Progress made

Many of the necessary model elements of IFC are in place, and proposed legislation has been agreed in principle. Like FOW, IFC has strong potential to address equity issues although more analysis of its reach across family types and cultural groups is needed. It was used in the modelling period to support children with a range of disabilities, one- and two-parent families, and children from a range of cultural backgrounds. In the modelling stages the service was used by boys more than girls, and the reasons for this disparity

should be explored. The most marginalised families are likely to have least access to potential intermittent foster carers in their existing circles which should be a continued focus in implementation and evaluation, and the reach of Centres for Foster Care and Adoption into rural areas also needs to be taken into account.

### **Wider system level work needed**

Government's commitment to legislating for and funding the service as part of the work of Centres for Foster Care and Adoption needs to be secured. This is likely to require continued and expanded advocacy and communications, both directly to government and by building momentum and support via other stakeholders. Stakeholders are also keen to see IFC as just part of a wider spectrum of support services for families, so attention would need to be paid to ensuring it does not divert funding from other levels of need or service intensity, and that support for families at other levels of need is also strengthened. As with FOW, building social demand for services for vulnerable families, as well as promoting IFC among potential foster carers, would be helpful.

Longer term, there would be value in considering whether the foster care system is the most appropriate delivery system for IFC. Situating the model in the foster care system may be optimal at this point, given that foster care is a priority recognised by government. However, there are questions about whether it is the best long-term service delivery platform for IFC, and if not, what is, and how to secure it as a sustainable base.

### **Delivery organisations level work needed**

As with FOW, implementation of IFC by Centres for Foster Care and Adoption using the new regulations should be tested to ensure they reduce friction between IFC and the foster care system sufficiently. The capacity of Centres for Social Work to support IFC under the new regulations should also be assessed.

### **Model level activity needed**

Guidance and procedures will need to be adapted to the new regulations, and any necessary adaptations made to ensure IFC reaches the most marginalised children including those in rural areas and where families do not have known potential foster carers. Monitoring needs to be in place and longer-term impacts on children's outcomes measured.

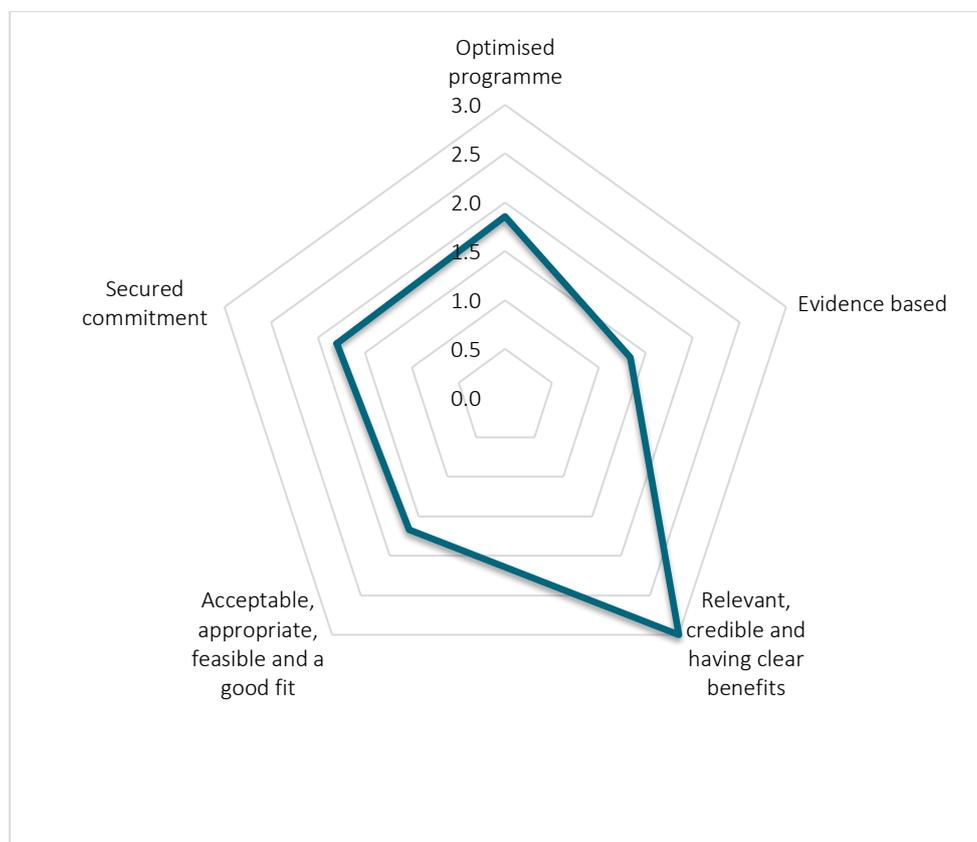
**Table 7.2 Scaling-up IFC: sequencing further work**

	IFC	<ol style="list-style-type: none"> <li>1. Continue and extend advocacy and building of support to secure government commitment to amendment to foster care regulations and to IFC as part of funded foster care service</li> <li>2. Review and adapt IFC as needed to fit new regulation</li> <li>3. Support and assess implementation in Centres for Foster Care and Adoption, including supporting activity to address parental stigma in use of shared care</li> <li>4. Adapt model if needed and continue to assess implementation</li> <li>5. Establish system for ongoing monitoring of delivery and reach, including to assess reach to the most vulnerable families</li> <li>6. Put in place arrangements for measuring short and longer-term outcomes and assessing costs</li> <li>7. Review optimal long-term delivery system for IFC</li> </ol>
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**Assessment against the UNICEF Scale-up Framework**

Figure 7.2 shows the evaluation team’s summative assessment of progress on IFC against the domains in the UNICEF Scale-up Framework. Like FOW, the highest score is given for relevance, credibility and having clear benefits. The score for ‘secured commitment’ reflects the fact that the agreed legislative changes have not been enacted. The score for ‘acceptable, appropriate, feasible and a good fit’ reflects concerns about delivery capacity and about the acceptability of respite care to families. The score for ‘optimised programme’ reflects the absence of model-level theory of change, set of core and adaptable components and fidelity criteria, and a monitoring system. The lowest score is for ‘evidence based’ reflecting that there is limited evidence about outcomes.

**Figure 7.2 Readiness for scale-up: IFC**



### 7.1.3. Diversionary Measures

#### Progress status

UNICEF's work has increased the acceptability of DMs to key professional groups and strengthened local intersectoral support for DMs, as well as developing standards. The summative evaluation<sup>101</sup> notes that data on the reach of DMs to the most vulnerable groups was not available, but that those in the youth justice system are likely to be highly vulnerable. Capacity building had addressed equity issues somewhat but a more systematic focus on this in the next stages of work will be important. Overall DMs have the potential to promote equity issues. Given the preponderance of boys in the youth justice system, they are likely to benefit boys disproportionately, and additional attention should be paid to the needs of girls within the system and conscious or unconscious bias in their treatment which might be a barrier to the use of DMs.

#### Wider system level work needed

The key barriers to scale-up are the need to increase the funding, provision, appropriateness and quality of DM activities. This needs to be addressed as matter of some urgency, since DMs are only notionally of value and beneficial without appropriate rehabilitative activities available. The availability of tailored, appropriate and high quality rehabilitative activities for girls, and for children in rural and other service-deprived areas will need to be addressed, and agreement for how this would be funded nationally secured. Activity to build wider social acceptance of restorative practice, and better understanding of the circumstances that can lead to juvenile crime, would help to build social readiness and demand for DMs.

#### Delivery organisations level work needed

Support to promote local cooperation to establish the necessary range of rehabilitative activities in each locality is likely to be important, but it is not yet clear that there is a scalable model for providing such support. UNICEF is unlikely to have the capacity to promote local cooperation nationwide. Further work to establish how cooperation can be promoted, perhaps by local leaders, is needed.

Continued work is also needed to embed restorative practice more fully in professional ways of working in the judicial professions. A single system for monitoring the use of DMs and judicial system outcomes needs to be established. Finally, the capacity of Centres for Social Work to carry out assessments and oversee DMs also needs to be secured.

#### Model level work needed

Stakeholders noted the need to improve and standardise the quality of assessment of the appropriate DM for each young person, referrals and rehabilitative activities, and to clarify responsibilities and guidance. Better evidence, including on how to optimise the use of DMs and about impacts on recidivism and costs savings, is needed.

<sup>101</sup> Horvat, M., Berrlh, C., Netkova, B., & Razić Ilić, D. (2017). *Summative evaluation to strengthen implementation of justice for children system in the Republic of Serbia (2010-2017)*.

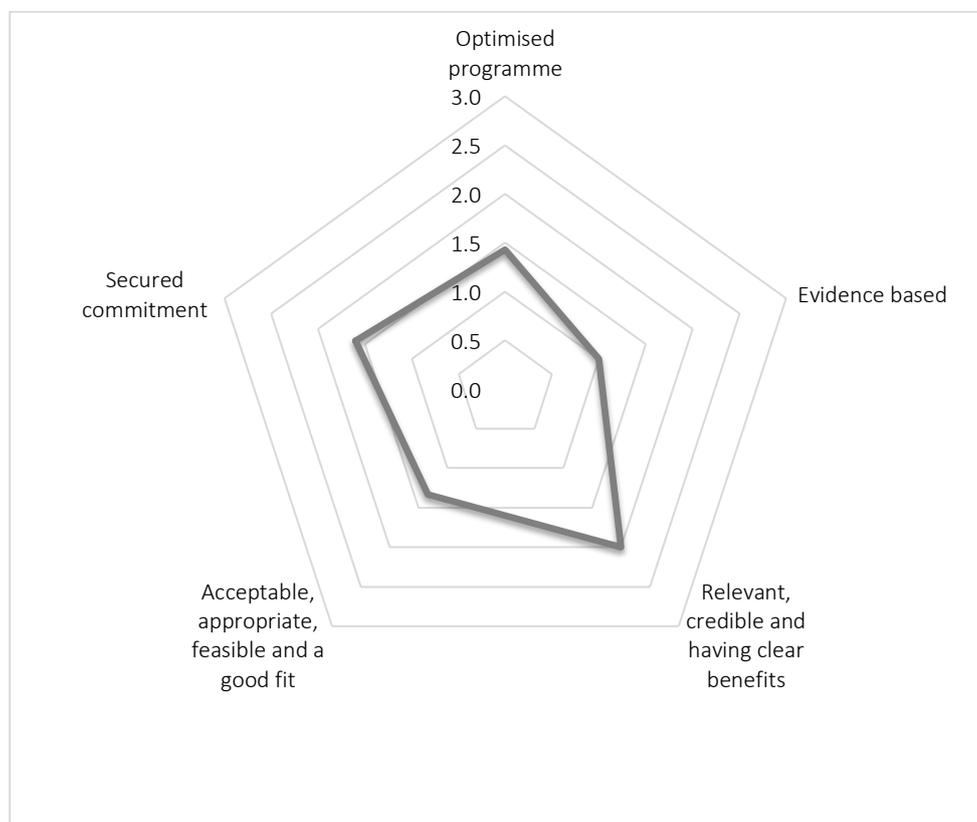
**Table 7.3 Scaling-up DMs: sequencing further work**

	<b>DMs</b>	<ol style="list-style-type: none"> <li>1. Agree responsibilities for funding of rehabilitative activity across sectors</li> <li>2. Support and test expansion of rehabilitative activity across sectors</li> <li>3. Establish single system for monitoring use of DMs</li> <li>4. Promote restorative justice approaches widely, particularly within judicial system</li> <li>5. Test strengthened approaches to assessment, referral and oversight of rehabilitative activities</li> <li>6. Test approaches to promoting local cooperation</li> <li>7. Collect evidence on use of DMs, reach across equity groups, continue to review sufficiency of rehabilitative activities</li> <li>8. Measure short- and long-term outcomes of DM including impacts on recidivism, measure cost effectiveness</li> </ol>
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**Assessment against the UNICEF Scale-up Framework**

Figure 7.3 shows the evaluation team’s summative assessment of progress made against the domains in the UNICEF Scale-up Framework. The highest score is given for relevance, credibility and having clear benefits. The score for ‘secured commitment’ reflects the fact that the model is secured in legislation but without clarity about where responsibility for developing and funding rehabilitative activity sits. The score for ‘acceptable, appropriate, feasible and a good fit’ reflects concerns about delivery capacity and about the public and professional support for restorative justice. The score for ‘optimised programme’ reflects the absence of model-level theory of change, set of core and adaptable components and fidelity criteria, monitoring system and costs analysis. The lowest score is for ‘evidence based’ reflecting that there is limited evidence about implementation, outcomes and cost-effectiveness.

**Figure 7.3 Readiness for scale-up: DMs**



## 7.1.4. Early Childhood Intervention

### Progress made

A great deal of enthusiasm and support for the model has been generated, and core model components developed. There are concerns about the capacity of organisations to accommodate the model alongside other work, and the optimal delivery platform for ECI is not yet clear.

The model has strong potential to address equity issues. The likely impact by gender will need to be a focus in data collection. The current system, where paediatricians undertake initial assessment as part of universal provision, has good potential to reach children in need widely. The new national register of children with disabilities may also be helpful. Reach to deprived and rural areas will need to be taken into account in determining the best delivery system.

### Wider system level work required

There are different views among stakeholders as to the right delivery system for ECI. It will be essential to resolve this and to secure consensus before investing in further modelling. There are different views about early intervention should be integrated into the work of all relevant professionals, or the responsibility of virtual cross-sectoral teams, or undertaken by specialist multi-disciplinary teams. Alternative proposals are that it should be the work of a new national centre focus on early childhood development, or of public health nursing. There are also some preferences for local variation that could encompass all or some of the above. There are concerns that assigning ECI exclusively to specialist teams would not embed early intervention and prevention in mainstream services. Continued work and consultation, and clarification of Ministerial leadership, is needed.

An evidence-informed case for early intervention and prevention will need to be made to government and relevant professionals based on outcomes and costs data and, ultimately, demonstrating a feasible model. As with other models, this is likely to require a wide range of advocacy and communications activity, as well as linking with professional training provision. There is also a need for public- and professional-facing communication to promote the value of early intervention and to build parent and professional movements supporting these approaches.

### Delivery organisation level work required

The model as currently designed is challenging for the delivery organisations involved, even under modelling conditions (where there is usually more tolerance of additional demands). Continued work is needed to build delivery organisation capacity and systems support for ECI

### Model level work required

An important step towards scale-up will be to review and simplify the model, in line with developing delivery organisation and system capacity, with further phases of modelling to optimise it for whatever is the chosen delivery system. Robust evaluation will be needed through phases of modelling, initially to test training and capacity building approaches and implementation, and then to measure short- and longer-term outcomes. A phased and iterative approach to modelling and scaling up seems particularly important: confidence could easily be lost and resources and opportunity wasted through scaling-up before the model and wider service system are ready, and this is recognised by UNICEF personnel.

*“We have different professionals with different experiences with not so much experiences in collaboration among them, from different sectors. This is a long-term process, and even when we define the model, we will need some time to really put that*

*model in the system, and just provide the assisted mechanisms and good mechanisms to keep that process in next few years, so we succeed maybe in ten years or five years.”*  
 UNICEF personnel

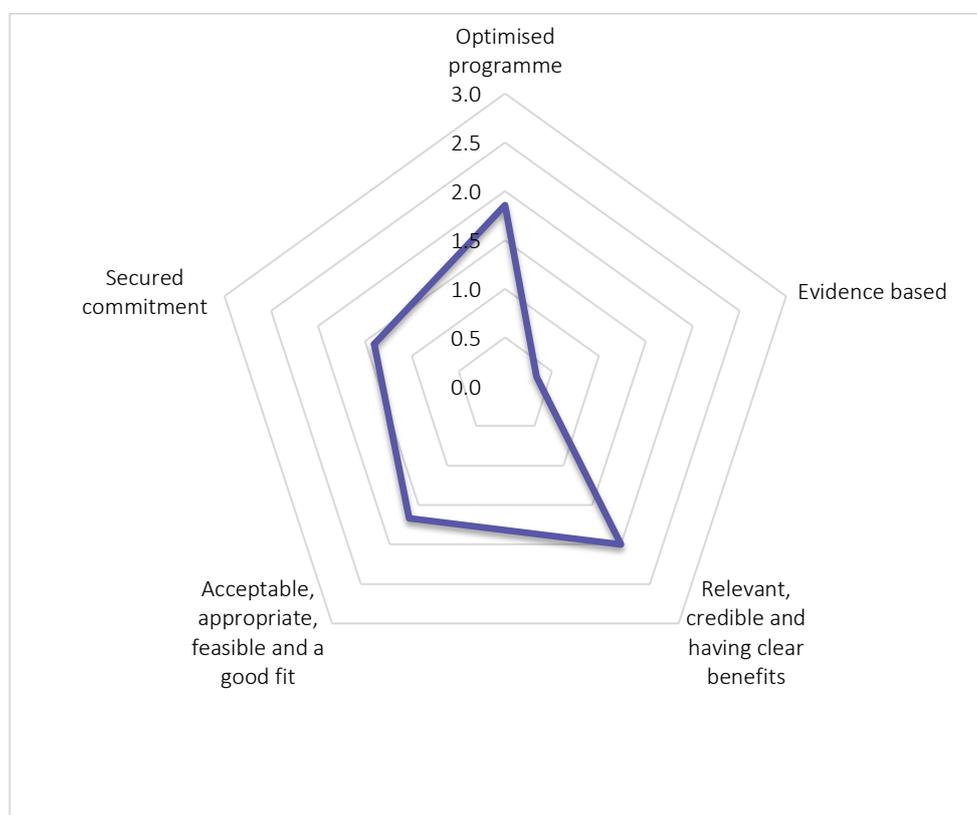
**Table 7.4 Scaling-up ECI: sequencing further work**

 <b>ECI</b>	<ol style="list-style-type: none"> <li>1. Continue to model ECI with robust implementation analysis to support bi-directional work to strengthen delivery organisations’ capacity for ECI and to simplify and reduce the burden of the model</li> <li>2. Set up approaches for measurement of outcomes beyond duration of the model, to be adapted as delivery is developed</li> <li>3. Continue to review options for the longer term delivery system for ECI</li> <li>4. Clarify ministerial leadership and secure continued collaboration in modelling, making an evidence-based case for early intervention and prevention</li> <li>5. Build a parents movement to adjust parental attitudes and demonstrate demand for ECI</li> <li>6. As the delivery system and model is consolidated, assess costs</li> <li>7. Once the optimal delivery system is agreed, identify work needed to create readiness for ECI, and model adaptations needed to fit</li> </ol>
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**Assessment against the UNICEF Scale-up Framework**

Figure 7.4 shows the evaluation team’s summative assessment of progress on ECI against the domains in the UNICEF Scale-up Framework. The scores largely reflect the early stage in modelling of this model, and particularly that evaluation is only just being put in place and that key model components have not yet been optimised based on learning from implementation. The score for ‘acceptable, appropriate, feasible and a good fit’ reflects concerns about delivery capacity and that early intervention is not embedded in professional expectations and training.

**Figure 7.4 Readiness for scale-up: ECI**



## 7.1.5. Dropout Prevention Programme

### Progress made

UNICEF has made significant achievements with the DOP. It has raised the profile of school dropout, demonstrated a viable approach for addressing dropout, had key elements of the approach embedded in education systems, and shown how schools' own data systems can be used to support dropout prevention and monitoring of outcomes. The inclusion of multiple risks to school attendance in DOP means that it is well positioned to address equity issues, and it will have a particular role to play in addressing the gender-specific reasons for girls to drop out of school. Data on the reach and effectiveness of dropout activity across gender and different demographic and cultural groups is needed. Different cultural attitudes to education, and the possible unintended consequences for families who are dependent on a child's economic contribution, will need to be taken into account.

### Systems level work needed

UNICEF is positioning DOP within a wider framing of school inclusion and school improvement, and advances where would help to secure systems-level support for DOP and to make the case for greater government investment in school training capacity building to support DOP. This framing would also be helpful in widening perceptions of the role of teachers and schools, which is likely to need school- and parent-facing communication. There is also a need to continue national level advocacy to sustain funding and support for drop-out prevention and monitoring of drop out, and to continue to expand the economic and social welfare provision required to support DOP work expectations and priorities.

### Delivery organisation level work needed

UNICEF should continue to promote the programme, despite it already being embedded in wider school policies and development plans. Means to achieve this include providing training and capacity building support to support schools to use DOP well where this is needed, including the risk assessment tool, to build networks of community support, and to develop individual education plans that effectively address students' needs. As UNICEF is unlikely to be able to support implementation nationwide, strategies for building school and local capacity should, over time, be handed over to the education sector to deliver. DOP should be linked with school strategies and priorities, to promote it within a wider vision of school inclusion and school improvement.

### Model level work needed

Given the view of some stakeholders that the DOP model is too complex for some schools, in particular the use of the EWIS tool, further review is needed to identify where the model might be simplified, or support extended, to reduce the burden on schools. Continued evidence building is needed to monitor implementation of DOP and measure its impact, including on longer term education, employment and welfare outcomes.

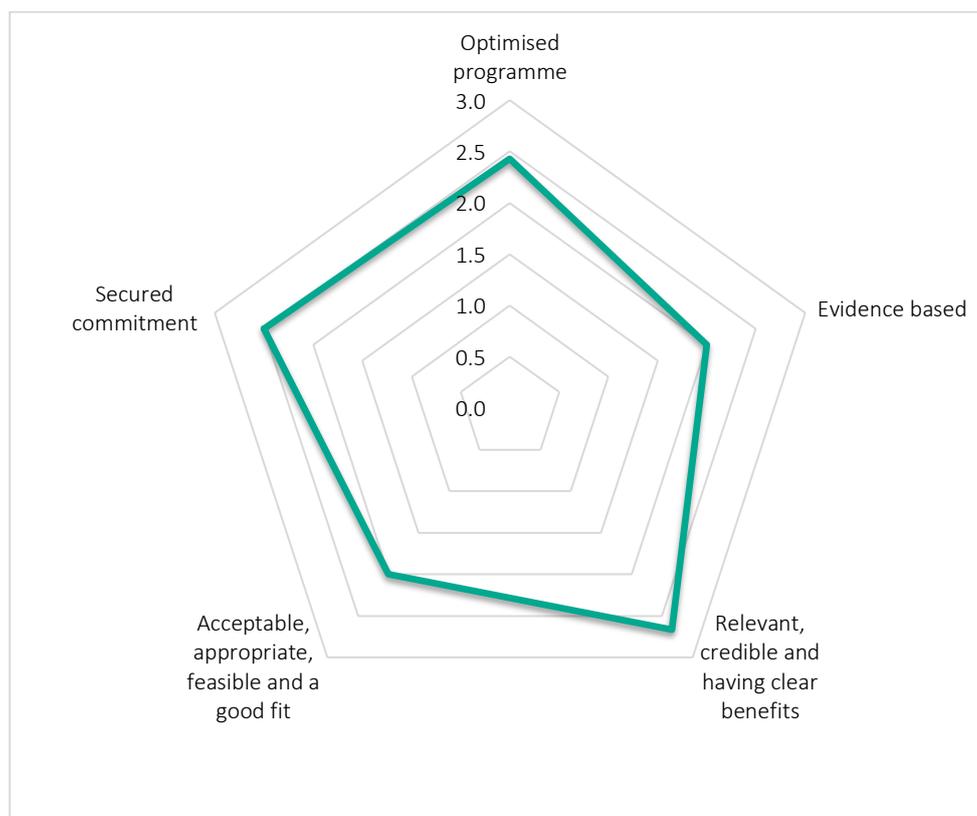
**Table 7.5 Scaling-up DOP: sequencing further work**

	DOP	<ol style="list-style-type: none"> <li>1. Review the model to simplify and reduce the burden of DOP and promote uptake of a risk assessment tool</li> <li>2. Put in place measurement of longer- term outcomes both within and beyond education, as well as ongoing monitoring of the use of different preventive strategies</li> <li>3. Continue to make the case to government for investment in DOP as part of school inclusion and improvement, and for improved social welfare provision in support of DOP, including by building teacher and parent movements</li> <li>4. Continue to test approaches to strengthening school capacity with a view to developing scalable approaches that can be taken forward within the education sector</li> </ol>
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**Assessment against the UNICEF Scale-up Framework**

Figure 7.5 shows the evaluation team’s summative assessment of progress on DOP against the domains in the UNICEF Scale-up Framework. Overall the model scores relatively high, reflecting that almost all the necessary model components are in place, the model is well received by schools, it is implementable although there is some evidence that it is seen as onerous and not necessarily in line with school priorities, commitment was secured to roll-out also not to supporting implementation at scale as fully as UNICEF want to see, and there is good evidence on both outcomes (at least short term) and implementation.

**Figure 7.5 Readiness for scale-up: DOP**



## 7.2. Modelling as assessed against the OECD/DAC criteria

The evaluation questions focused on three OECD/DAC criteria, namely relevance (evaluation question relating to decisions about where to invest in modelling) efficiency (evaluation questions relating to the conduct of modelling) and sustainability (evaluation questions relating to whether modelling is achieving sustained change through scale-up. This section reviews the evaluation findings in relation to each OECD/DAC criterion.

### 7.3.1 Relevance

There is mixed evidence about whether modelling, as illustrated by the five exemplar models, responds to beneficiary, global, country and partner/institution needs, policies and priorities. This relates to the evaluation question about how UNICEF chooses and initiates investments in modelling.

UNICEF undertakes systematic analysis in initiating investments in modelling and involves key stakeholders effectively from early on in modelling. The decision to embark on modelling is explicitly agreed with government and documented in annual work plans, although the wider systems change ambitions and work involved is much less the subject of explicit agreement.

The five exemplar models were all seen by stakeholders as relevant to beneficiaries' needs, reflecting gaps in current provision, and in line with the priorities of most of the key partners involved in modelling. There was more mixed evidence about their relevance to national policies and priorities. All five models were included in annual work plans agreed with lead Ministries, and considerable efforts were made to have government representatives at the centre of modelling work. However, the data suggest that they were not always sufficiently strongly aligned with national government priorities, and that policy analysis as an initial stage of modelling needs to be strengthened. This also reflects that fact that modelling is used to stimulate recognition of aspects of need and to create agreement around new priorities as well as to meet identified priorities. Models will always, to some extent, be ahead of government recognition of an aspect of child rights. Extended advocacy and communication work is needed to ensure stronger alignment.

### 7.3.2 Efficiency

Efficiency concerns with the extent to which modelling delivers, or is likely to deliver, results in an economic and timely way, as compared with other feasible alternatives. It is reflected in evaluation questions concerning the alignment of UNICEF's modelling activity with emerging international consensus about what is required for scale-up, and whether modelling is an efficient way of achieving the intended ambitions of the country programme.

The findings indicate that UNICEF's approach to modelling is broadly in line with what is emerging as international consensus (as expressed in the UNICEF Scale-up Framework). There is extensive and focused work in each of the four domains. There is clearly intensive activity to create the necessary model components, although some gaps in initial resources or refined versions following early modelling. There is a significant investment in generating evidence, although a need to increase the rigour and robustness of implementation, effectiveness and cost-effectiveness evidence in line with international standards. The models are not fully fit for context and all face some challenges in scale-up as a result, and this is an area where further work is needed. Commitment was secured to scaling-up DOP following modelling, but legislative and regulatory change to scale-up FOW

and IFC has not been enacted, and commitment to scaling-up the use of DMs is limited. There are a number of areas where the evaluation findings suggest that modelling needs to be strengthened for greater efficiency in modelling (discussed in the next section).

No clear alternative strategy to modelling emerged in the evaluation, but there were recurrent messages about the need for additional and complementary activity, and for the need for modelling to be more clearly integrated in a wider portfolio of work.

### 7.3.3 Sustainability

Sustainability is concerned with the extent to which the benefits of modelling continue, or are likely to continue. It is reflected in evaluation questions concerning intended pathways, outcomes or impediments to scale-up, and the feasibility of the models for scale-up.

Overall, here the evidence is mixed. There was a clear pathway for scale-up for each of the exemplar models, although the activity needed to create the wider systems condition and support for scale up was not always clear. Only DOP has yet been scaled-up. FOW is in principle scalable if the new Child and Family Centres are established with FOW embedded within their work and funded from central budgets. IFC is scalable if changes to foster care regulations are made. There are more significant challenges to the scale-up of DMs given the lack of capacity in rehabilitative activities and weak assessment and monitoring systems. It is too early to assess the scalability of ECI although there are challenges to the current implementation model. In summary, the evidence for modelling having thus far resulted in scaled-up models is not strong. This reflects the fact the models are ambitious in the systems improvement they are intended to stimulate and improvements to child rights that they would involve.

## 7.3. Strengthening modelling

*“[Diversionary measures] is a project. All the projects that we have are temporary.”*  
System stakeholder

Modelling is powerfully demonstrating what could be achieved by an improved and reformed service system. However, none of the models in the evaluation have as yet been fully scaled-up. There is a degree of weariness among some of UNICEF’s stakeholders that modelling that does not lead to further change, and a recognition that more is needed to improve the wider service system and to support models at scale.

*“We can make another programme, but if we are not able to make it sustainable, then why would we need to invest in that? Why should we invest in that, just to try it?”*  
System stakeholder

*“[UNICEF] can always provide more training and provide more awareness raising et cetera et cetera but if you still do not have a functional system, speaking about best practices and how something is good is not actually changing the system.”* System stakeholder

The findings highlight scope to strengthen modelling in a number of areas, discussed below.

### 7.3.1. Situating modelling within systems change ambitions and a wider portfolio of work

Each of the models relates to wider systems change ambitions. There is scope for these ambitions to be more clearly set out and for an integrated portfolio of work to be planned and taken forward, encompassing modelling, political and financial advocacy, and communications activity. This work is needed to create readiness for scale-up of the models.

The data suggest that the service, and wider system, in Serbia are not yet fully ready for the exemplar models. The models are clearly valued and positively viewed, and seen as necessary and effective improvements to what is currently available. They have significant potential to improve services for vulnerable children and advance child rights. They demonstrate what an improved system would look like, what it could achieve, and what it would take to secure those improvements. Ultimately, ‘bad systems trump good programmes’; work is needed to strengthen systems to support scale-up, and it is unlikely that models can be scaled-up without wider systems strengthening.

For this potential to be realised, there needs to be continued, bi-directional, work. This would involve on the one hand adapting and simplifying the models, reducing onus and complexity as far as is possible without undermine the core principles of the model. At the same time, there is a need to continue to strengthen the wider system to be more supportive of the models and more ready for them. This work is needed before the models are scaled-up, because there is otherwise a significant risk that scale-up will not succeed: the models would not be used, or not used fully and well, so that the outcomes found during modelling are not replicated.

Scaling up models and securing UNICEF’s wider ambitions requires a portfolio of work that reflects the wider system changes required to support the model at scale, based on systematic review of the barriers and enablers to change, with strategies chosen specifically to address them. It is likely to require multiple inter-linked activities across modelling, capacity building, communication, advocacy and research. Box 7.1 highlights key principles involved in successful transformation of service systems, and UNICEF should consider how far these are currently leveraged and the scope to extend this.

UNICEF needs to be clear about the overall goal and vision for change, how the model is intended to contribute to this, and what it therefore needs to demonstrate, achieve or change. UNICEF needs to have, share and be able to articulate a compelling vision for change. This ambition needs to be, or quickly become, the ambition owned by government, and by other stakeholders such as professional groups who can advocate for it, and not viewed only as an ambition owned by UNICEF with long term dependency on UNICEF to take forward innovation.

A degree of agility is needed, recognising that UNICEF’s ambition may not yet be shared by some stakeholders. For example, the UNICEF team made the decision to emphasise school attendance and attainment initially to align DOP with government priorities, and to enable a targeted approach to Roma children, and only subsequently situated DOP within the wider ambition of inclusion. What is important is that UNICEF itself is clear about the wider ambition and how the model contributes to this ambition, captures this in planning and governance documents (see below), and secures commitment from stakeholders to a shared vision and pathway for scale-up. If this is not in place there is a risk that formulaic commitment to modelling is achieved but without the intention to provide the full support required for socially significant change.

## Box 7.1 Approaches to systems change

### → Approaches to systems change

Implementation science and complex systems thinking highlight six principles<sup>102 103 104</sup> that are commonly acknowledged as promoting successful transformation of service systems:

- Provide and enable leadership: this involves providing a compelling vision and narrative for change, nurturing informal as well as formal leaders, allowing for local priority setting, developing shared goals, ensuring the necessary resources are available, being knowledgeable, and persevering
- Enable improvement cultures: since change is a constant feature of systems, mechanistic implementation of innovations can become outdated. A continuous quality improvement culture is one that uses feedback loops and data in decision-making, and that involves iterative development and testing, and ongoing adjustment of strategies and structures
- Promote continuous, collaborative learning: successful change relies on multiple strategies for continuous and shared learning
- Understand and attend to context: the changes needed will vary between local contexts depending on existing resource, structures, relationships and so on. Successful systems change takes this into account.
- Maintain open and purposeful two-way communication: This is important for creating and sustaining a shared understanding of goals and challenges. It involves mapping stakeholder groups, considering how to make communication personally engaging, and working with existing communication structures
- Engaging families and the public: key to the quality and acceptability of services and to empowerment and equity. Engagement should be oriented not only to consultation but to participation and collaboration.

### 7.3.2. Improving model evaluation

UNICEF makes a considerable investment in evaluation as part of modelling. However, more rigorous approaches are needed to fully test models, assess whether and where they need to be strengthened to improve impact, determine whether they are ready for scale-up and judge whether the investment in scale-up can be justified. More robust evidence about implementation would help to strengthen the fit of models within the existing system. Evidence based on experimental or quasi-experimental designs, validated

<sup>102</sup> Ali, G.C., Altenhofer, M., Gloinson, E.R., and Marjanovic, S. (2020) *What influences improvement processes in healthcare? RAND Europe*; Best et al 2012; Best et al 2016

<sup>103</sup> Best, A., Berland, A., Herbert, C., Bitz, J., Dijk, M.W. van, Krause, C., Cochrane, C., Noel, K., Marsden, J., McKeown, S. and Millar, J. (2016) 'Using systems thinking to support clinical system transformation' *Journal of Health Organization and Management* 30(3): 302-323

<sup>104</sup> Best, A., Greenhalgh, T., Lewis, S., Saul, J.E., Carroll, S and Bitz, J (2011) 'Large system transformation in health care: A realist review' *The Millbank Quarterly* 0(3): 421-456

measures, and longer-term follow up of outcomes for children and families would help to strengthen the case for scale-up.

UNICEF and its partners are understandably ambitious about scaling up delivery once early evaluation has highlighted that a model has advantages over services as usual. However, it is not unusual for a service to be well regarded but of limited effectiveness. Strengthening evaluation evidence would mean that models could be improved over time to maximise their effectiveness, and would avoid scaling-up a model that is weak, or even harmful for some groups.

Evaluation activity needs to be phased, with research questions that are appropriate to the stage of model development and implementation. Stronger early evaluation would also help to identify where a mode needs to be re-thought, or where its chances of success are slim.

At the same time, it may not be desirable to delay wider delivery, if early evaluation is positive and current service provision is clearly inadequate, while long term evaluation is initiated. The following strategies are recommended to balance the absence of robust evidence:

- Taking a phased approach to scale-up with a more robust evaluation of a second, larger, stage of modelling, with the aim of moving quickly to wider scale-up
- Longer-term follow-up of children and families involved in initial modelling and evaluation, so that decisions are taken on the basis of initial evaluation but continued monitoring yield longer term outcomes. Scaled-up delivery might need to be adapted, or even down-scaled for a period of model improvement, if findings from longer term evaluation are not favourable
- Building iterative cycles of evaluation and improvement into delivery as it is scaled-up, so that the model is continuously improved as it is scaled-up
- Using a model-level theory of change to assess, through early shorter-term evaluation, whether the conditions identified as critical to success are in place and whether early outcomes indicate that a model is on track to achieve longer-term outcomes
- Drawing on existing international evidence to highlight the proven effectiveness of principles that are inherent in a model (e.g. early intervention, intensive family support or restorative justice) and that have been effective in multiple evaluations of similar programmes in similar settings.

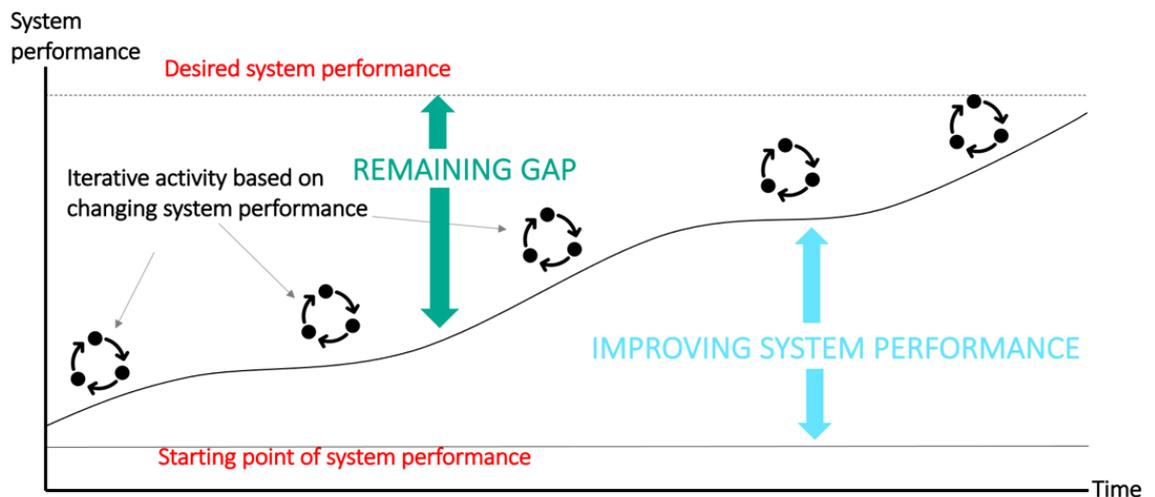
### **7.3.3. Adapting and optimising the models**

UNICEF has designed models to be delivered by existing organisations and systems, which is an important aspect of scalability. However, there is a need to adapt models to be closer to the capabilities and functions of the current system. This is so that what is modelled is a way of working that is scalable within the current system, capable of stimulating incremental improvement, and with further activity planned to narrow the gap iteratively. A model that stretches the current system, but that does not exceed capacities, is more likely to be scalable than one that is too ambitious and that can only be implemented with significant continued support from UNICEF or others. An over-ambitious model would mean that the system remains dependent on UNICEF to drive forward innovation. Again, this is an issue that should be addressed if UNICEF is to do more than demonstrate what could, under artificial conditions, be achieved.

*“Sometimes best is the enemy of good. And especially when it comes to a model. And I think that’s a lesson to learn .... If I go back to the school dropout model, fantastic results. The level of support that went into it made it unreplaceable ... we invested so much resource, time, to really look at every single aspect, that the programme was not replicable per se, because too much investment went into it, and I think we had this from the evaluation. I think people from schools were saying ‘We’re expecting to replicate it because we do want to support children at risk of dropping out, yet we can’t. This model is too complicated.’ .... Sometimes good is good enough if you really want to make an impact and a difference to the life of children.” UNICEF personnel*

This is illustrated in Figure 7.6. The lower line represents the current quality of system performance (i.e. how far the current system produces optimum outcomes) and the upper dotted line represented desired performance. These are not positioned based on an actual assessment of performance: they are an exaggerated image of the need to improve the system. The cycles of activity represent iterative integrated projects of work, each designed to start at the current level of system performance, and to make incremental improvements. Presenting them separately is a simplification – in reality there should be strong links between each cycle of activity and continuous elements. Improvement in the system is represented by the wavy line – the shape illustrating that progress is not linear. As the green (upper and to the left) and blue (lower and to the right) arrows show, over time, the performance of the system improves, and the gap narrows, until the optimal level of performance is reached.

**Figure 7.6 Iterative system improvement**



Improved monitoring and evaluation would be an important aid to decision-making in this iterative approach. The approach also implies that UNICEF should plan for a gradual process of transferring ownership or leadership of a model, rather than a single (and especially early) transfer, so that the team can continue to adapt the model, and build the readiness of delivery organisations and the wider system to support it. The DOP model provides a good example here, where too early a transfer of a model that was still somewhat beyond the capabilities of some schools, before the necessary infrastructure of community services was in place, led to inconsistent implementation. UNICEF should plan to provide this continued stewardship until transfer can be completed.

Modelling needs to robustly test whether the model is implementable and whether it has the potential to stimulate the intended element of system change. This requires more robust exploration of implementation barriers and enablers and the quality of fit with service settings and the wider system, supported by improved monitoring and evaluation. It also requires fidelity to be balanced with the need for adaptation – see Box 7.2.

### Box 7.2 Balancing fidelity with adaptation

Recent writing on effective implementation<sup>105 106 107</sup> as well as classic papers<sup>108</sup> highlight the importance of balancing fidelity in implementation with recognition of the importance of adaptation to ensure fit to local contexts. Fidelity means the extent to which an intervention is implemented as intended.

Weaknesses in adhering to the programme model (frequently referred to as ‘programme drift’) is a frequent reason why intended results of interventions are not achieved. But at the same time, the adaptability of an innovation is frequently identified as a key criterion for transferability and scalability.

As the importance of fit to context is increasingly recognised, deliberate changes to interventions based on considerations of fit with service settings and the wider system are recognised as necessary: *‘Thus, adaptations to EBPs [evidence based programmes] have gone from nuisances to be eliminated to important tools to be harnessed in the pursuit of effective healthcare.’* Miller et al. (2019):1164. In fact, rather than fidelity and adaptation being dichotomous, they co-exist as key aspects of implementation. Hence, there is a need to draw on stakeholders’ knowledge of the innovation and the context. Remaining true to the meaning and role of core programme functions may be necessary, rather than direct replication.

For UNICEF this suggests a need for a more flexible approach to adapting a model where it does not fit well with the service or wider system context. It also highlights the need for continued research to identify the core functions in a programme and the range of acceptable adaptation.

#### 7.3.4. Sharpening the focus on gender

There is considerable scope to improve the focus on gender in modelling, both in the development of nuanced gender-sensitive programme content and practices, and in

<sup>105</sup> Von Thiele Schwarz U, Aarons GA and Hasson H (2019) ‘The Value Equation: Three complementary propositions for reconciling fidelity and adaptation in evidence-based practice implementation’ *BMC Health Services Research* 19: 868

<sup>106</sup> Miller CJ, Wiltsey-Stirman S and Baumann AA (2019) ‘Iterative Decision-making for Evaluation of Adaptations (IDEA): A decision tree for balancing adaptation, fidelity, and intervention impact’ *J Community Psychol* 2020; 1-15

<sup>107</sup> Villeval M, Gaborit E, Berault F, Lang T and Kelly-Irving M (2019) ‘Do the key functions of an intervention designed from the same specifications vary according to context? Investigating the transferability of a public health intervention in France’ *Implementation Science* 14: 35

<sup>108</sup> Bauman LJ, Stein REK and Ireys HT (1991) ‘Reinventing Fidelity: The Transfer of Social Technology Among Settings’ *Am Journal of Community Psychology* Vol 19 No. 4 619-639

foregrounding gender in monitoring systems, evaluation of reach, quality of implementation and effectiveness. Important questions about gender are not fully answered and more work is needed to address them.

**Table 7.6 Gender-related questions for each model**

	FOW	<ul style="list-style-type: none"> <li>• Are there specific gendered patterns such as gender inequalities and violence against women, that contribute to the family dysfunctionality, and how they are addressed by the model?</li> <li>• Are there specific problems and risks among lone mothers and other families due to the economically weaker position of women?</li> <li>• Are there gender patterns of neglect, inadequate care of children depending on their gender? Why? How is this addressed by the model?</li> <li>• Does the model reach boys and girls equally, and mothers and fathers?</li> <li>• How gender sensitized are family outreach workers?</li> <li>• Is model equally effective for boys and girls, mothers and fathers?</li> </ul>
	IFC	<ul style="list-style-type: none"> <li>• Are there specific gendered patterns such as gender inequalities and violence against women, or expectations of girls, that contribute to the risk of family breakdown?</li> <li>• Are there gendered differences in treatment of girls and boys with disability and does this influence their differentiated referral and treatment in IFC?</li> <li>• Are there gendered differences in the availability of shared parents or in their skills?</li> <li>• Is model equally effective for boys and girls, mothers and fathers?</li> </ul>
	DM	<ul style="list-style-type: none"> <li>• Are there gender specific patterns of behavioural problems that lead to contact with the criminal justice systems?</li> <li>• Is there a gender difference in the likelihood of DMs being applied, or the type? Are there specific measures issued for girls and boys? Why? Do professionals have some gender stereotypes when issuing measures?</li> <li>• Are there differences in the effectiveness of DMs for boys and girls?</li> </ul>
	ECI	<ul style="list-style-type: none"> <li>• Are there any differences in patterns of support-seeking in regard to girls and boys with disabilities? Are parents of girls with disabilities more prone to hide disability, to ask for support later? Or vice versa?</li> <li>• Do outreach and screening recognise some gender-specific patterns among parents of girls and boys with disabilities? Are outreach professionals aware of some of these differences and how do they address them?</li> <li>• Are there gendered differences in the content of intensive support provided to girls and boys, and to mothers and fathers?</li> <li>• Are there differences in the effectiveness of ECI for boys and girls?</li> </ul>
	DOP	<ul style="list-style-type: none"> <li>• What is the prevalence of girls and boys identified as at risk?</li> <li>• Is the risk assessment system gender sensitive? Does it take into account risks of early marriages among Roma girls and girls from the poorest families<sup>109</sup>? Is it sensitive to dropout of boys in rural areas due to the early engagement in work on family farms. Or any other gender specific risks.</li> <li>• Are there cultural differences in family responses? Is boys' education viewed as more important?</li> <li>• Are there gender biases in the school response when risk is identified and the support documented in IEPs and put in place? Are girls viewed as needing less support?</li> <li>• Are there differences in the effectiveness of DOP for boys and girls?</li> </ul>

<sup>109</sup> Some of these issues are being addressed in the further modelling of DOP within the Child Marriage programme

### 7.3.5. Influencing the allocation of funds

Influencing funding allocations will be challenging given fiscal restraint and low levels of transparency. However, the clear budgetary calendar offers opportunities for timely and targeted financial advocacy. Much of such work will be closely entwined with political advocacy and securing political commitment to scale-up will often bring with it financial commitment. However, there is scope for UNICEF to strengthen its financial advocacy with better cost analysis, making the case on the basis of efficiencies, and addressing the challenge of funding the transition from current to new services.

UNICEF needs to make consistent representations at multiple levels of MoLEVSA and other relevant ministries, targeted at multiple levels including Ministers, Ministerial Assistants, State Secretaries, advisers and other government agencies. The aim should be to influence the budgetary decision-making process from January to August in each year, with a view to financial commitment to modelling and scale-up being included in the final budget and in the government-wide annual work plan. In addition, the annual work plan that UNICEF enters into with each ministry should be used to secure government funding commitments, as well as demonstrating commitments made by UNICEF.

Annex 5 sets out the funding requirements for each of the models, and Annex 6 sets out considerations for costing them.

Overall, given the level of centralisation in Serbia in the health, education and social protection system, the best avenue for sustained funding is central government level and respective ministries. Key issues that need to be addressed to government are, first, the increase in the number of employees needed. This is determined by a special government commission, which in recent years has approved employment in some areas of the public sector, but not the social protection system. Second, the increase of funds for social protection services needs to be addressed, particularly in earmarked transfers intended for local government. The Ministry of Finance is central during the preparation of the fiscal strategy, but individual ministries should be the key focus. MLEVSA is the most important entry point for local social services, but the ministry is not in a position to request additional funds without public pressure since government's financial policy is not in favour of social protection. The Ministry also does not have the capacity to reallocate funds, and work is needed to improve their budgetary and other planning processes. Alongside this, the Ministry of Demography and Family Care will also be important, as with the Ministry of Education (in relation to DOP) and the Ministry of Health (relevant for ECI).

Social services are the area where local government are allowed to experiment more but despite all the effort in the last two decades to increase the awareness of municipalities regarding their importance, services are still undeveloped and with unequal access throughout the country. The proposal of the draft Strategy of Social Protection Development for 2019-2025 to determine a minimum level of expenditures for social protection at the local level may also be a helpful target area. Another area for advocacy could be the amendments to the Law on public private partnerships in order to allow partnering with public institutions from the health, education and social work sector.

For FOW, funding would be required for further capacity building and testing of implementation, and for posts in the new Child and Family Centres. Given that detailed costing for this model has been performed, UNICEF should continue to present this and the budget needed to the Ministry of Labor, Employment, Veteran and Social Affairs so that they can consider options for public funding.

For IFC, the approach should continue to be to use financial resources within the current foster care budget. For this model, funding will be also required for capacity building and initial support, as well as for research on longer term outcomes for children and families and communication and advocacy campaigns.

For DMs, significant funding is needed to expand the range of rehabilitative activities available. The project that led to their implementation showed that there are two main options for securing continuous financing of diversion measures.<sup>110</sup> First, the project proposed to create a special-purpose transfers under the Law on Social Protection and the Law on Financing of Local Self-Government. Another possibility considered is that the Government secure financing by establishing a special budgetary fund that could be financed through the “institute of opportunity”, a mechanism which grants prosecutors discretion not to prosecute non-opportune cases in exchange for a fee being paid and/or to confiscate and manage the proceeds of crime. In discussions with the Ministry of Justice this proposal was not endorsed as these funds are currently used for a whole range of public interest priorities (education, health etc). The Law on Juvenile Offenders and Criminal Justice Protection of Minors envisages DMs, however it is not clearly defined who should be responsible for those payments as well as who disburses payments for different types of measures.

The document costing DOP<sup>111</sup> argues that “implementation of the developed dropout prevention and intervention model is based on existing school teams and resources, thus there is no need for additional employment of teachers, professional associates or any other school staff”. The document develops a budget needed to cover costs of trainings to be delivered to school teachers to be involved in all the matters related to dropout prevention and intervention. However, there is no discussion about the cooperation between teachers and social workers which is an important part of this process especially for more problematic cases where inclusion of parents is important for success of dropout prevention activities. The Strategy of Social Protection Development for 2019-2025 recommends that local self-governments with higher share of students at high risk of dropout and children living in Roma settlements allocate larger number of workers from Centres for Social Work to support DOP, and advises to secure central budget funds for these purposes.

ECI is at an early stage in modelling, but information about costs and potential areas for savings should be included in the implementation evaluation. The model is predicated on the assumption that, as it targets children with disabilities and development delay, costs will largely be borne from central funds. For this model, UNICEF could consider initially making a special fund where along with their funds resources from private donors could be pooled and matched with the public funds both at the national and local level. Local self-governments that have larger budgets like the capital Belgrade or other major cities, like Novi Sad, Subotica, Kragujevac, Kraljevo should also be approached.

### 7.3.6. Extending advocacy and communications

As noted in Chapter 5, UNICEF’s stakeholders consistently see a need for UNICEF to be more active in advocacy and communication and to diversify its approaches. Some of the exemplar models are viewed as not, or no longer, aligned with government priorities. This suggests a need for more nuanced and systematic analysis of political contexts to identify synergies, potential blockages and potential influencers, and for development of ‘softer’ influencing skills and strategies within UNICEF. This is likely to need a wider range of

<sup>110</sup> Strengthening the justice and social welfare systems to advance the protection of children in Serbia. Final report.

<sup>111</sup> Combating Early School Leaving in Serbia (Be Cool Stay @ School)

approaches that aim to influence government both directly and indirectly, and from top-down and bottom-up, through international institutions, national institutions, and professional and social movements.

For UNICEF's models that against a sectoral or social status quo, increased advocacy efforts will be important to build collective and aligned commitment to change. This requires not only the commitment of government and stakeholders but also the more abstract consideration of 'social commitment': the support and backing of the families, community and local leaders, key social and professional groups or movements, and the wider public who will experience, work with or be affected by the model. This is especially important if a model is particularly ambitious or challenging, or if it represents a significant paradigm shift or change to existing norms. For example, DMs represent a very different philosophical approach to juvenile justice for a system and society where there is strong attachment to punitive rather than restorative approaches.

Extended advocacy efforts are therefore required to secure government commitment, but so too is wider communication, advocacy, influencing and mobilising social movements in support of change.

### 7.3.7. Planning and governance

Synchronised and aligned work is needed across different levels and elements of the service system, with realistic timescales for phases of activity to avoid scaling-up a model before the infrastructure is in place to support it. Progress is unlikely to be linear, and this requires dynamic, adaptive and agile approach to planning and governance, with regular review, analysis of successes and blockages, recalibration of planned activity, and revised plans<sup>112</sup>. Because wider change is unpredictable, parallel planning for multiple scenarios is likely to be needed.

The **project design** process needs to take more specific account right from the start of what are likely to be barriers to implementation and scale-up, and projects need to be planned with specific strategies to address these potential barriers. There needs to be clarity about the 'end game', i.e. the intended delivery platform or mechanism for scaled-up delivery i.e. the intended delivery platform or mechanism for scaled-up delivery

**Theories of change** need to be used more consistently, and with more focus on scale-up challenges and pathways. This needs both a model-level theory of change which demonstrates the change mechanisms and necessary conditions for achieving them, and a theme- or programme-level theory of change which shows the model as part of a wider systems change ambition, the particular contribution it makes, what other activity is needed, and how the model is integrated with other elements. Theories of change need to show all the activity required to achieve the ambition (whether model-level or programme-level), including advocacy and communication work. This was part of the ECI theory of change, for example, but was missing from others.

**Evaluation plans** needs to test implementation barriers and strategies and the viability of the intended end-game, as well as building to robust information about outcomes and costs.

<sup>112</sup> The Monitoring Results for Equity Systems determinants framework may be a useful aid here

The formulation of **budgets** needs to improve and financial analysis used alongside ‘making the case’ conceptually in targeted and timely financial advocacy to influence political decision-making about funding allocation.

**Communication and knowledge dissemination plans** need to be explicitly linked to models and scale-up intentions.

The **annual work plans**, which formulate the activity agreed by each Ministry, vary in whether a clear vision for systems-level change is described. Even where modelling is set within this context, the vision is described very briefly. Plans largely describe specific modelling activity, with little or no reference to work required to build wider support. Although there are some references to the need for cooperation by other ministries, cross-sectoral capacity building is not emphasised. Overall they represent modelling in quite narrow, transactional terms, and demonstrate government commitment to modelling but not to scale-up or systems-level change. It may sometimes be tactical to take forward early modelling work, supported by government, before this wider commitment is foregrounded in annual work plans, but this does not provide a strong foundation and commitment to larger ambitions should be secured and documented as soon as is possible. These plans should also be used to secure government financial commitment, as well as demonstrating the commitment made by UNICEF.

The narrow representation of modelling in plans is even more pronounced in the **UNICEF 2020 Result Assessment Module monitoring plans**. These briefly refer to a wider ambition, and set out standard indicators (e.g. ‘existence of regulations for application of diversionary schemes and alternative sanctions’) and output measures (e.g. ‘cross-sectorial model for early childhood intervention (ECI) services developed for Serbia’). Much of the work needed to strengthen the system to support the models is missing, and there are few references to advocacy or communications. UNICEF’s modelling would be better supported by an approach to planning that foregrounded systems change ambitions, set out an integrated programme of activity in which the role of the model was clear, allowed for non-linear progress (e.g. adaptation of models and further phases of modelling), referenced the conditions necessary for effective modelling and scale-up and work to secure them, and allowed for unexpected and unpredictable changes in those conditions.

Annex 13 also outlines areas where the **SQN** could better support scale-up.

## 8. Conclusions, lessons learnt and recommendations

### 8.1. Conclusions

#### 8.1.1. Strengths of modelling

UNICEF's approach to modelling produced models which are well regarded by stakeholders, and which have potential to improve the well-being of vulnerable children and families in Serbia. UNICEF approached the initiation of modelling in a systematic and inclusive way, based on situational analysis, discussions with families and professionals, review of options, and drawing on the organisation's expertise.

Strong partnerships with stakeholders at national and local level were established. UNICEF pursued modelling with considerable energy, commitment and expertise, and built momentum, enthusiasm and support for the models. Many of the necessary components of models were developed, and UNICEF invested in evaluation and monitoring.

The models were well regarded by local and national stakeholders, viewed as relevant and credible, and seen as adding value to the service system. The Dropout Prevention Programme has most successfully been scaled up, but other models have potential for scale-up in the future with clear intended pathways for scale. Some stakeholders are clearly committed to supporting scale-up.

Overall the Serbia UNICEF Country Office is widely viewed as a highly credible and expert group, well positioned to develop and strengthen the models.

### **8.1.2. Weaknesses of modelling**

Not all the necessary models of components had been developed and refined following initial testing, with gaps including model-level theories of change, specification of core and adaptable elements and fidelity criteria, monitoring systems, and assessment of costs. Evaluation evidence generated was not always sufficiently robust, both in relation to implementation analysis and measurement of outcomes. There is also scope to strengthen the focus on gender in modelling, through the development of more nuanced gender-sensitive programme content and practices, and through more emphasis on gender in evaluation and monitoring. Modelling could be strengthened in these areas.

More significant is that, despite strengths in UNICEF's approaches to modelling, three of the four more advanced models have not yet been scaled up, and the full commitment of all necessary stakeholders has not yet been secured. In particular, national government commitments to legislative or regulatory change and to developing service capacity have not been secured. These issues highlight a need for modelling to be better aligned with (and also to shape) government priorities, to be more cognisant of the current limitations of Serbian service systems, and to include work to strengthen systems to better support the intended models.

### **8.1.3. Unintended consequences of modelling**

There were no direct references, in the data collected, to modelling having unintended consequences, and little basis to infer any such consequences. Challenges had been encountered during the process of modelling and problems needed to be found, but this was an expected part of the process. Modelling had generated or reinforced learning about the models and the contexts of their implementation, again an expected part of the process. The relationships formed between organisations and individuals during modelling, and the skills and new insights acquired through modelling, had been of benefit to stakeholders beyond the direct application to the specific model involved. Modelling had also highlighted the weaknesses or shortcomings of parts of the service system, for example the reduced human capacity in key organisations and professions, or the weakness of intersectoral cooperation.

There were occasional, and weak, suggestions of unintended consequences. Where ECI had placed unexpectedly high demands on organisations and individuals it was occasionally suggested that this had diverted capacity from other work. UNICEF's funding of modelling had left an expectation among one government representative that UNICEF would continue to fund work beyond what UNICEF intended. The scale-up of DOP without sufficient government funding for schools to do it well was felt, by one interviewee, to have risked diluting the concept of dropout prevention and inclusion, but this was a consequence of government's response rather than of modelling per se. Perhaps more significant is the risk of wasted capacity and resources if modelling is undertaken without sufficient clarity about, and targeted effort towards, the wider systems change needed to support a model at scale. However, overall the evaluation provides no basis for concluding that modelling has unintended negative consequences.

### **8.1.4. Implications for the future of modelling**

The implications of this analysis is that continued work is needed to develop and support each of the five models and to make them ready for further scale-up. Modelling as an approach also needs to be strengthened. This should include more complete work to

develop, and refine in the light of early test, the key components of each model, and to increase the rigour of evaluation.

Strengthening modelling also requires more recognition of the limitations of the service system within which the models are developed, and an approach of iterative work to improve and strengthen systems. This would imply initially developing models that are closer to the current system capacity, and which are developed to be more ambitious as system capacity increases. These approaches also call for more extended and targeted work by UNICEF's teams to influence government financial allocation, government priorities and policies, and to build social and professional movements in support of change for Serbia's children and families.

Securing child rights and improving the lives of the most vulnerable children and families is urgent business. UNICEF and the models are highly regarded, and viewed as working to address needs of high relevance and priority. There are opportunities for UNICEF to strengthen modelling and approaches to scale-up, including through applying learning from implementation science. This has potential to accelerate progress, avoid wasted investment and time and missed opportunities, and ultimately support UNICEF in its work to advance child rights in Serbia.

## 8.2. Lessons learnt

- UNICEF's modelling is powerfully demonstrating how improved support services for children in Serbia might operate. UNICEF is very well positioned to build on this work and its activity and people are very well viewed by all key stakeholder groups.
- Scaling up models depends on their fit with the current service and wider system. If models are too ambitious for the current system, it will be very challenging to scale them up and will likely require sustained extensive additional support.
- UNICEF's ambitions are for more than scaled up delivery and involve systems change. This requires portfolios of integrated activity, at model and system level. It is inevitable that this work will not always proceed in a predictable and linear fashion, and a much more agile and adaptive approach is needed.
- There is scope for UNICEF to develop its own capacity for advocacy, communication, soft influencing, political analysis, evaluation and economic analysis.

## 8.3. Recommendations

In response to the evaluation findings, a set of eight recommendations have been proposed regarding improving modelling and scale-up. The recommendations were reached through a participatory process within the evaluation team and involving discussions with the UNICEF programme teams, Country Office representatives and the Regional Office, who provided feedback on initial recommendations on the basis of which a final set of recommendations was developed.

The targets to action them are identified, along with an assessment of the **urgency of action** and the likely **impact** the implications if the recommendation was not implemented. These assessments are shown in Figure 8.1 after each of the eight recommendations is set out.

There are some synergies between the recommendations. For example, actioning Recommendation #1 (Create a comprehensive and integrated scale-up plan for each area of systems change), would also make a significant contribution toward actioning the advocacy recommendations (#6 and #7 respectively).

### **Recommendation 1: Create a comprehensive and integrated scale-up plan for each area of systems change**

#### **Target: UNICEF Country Office programme teams and leadership**

UNICEF's ambition in relation to each of the exemplar models amounts to significant systems improvement and change. This ambition is not always clearly set out in planning instruments, visible to stakeholders, and the basis on which they commit to supporting modelling. UNICEF needs to ensure that for each model there is a scale-up plan that sets out the intended end goal, the social and systems level change sought, and a pathway and integrated set of activities to change it which includes not only modelling but also advocacy, research and communications. The plan needs to be consistently reflected in equity focused theories of change (at both model and programme level, identifying how the model contributes to the programme level ambition). It also needs to be reflected in evaluation plans, budgets, communications and knowledge dissemination plans, annual work plans and Result Assessment Module monitoring, so that these set out an integrated and aligned programme of work oriented to the same high level change, with realistic timelines. The plan should be developed with partners, and commitment secured from partners to the full plan, rather than only to modelling activity. Annual work plans need to be agreed with all relevant ministries, not just the lead ministry. In this way the change ambition and the work required to secure it will be transparent to all stakeholders, the commitment required will be clear, and weak or absent commitment will be visible more quickly.

**Urgency rating: High**

**Impact rating: High**

High-level ambitions need to be consistently set out, and agreed across all UNICEF function areas, and explicitly agreed with partners and stakeholders

**Implications of not actioning:** A risk of modelling not being clearly connected to systems change with an integrated plan to achieve it to which UNICEF and partners are fully committed, with clarity about roles and responsibilities.

### **Recommendation 2: Design models that are closer to the current system capacity**

#### **Target: UNICEF Country Office programme teams and leadership**

Because UNICEF's ambition is systems reform, the models are designed to demonstrate what a future improved system could achieve. This creates barriers to scale up, since the system conditions and supported needed for scale-up are not present. UNICEF needs to design models that are closer to the capacity of the current system (i.e. the professional, operational, organisational and strategic capacity of agencies involved in implementation) by undertaking risk and assumptions analysis, systematically identifying where the system is not sufficiently mature to sustain models, and planning work to improve the system. Better alignment with the current system would also help to secure other stakeholders (for example professional groups) as advocates for models, rather than UNICEF bearing longer term responsibility for promoting them.

**Urgency rating: High**

**Impact rating: High**

The models as currently designed face barriers to scale-up to varying degrees.

**Implications of not actioning:** Models would demonstrate what could be achieved but would not be implementable at scale, meaning wasted effort and resources and intended impacts not secured.

**Recommendation 3: Identify where UNICEF’s work needs to stimulate change in social norms and behaviours and plan work to achieve this**

**Target: UNICEF Country Office leadership, programme, advocacy and communications teams**

UNICEF needs to identify where changes in social norms and behaviours are required to address root causes of problems addressed by models, to build demand, or to create the conditions for sustainable change. There needs to be more emphasis on building and mobilising social movements. There is also scope to involve parents more directly as partners in the co-production of models, to strengthen models and their fit with family cultures and preferences, and to add credibility. Communications and knowledge dissemination plans need to be aligned with modelling plans and ambitions, and to set out the social change to which efforts are directed, the barriers and enablers and the shifts in mindsets and attitudes required.

**Urgency rating: Medium**

**Impact rating: High**

Social movements present an opportunity to build pressure on government, and also to promote models that challenge cultural or social status quo. Serbian government may be increasingly sensitised to this pressure in the future.

**Implications of not actioning:** Scale-up not achieved because of misalignment between models and social norms and behaviours, and absence of social demand or support for models.

**Recommendation 4: Improve the monitoring of achievements against the scale-up plan**

**Target: UNICEF Regional Office, UNICEF Country Office programme teams and leadership, and monitoring and evaluation teams**

UNICEF needs to improve its monitoring against the scale-up plan, monitoring not only the delivery of the work planned, but also whether the necessary conditions and capabilities for systems change are being developed, and where there remains resistance and barriers. UNICEF needs to adopt a more dynamic, adaptive way of working where plans are regularly reviewed, adapted, and additional work built in, or stages of work repeated, as necessary. The ambitions of UNICEF’s work mean that progress is contingent on a changing context and not fully predictable. UNICEF needs to plan for multiple scenarios and expect non-linear progress. This particularly requires a different approach to Result Assessment Module monitoring plans which are currently too narrowly covering whether intended work has been undertaken, rather than whether intended purposes of that work have been secured. This will require plans to articulate where the conditions and supports for a model and wider ambition are not yet in place, and what needs to change, so that progress in achieving that change can be assessed and monitored. Assessment is likely to draw on a range of forms of evidence, from informal stakeholder feedback to more structured measurement.

**Urgency rating: Medium**

**Impact rating: Medium**

This recommendation is most fully in UNICEF’s control and so could be implemented as a priority, although the scope for teams to use governance systems in flexible ways means it is less urgent.

**Implications of not actioning:** Not sufficiently adapting work in the face of changing conditions or areas of resistance, contributing to misalignment between models and the system conditions needed for scale-up

**Recommendation 5: Improve the robustness of evaluation and its use to improve models**

**Target: UNICEF Country Office programme teams, leadership and monitoring and evaluation teams**

UNICEF needs to improve the robustness of both implementation evaluation and effectiveness evaluation. Implementation evaluation needs to involve more rigorous analysis of implementation strategies, barriers and enablers, and to be focused on the aspects of implementation that are known to be determinants of programme effectiveness. Effectiveness and outcomes evaluations need to be more rigorous, including using comparative designs (so that impacts can be robustly attributed to models), validated outcome measures, and measuring longer term outcomes across aspects of child wellbeing. Existing international evidence can also be used creatively to make the case, where effectiveness evidence is not yet available. Cost-effectiveness evaluations need to be undertaken. A phased approach is needed, with research questions proportionate to modelling phase. This evidence needs to be used to improve models to increase fit and effectiveness, strengthen implementation strategies, and increase readiness for scale-up. It would also highlight where a model has limited chance of success.

**Urgency rating: High**

**Impact rating: High**

More robust evidence would strengthen the models, help to avoid unintended negative consequences, and support securing commitment to scale-up.

**Implications of not actioning:** Diminished ability to strongly and convincingly advocate for scale-up of models. Risk of attempting to scale-up non-viable models or those of limited effectiveness.

**Recommendation 6: Strengthen political advocacy, skills and efforts**

**Target: UNICEF Country Office leadership, programme, advocacy and communications teams**

UNICEF needs to bring advocacy and modelling work into closer alignment so that they work to the same objectives and plans. UNICEF should continue to develop political analysis and influencing skills of Country Office staff in programme, advocacy and communications teams. Nuanced analysis is needed to consider the fit of models with government priorities. Although a model may initially be more ambitious than current government priorities, this needs to be continually assessed to ensure that the gap is bridged. UNICEF Country Office also needs to strengthen its initial and ongoing analysis of political contexts, priorities and drivers, and the adaptation of work to align with this analysis. There is a need to amplify and diversify approaches to advocacy, both advocating directly to government and working indirectly through other institutions, individuals, coalitions and social movements. Senior leaders at UNICEF need to play a key role in advocacy efforts.

**Urgency rating: High**

**Impact rating: High**

Improving and better integrating political advocacy is key to securing political commitment to change.

**Implications of not actioning:** Models are not scaled up because political commitment to change is not secured.

**Recommendation 7: Target and strengthen financial analysis and advocacy to influence allocation of government and public financing**

**Target: UNICEF Country office leadership, programme and advocacy teams**

UNICEF needs to strengthen its financial advocacy to influence the allocation of government and public funding, in support of models. This needs to be part of the work of Country Office leadership and programme and advocacy team, and clearly represented in UNICEF's planning instruments. UNICEF needs to set out a costed business case for investment in modelling and scale-up, based on stronger financial analysis of both current

public financing and of the cost-effectiveness of models. Robust costed project proposals need to be put to government at key points in the government financial decision-making calendar between January and the end of August, with representations made at multiple levels in relevant ministries including to Ministers, Ministerial Assistants, State Secretaries and advisers as well as through other agencies with influence.

The format or instrument for these representations is less important than the strength of business case made and its alignment with government priorities. The aim should be to ensure that spending commitments are included in both the final budget and in the government-wide annual work plan. Government financial commitment also needs to be secured in the annual work plans between UNICEF and each ministry, so that these do not only reflect UNICEF's financial commitment.

**Urgency rating: High**

**Impact rating: High**

Financial advocacy is embedded in other advocacy work but there is scope for it to be better attuned to political financial strategies.

**Implications of not actioning:** Financial considerations are likely to be an increasingly significant aspect of government decision-making given fiscal constraint, and it is difficult to see how scale-up can be achieved without a change in approach here.

#### **Recommendation 8: Strengthen the focus on gender in model development, piloting and planning for scale-up**

**Target: UNICEF Country Office programme teams**

Although UNICEF's modelling is oriented to addressing equity gaps and disadvantage generally, there is scope to bring a stronger emphasis to gender in particular. This would involve: understanding gendered experiences and causes of the need addressed (e.g. school dropout), addressing these in model design and content, targeted strategies to reach the boys and girls most in need, analysis of service barriers to effectively meeting the needs of boys and girls, understanding and addressing gendered assumptions and behaviours among staff, monitoring the reach to boys and girls and their satisfaction with and outcomes from the service, and adapting the model as needed to address gender issues identified. Better data on gendered differences in need, participation and outcomes is key to this.

**Urgency rating: Medium**

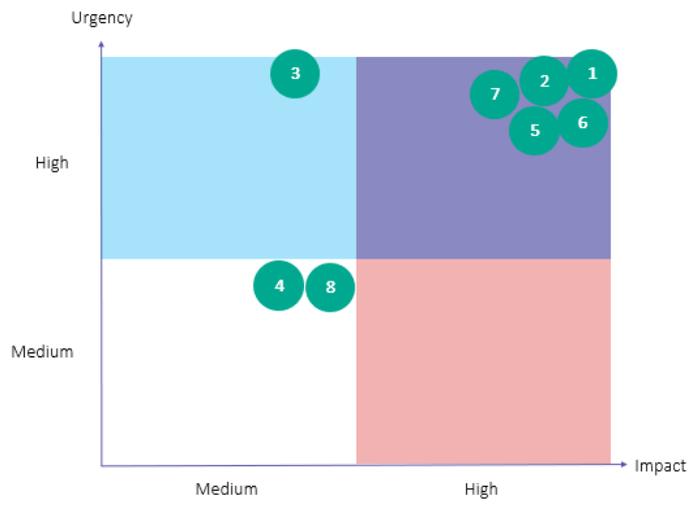
**Impact rating: Medium**

Equity considerations are a strong focus in UNICEF's work but if gender is to be prioritised within this it requires a more attuned and purposeful approach.

**Implications of not actioning:** UNICEF will not know whether, why and how it is perpetuating gendered differences in its modelling, and is unlikely to be directly impacting on such differences.

Figure 8.1 maps the recommendations by reference to the urgency and impact ratings. UNICEF is encouraged to focus first on the recommendations in the top right-hand corner of Figure 8.1, as these recommendations are likely to have greater effect and to lay the ground for other recommendations.

**Figure 8.1 Mapping evaluation recommendations to perceived urgency and impact**





# Annexes

## Annex 1 – Terms of Reference



### REQUEST FOR PROPOSALS

#### Terms of Reference for Institutional Contractors

#### Evaluation of Models for Scale-up Potential in Serbia

These Terms of Reference (ToR) set out the purpose, objectives, methodology and operational modalities for an institutional contractor to rapidly assess modelling by UNICEF Country Office in Serbia in the period of 2016 – present time and inform strategic directions for the next programme cycle. The independent evaluation is expected to begin in December 2019 and to be completed by June 2019.

#### 1. CONTEXT AND BACKGROUND

Serbia is making progress in legislative and public sector reforms and working towards meeting international standards (the country ratified a number of human rights conventions, such as CEDAW, CRC and CRPD in 2000s) in the fields of education, social protection, health, justice and anti-discrimination. National averages for this middle-income country look relatively good. However, disaggregated data show significant inequities associated with poverty, rural areas and significant discrimination associated with ethnicity and disability.

The total population of Serbia in 2019 is estimated at just under 7 million, children 0-17 make up 17 percent and youth (15-24 years) make up 10.6 percent of the population. According to the 2011 census, more than half of the population (55.8 percent) lives in urban areas.

Over time, absolute poverty in Serbia shows a stable trend at around 7 percent of people who cannot satisfy basic needs. This means that basic needs cannot be fulfilled by approximately 500,000 people. Data indicates that poverty is twice as common in non-urban areas (10.5 percent versus 4.9 in urban areas), vulnerability is visible particularly in South-Eastern Serbia, among children up to 14 years of age, youth (15-24 years), persons living in households headed by someone with a low education level or by someone who is unemployed or inactive.<sup>113</sup> Therefore some 120,000 children (aged 0-18) and 40,000 youth (aged 19-24) lived in absolute poverty in 2017. In Serbia, there is a stable trend of around 25 percent of the population which is at risk of poverty (25.7 in 2017, in comparison to 25 in 2014), while the EU28 average is 16.9 percent.<sup>114</sup> More children are at risk of poverty than

<sup>113</sup> SIPRU, <http://socijalnoukljucivanje.gov.rs/rs/socijalno-ukljucivanje-u-rs/statistika/apsolutno-siromastvo/>

<sup>114</sup> Statistical Office of the Republic of Serbia, <http://devinfo.stat.gov.rs>

among the general population (30.2 percent in 2017), and this trend is stable, with a low increase rate (e.g. in 2014, there were 29.7 percent children at risk of poverty).<sup>115</sup>

Children from poor families and Roma children still encounter **substantial obstacles** concerning access to education, attendance, the quality of education they are offered and in their progression. Similar barriers may be faced by other groups of socially excluded children, such as children on the move. As a result, many students fail to meet initial expectations and are then frequently directed into programmes and education plans intended for students with learning disabilities or drop out from school.

Children from vulnerable groups who are most in need of additional support for early development and learning are the least involved in pre-school education, which suggests that they face high inequity. According to MICS data from 2014, only 9 percent of **poorest children** attend pre-school, 6 percent of **Roma children**, and 27 percent children from rural areas attend pre-school. There is no reliable data on participation of **children with disabilities** in preschool education, a study from 2012<sup>116</sup> estimates 1 percent while according to data on the number for pedagogical profiles (PP) or individual education plans (IEP) from 2017/2018, 0.89 percent of children had either PP or IEP in PSE. Although there are officially no preschool institutions/facilities for the education of children with developmental impairments<sup>117</sup>, the data indicate that there were 39.5 active special groups in 30 preschool institutions attended by 364 children (0.17 percent) in the school year 2017/2018.<sup>118</sup> While no real time data are available on children on the move, it is noticed that migrant and refugee children have access to pre-school, however their regular attendance might depend on a number of factors.

The 2014 Multiple Indicator Cluster Survey (MICS) showed that only 69 per cent (63 for boys and 76 for girls) of Roma children have timely primary school entry and 64 per cent complete primary school, compared with 97 and 93, respectively, for all children. The proportion of adolescents attending secondary school is 89 per cent for the general population, yet it is only 22 per cent of Roma children (15 per cent girls). Administrative data show that 88 per cent of girls and 81 per cent of boys have completed secondary school in Serbia. However, one third of pupils aged 15 are functionally illiterate. This points to an education of inadequate quality that requires further modernization of the curriculum and teaching methods and intersectoral coordination to support inclusion and prevent dropout.

Since the introduction of inclusive education in 2009, the number of students in **special schools** decreased by 25,3 percent (1,595 students)<sup>119</sup>, meaning that in the 2010/2011 school year, 1.09 percent of the student population was educated in special schools, while in 2018/2019 0.89 percent of the total student population was educated in special schools. The structure of students in special schools has also changed since 2009 – shifting from an approach of categorising children according to the type of disability and exclusion of children with multiple disabilities towards greater inclusion of children with multiple disabilities. In 2018, there were around 35 percent of children and students with multiple disabilities in special schools.<sup>120</sup>

Since 2013 the overall number of children in alternative care has, although at slower pace

<sup>115</sup> Statistical Office of the Republic of Serbia, <http://devinfo.stat.gov.rs>, SILC.

<sup>116</sup> UNICEF, Investing in Early Childhood Education in Serbia, September 2012.

<sup>117</sup> The Savski Venac pre-school institution, which only enrolls children with developmental impairments is an example of this, as well as schools for the education of children with developmental impairments and disabilities implementing pre-school education programmes.

<sup>118</sup> Statistical Office of the Republic of Serbia

<sup>119</sup> Statistical Office of the Republic of Serbia

<sup>120</sup> Institute for Improvement of Education, 2018

than in the previous period, continued to increase. In 2017, 88 percent of children without parental care were placed into foster families and 12 percent into residential institutions. Many girls and boys without parental care are therefore deprived of safe, trustful, stable and stimulating relationships which leads to their **unequal chances** to reach their maximum potential for an independent life. While it is encouraging that the total number of children placed into institutions has decreased (from 961 to 761, or 17 percent), the number of children placed into foster-care has increased in the same period (from 5,125 to 5,416 or 5.7 percent).<sup>121</sup> Despite challenging circumstances, clear progress has been made towards de-institutionalization. However, this process has not been felt equally by all children. There is continuously a slightly **higher number of boys** predominantly among children with disabilities in both residential and foster care. It is concerning, that despite the introduction of a ban on placing **children under-three years of age** (2011) in institutional care, it continues to occur. After a gradual decrease since 2012, it started to increase again in 2016, reaching a total of 44 children in residential institutions in 2017. Community services are not yet fully sustainable and therefore reach only a relatively small number of children.

According to official statistics, there were 3,465 juvenile criminal reports, and around 1,633 convictions in Serbia in 2017. Most reports and convictions are for boys.<sup>122</sup> The trends in the number of reports and convictions since 2013 are not linear but are in decline overall (9.9 percent decrease in reports since 2013). For juvenile criminal reports there is a small but continuing increase in the number of girls (from 6.9 percent in 2013 to 10.1 percent in 2017). In cases where crimes are committed by juvenile offenders, 30% of all victims are children below 18. The application of diversion measures is on the rise (from 4 percent in 2013 to 9.5 percent in 2017), although there is scope for further increase. These measures could also be applied in an earlier phase, before a criminal or court procedure is initiated.

In 2015, UNICEF developed its **Country Programme Document** (CPD) jointly with Government partners for the period 2016-2020. The CPD was designed to be aligned with key Government strategies, notably the EU accession process, the SDGs, and UNICEF Strategic Plan 2014-2017. The CPD 2016-2020 is to a large extent a continuation of strategies endorsed by the previous Country Programme and the comprehensive Mid-Term Review conducted in 2013.

The overall goal of the Country Programme is to support the efforts of Serbia to promote and protect the rights of all children and to give all children equal opportunities to reach their full potential. The Programme focuses on supporting vulnerable children from the very start of life and enhancing the social welfare system's capacity to prevent vulnerable families from falling below the poverty line.<sup>123</sup> UNICEF strategies for unlocking bottlenecks to the realization of child rights include advocacy, partnership, leveraging resources, capacity development, evidence generation and modeling/piloting innovative solutions.

## 2. OBJECT OF EVALUATION

For UNICEF country programmes of the ECA region, piloting and modelling have “underpinned UNICEF’s policy advice, serving to inform policy reforms, test innovations, and/or assess new approaches for policy implementation”.<sup>124</sup>

<sup>121</sup> Children in the system of social protection, Republic Institute for Social Protection, 2018.

<sup>122</sup> Statistical Office of the Republic of Serbia

<sup>123</sup> Visual representation of the Theory of Change (reconstructed during the inception phase of the ongoing Country Programme Evaluation) is available in Annex 1.

<sup>124</sup> “Modelling: A Core Role for UNICEF’s engagement in the CEE/CIS Region”. UNICEF, 2015

Piloting: testing a new theory of change where inputs are varied in order to try to effect a different system change. (we do not know if it works at the beginning).

Modelling: demonstrating something that works in a new context to promote replication of an established effective practice. (we know it works and we want others to adopt).

UNICEF and the Government of Serbia have launched a significant number of models over the period of 2016-2019 in the areas of health, child protection, education and adolescent programming. Modelling efforts include but are not limited to:

Programme	Models
Child Protection	Diversion of Children from Detention Measures
	Intermittent Foster Care for Children with Disabilities
	Family Outreach Worker
Education	Drop-out Prevention and Intervention at the School Level
	Inclusion of Child with Disabilities (CWD) in Pre-school
	Access to Mainstream Education to Refugee and Migrant Children

Many of the models did not have specific theories of change developed at the onset, although most of them relate to and are part of wider sectoral theories of change.<sup>125</sup> None of the models has as yet been scaled up to national level. Brief descriptions of each of the selected models are the following:

### ***Diversionsary Measures***

The model aimed at practical application of core principles and procedures of child friendly justice in Serbia that have already been incorporated into law, with the view to increase the use and quality of diversionary measures. In doing so, the model attempted to strengthen mechanisms to protect the best interests of children that come into conflict with the law, reduce the number of children that are exposed to prolonged judicial proceedings, reduce reoffending rates and decrease the burden placed on the judiciary by juvenile justice cases.

The model was implemented in 2015-2017 in the four largest cities in Serbia (Belgrade, Novi Sad, Kragujevac and Nis), while in 2018-2019 this was expanded to municipalities in Serbia with the highest juvenile offending rates where local authorities have expressed commitment to invest in and sustain diversionary schemes. The costs of the model implementation have not been estimated, due to the nature of the intersectoral collaboration required for the model.

<sup>125</sup> It is expected that the evaluation team reconstructs the ToCs for each model and applies them in the analysis.

### ***Intermittent Foster Care***

The model envisaged assessment of new approaches for policy implementation, i.e. testing the ways the already existing service (primarily designed as alternative family-based care) can be upgraded to also serve birth families with children with disabilities (as respite, prevention of burn-out, contribution to prevention of child/family separation).

The model was implemented in 2015-2016, in four large cities (Novi Sad, Belgrade, Kragujevac and Nis). The costs of the model have not been fully estimated.

### ***Family Outreach Worker***

The Family Outreach Service aims to improve the capacities of families to provide for a child's safety, protection from neglect and abuse, and conditions for the good quality development of the child in a family environment. It is intended for families with children that have numerous and complex needs, where there is a risk of separation of the child or a threat that the risk shall occur, and for families that are planning for the return of the child to the family after the measure of separation from the family.

The model was launched in 2013, and supported by UNICEF till 2018 in four large cities (Novi Sad, Belgrade, Kragujevac and Nis). The costs of the model have been estimated.

### ***Drop-out Prevention and Intervention at the School Level***

The main aim and intention of the model was to establish a system for timely identification of and effective support for children and adolescents at risk of dropping out of school through implementation of school and community-based measures.

The model was implemented in 2014-2016, in 4 primary and 6 secondary vocational schools in 7 municipalities in Serbia (Vrbas, Kraljevo, Kragujevac, Pancevo, Bela Palanka, Surdulica, Vladicin Han). The costs of the model have been estimated.

### ***Inclusion of Child with Disabilities (CWD) in Pre-school System***

The model aimed at introducing children with disabilities into joint activities with children in mainstream groups. The changes this model initiated are related to desegregation of segregated learning environments for young children and development of the shifting role of defectologists to serve as expert support to preschool teachers working with all children in preschool institutions in inclusive mainstream environments.

The model was implemented from 2016 till end 2018, in 3 preschool institutions in 3 municipalities. There is no estimated amount of resources spent on the model.

### ***Supporting Access to Mainstream Education to Refugee and Migrant Children***

The model was implemented in 2016-2018 and supported the access of migrant and refugee children to mainstream education. In doing so, bottlenecks and barriers to inclusive education were identified and addressed hence supporting the overall education sector reform process to promote inclusive and multicultural education. The model looked innovatively at refugee and migrant enrolment differently from the standard practice occurring in traditional refugee settings due to the 'transitory' nature of their displacement

and the fact that migrants and refugees will likely not go back to their country of origin. Secondly, the model focused on competence building rather than on knowledge sharing.

The model was initially piloted in a few municipalities and soon scaled up at a national level. Whereas UNICEF's budget for supporting access to mainstream education to refugee and migrant children can be estimated from 500,000 to 800,000 USD from 2016 until April 2019, it is challenging to define the amount spent on the model.

The above describes some of the different areas in which UNICEF (in partnership with Government) has used a modelling approach. The main object of the evaluation is not, however, the substantive areas listed above but **the use of modelling as a strategy** towards scaled up national programmes and investments for Serbia's most vulnerable children.

The Theory of Change for modelling, as inferred from the 10 sine qua non, can roughly be summarised as follows: An innovative approach, with a clear theory of change on how the approach will contribute to child well-being and reduce equity gaps, which involves key stakeholders from the beginning and has a strong evidence generation focus (baselines, rigorous monitoring and evaluation, public sector costing, etc.), if shown to be effective, will be adopted by Government as policy and its roll-out and scale up will ensure coverage of the entire target population of children.

### 3. STAKEHOLDERS TO THE EVALUATION

The evaluation will be used by a range of primary and secondary stakeholders. The primary stakeholders are UNICEF in Serbia and the Government of Serbia (including relevant line ministries and state bodies). Main government entities in the implementation of the selected models include, among others: Ministry of Education, Science and Technological Development; Ministry of Labour, Employment, Veteran and Social Affairs; Ministry of Justice; Republic Institute for Social Protection; local self-government units.

Secondary stakeholders are the right holders and duty bearers that benefit from the models and interventions. The rights holders include women and men, girls and boys, including children with disabilities, Roma, refugees and migrants. Following the principle of participatory evaluation, consultations with rights holders will be held.

UNICEF CO professionals at every level responsible for all strategic, design, implementation, coordination, and monitoring-evaluation-learning aspects of programmes are to be involved in the evaluation, to advance organizational learning on good practices in modelling.

UNICEF Regional Office is interested to test the theory behind the organizations modelling work (see Annex 2), and their potential revision and/or further use.

The intended uses of evaluation are the following:

- Learning and improved decision-making (including through identification of lessons learned and good practices in modelling);
- Inform scale up measures of existing models by Government but also potentially through public-private partnerships;
- Lessons learned and good practices for national, regional and other stakeholders already implementing or interested in applying modelling.

### 4. RATIONALE AND PURPOSE

The demand for the evaluation comes from UNICEF Serbia management, who are exploring different strategic options with respect to a new Country Cooperation Programme 2021-2025, and in response to a recent independent Country Programme Evaluation, which observed that while some of the innovative models brought excellent results in experimental settings, their replication and scalability were threatened by systemic limitations and lack of a full understanding of the how modelling informs policy making, public finance and Government programme decision-making processes.

The purpose of the evaluation is in obtaining primarily formative (forward-looking), to support UNICEF CO and stakeholders' strategic learning and decision-making with regard to implementation of these and other models in the next programme cycle, as well as the CO's overall approach to modelling,

## 5. OBJECTIVES

The main objectives of the evaluation are the following:

1. Using a sample of current modelling efforts, evaluate and assess the extent to which selected models have been designed in accordance with the 10 preconditions for successful modelling (see Annex 2);
2. Assess and identify implementation challenges that hindered or supported scale-up of the models;
3. As compared to alternative strategies, assess the extent to which modelling was the most efficient way of achieving the desired results (scaled up national programmes for the most vulnerable);
4. Looking forward, assess the factors that may facilitate or further impede scale up in the context specific to Serbia's Government systems and structures (particularly in the areas of governance and financing) in the next programme cycle (2021-2025);
5. Make recommendations that will help the Serbia CO optimize modelling as a strategy in its next country programme;
6. Make specific recommendations that will help UNICEF optimize, replicate or scale up the sampled models where feasible.
7. Based on the findings from 1-5 above, assess the sufficiency of the 10 preconditions as a framework for guiding UNICEFs modelling efforts at country level.

## 6. SCOPE

In programmatic and operational terms, the evaluation will cover UNICEF's implementation of selected models during the period of 2016 - August 2019, beginning from concept stage till scale up (where applicable) potentially also including models that are in an inception phase and that may be taken to scale.

Due to varying geographical coverage of the models, the inception phase will be used for determining the geographical sites and models that would best suit the evaluation objectives.

## 7. EVALUATION QUESTIONS

The country programme evaluation 2019 indicated that UNICEF models were relevant and yielded results (effectiveness and impact) when implemented under ideal conditions. Thus the evaluation of modelling will focus more on the processes associated with modelling, consideration of assumptions, and efficiency, cost effectiveness and sustainability issues. In

addition, the evaluation will incorporate equity, gender equality and human rights considerations throughout all criteria and stages. Key evaluation questions (and sub-questions) are clustered in accordance with the evaluation criteria provided. The initial overarching and detailed lists (below) of questions will be further refined and unfolded by the evaluation team and included in the Inception Report, following desk review of key documents.

The **main** question that the evaluation should answer is: To what extent has the design and implementation of models led to national scale-up? If not scaled up, what are the main opportunities and impediments?

In addition to the above, the evaluation will also answer a more **theoretical** question on the theory of change behind UNICEF's modelling: "Is the 'sine qua non' a useful and sufficient framework for guiding UNICEF's modelling efforts?".

#### **Efficiency:**

- a. Are the models a cost-effective way of achieving results at scale?
- b. Would the scale-up of models bring efficiency gains to existing governance systems?
- c. How can the efficiency of models and modelling be further improved?
- d. Is modelling an efficient strategy for achieving the intended results of a country programme?

#### **Sustainability:**

- a. To what extent do stakeholders support the long-term objectives of the models?
- b. Are there any risks, including political (such as commitment of and ownership of results by authorities), governance (e.g. inability of the system to absorb changes or incompatibility of governance structures and models) and financial, which jeopardize the sustainability of the models?
- c. Are there any identified funding sources that could introduce new opportunities (e.g. IFIs, public-private partnerships) in order to take the models to scale?
- d. To what extent do mechanisms, procedures and policies exist to allow duty bearers to carry forward the results achieved?
- e. What could be done to strengthen exit strategies and sustainability?

#### **Scalability:**

- a. Were the model/s designed with scale in mind, from the start?
- b. Are the model/s adapted to Government systems and/or able to use existing infrastructure and resources?
- c. Are the model/s demand-driven?
- d. Is there proof of use/replication – if so by who and with what adaptations (if any)?
- e. Have the model/s the ability and/or likelihood to expand from a limited scale to a larger reach, adapt and sustain over time for greater impact?
- f. Are there bottlenecks that might limit the ability of the model/s to scale? Are there possible solutions identified to address those identified bottlenecks?
- g. Do the model/s address problems common enough to be relevant in other locations or contexts?
- h. In the event of scale-up, what would be the minimum requirements for preserving the fidelity of each model?

## **8. APPROACH AND METHODOLOGY**

The evaluation will involve duty bearers and stakeholders in all stages, in accordance with a highly participatory approach. To the extent possible, the evaluation may include rights holders who are end users of results produced by models.

A preliminary evaluability self-assessment revealed availability of CO progress and annual reports and a number of evaluations/ studies related to the models. Data provided by national sources (e.g. Statistical Office) and through UNICEF onsite observations is deemed reliable.

The following sources of information have been identified, whereas more detailed and specific materials will be provided starting from the evaluation inception phase.

#### **UNICEF/ external documents:**

- UNICEF CO in Serbia Key Performance Indicators (KPIs) 2016 - 2019;
- CO Annual Reports 2016-2018;
- CO Annual Management Plans (2016-2019);
- UNICEF donor reports;
- UNICEF implementing partners' reports;
- CO communication and advocacy materials;
- External evaluation of the model on Drop-out prevention and intervention at the school level;
- Study on Piloting Outreach Service and Evaluation of Service Provision Outcomes, Republic Institute for Social Protection (2018);
- External Evaluation on Supporting Families with Children with Disability – Evaluating the Impact on Family and Child Wellbeing, University of Belgrade (2017)
- Law on Planning System
- Law on Foundations of the Education System
- Law on Social Protection
- Law on Juvenile Criminal Offenders.

A more in-depth evaluability assessment will be conducted by the evaluation team at the inception phase to further inform evaluation methodology. A specific methodology will be developed by the evaluation team and may include desk review/analysis, key informant interviews, observations and field visits.

Methodological rigor will be given significant consideration in the assessment of the proposals. Hence, consultants are invited to interrogate the approach and methodology suggested in the ToR and improve on it, or propose an approach they deem more appropriate, which should be guided by the UNICEF's revised Evaluation Policy (2018)<sup>126</sup>, the Evaluation Norms and Standards of the United Nations Evaluation Group (2016)<sup>127</sup>, UN SWAP Evaluation Performance Indicator, UNICEF Procedure for Ethical Standards and Research, Evaluation and Data Collection and Analysis (2015)<sup>128</sup> and UNICEF-Adapted UNEG Evaluation Report Standards (2017).<sup>129</sup> Moreover, the evaluation should consider throughout the issues

<sup>126</sup> UNICEF's revised Evaluation Policy: [https://www.unicef.org/about/execboard/files/2018-14-Revised\\_EvalODS-EN.pdf](https://www.unicef.org/about/execboard/files/2018-14-Revised_EvalODS-EN.pdf)

<sup>127</sup> UNEG Norms: <http://www.uneval.org/document/detail/21>, UNEG Standards: <http://www.uneval.org/document/detail/22>

<sup>128</sup> Available at [https://www.unicef.org/supply/files/ATTACHMENT\\_IV-UNICEF\\_Procedure\\_for\\_Ethical\\_Standards.PDF](https://www.unicef.org/supply/files/ATTACHMENT_IV-UNICEF_Procedure_for_Ethical_Standards.PDF)

<sup>129</sup> Available at [https://www.unicef.org/evaldatabase/files/UNICEF\\_adapated\\_reporting\\_standards\\_updated\\_June\\_2017\\_FINAL\(1\).pdf](https://www.unicef.org/evaldatabase/files/UNICEF_adapated_reporting_standards_updated_June_2017_FINAL(1).pdf)

of equity, gender equality and human rights. In their proposal, consultants should clearly refer to triangulation, sampling plan and methodological limitations and mitigation measures. They are encouraged to also demonstrate, wherever possible, methodological expertise in governance and public finance areas, following human rights-based approach and gender-responsiveness.

It is expected that the evaluation will employ a theory-based approach (by using the ToCs reconstructed at the inception phase) and apply mixed methods, drawing on key background documents, monitoring framework, and primary data that should be generated through key informant interviews (KIIs).

All key documents, as noted above, together with a contact list of all relevant informants will be provided to the evaluators once a contractual agreement has been made.

At a minimum, the evaluation will draw on the following methods:

- **Desk review** of background documents and other relevant data, including annual planning documents, monitoring reports, and other documents judged relevant;
- **Literature search and review**, and analysis of secondary quantitative data, review of material on the environment in which UNICEF operates, and recent plans and strategies;
- **Key informant interviews** with Government, UNICEF CO and Regional Office, donors, implementation partners, communities, and other stakeholders;
- **Observations and field visits** for direct exposure to the implementation of the models, collection of beneficiaries' and partners' feedback and evidence needed to respond to some evaluation questions.

Sampling of key informant interviews and field sites will be determined during the inception phase, in consultation with UNICEF.

During the field mission phase, the team will be expected to visit selected sites and conduct primary data gathering. Sites will be selected during the inception phase based on criteria developed by the evaluation team in collaborating with UNICEF and other partners. The selection criteria may include the following operational and contextual factors: a) Scale and type of models; b) situation of children to whom support is provided; c) extent to which UNICEF has successfully achieved expected results through model implementation. If children and/or vulnerable groups are to be interviewed, an ethical review of the interview protocol will be required.

The evaluation team is expected to present the theoretical framework against which the scale-up pathways will be considered.

There are several **limitations** to the evaluation which can hinder the process, notably:

- Scale-up analysis is likely to require an assessment of political will and alignment with budget processes. It is likely that there will be limitations to the information that can be collected in this regard. As a mitigation measure, UNICEF would need to leverage its contacts and partnerships, although it would not be able to control the availability of information.
- Interviews with stakeholders will depend on their availability. Due to a considerable number of response sites, it will not be feasible to visit all of them. Evaluation

sampling plan will explore mitigation of these and other related potential limitations.

The evaluation should include the following steps:

**Step 1: Desk review** of relevant background documents and literature search. The evaluators will review key background documents to understand the models and carry out literature search of secondary data to understand the context in which they operate.

**Step 2: Inception Mission.** Upon the desk review, an inception mission to Serbia will be organized for the evaluation team. The inception mission will aim to introduce the evaluation to the team in the office as well as to important stakeholders, including members of the Evaluation Reference Group with the objective to establish a common vision for the evaluation.

**Step 3: Preparation of Inception Report (IR)** that includes in-depth evaluability assessment that should, among other, specifically propose the evaluation methodology, tools and protocols. The methodology should be prepared to cover all the intended objectives of the evaluation. The evaluation methodology design will be finalized in agreement with the Reference Group (see below), UNICEF and the Inception Report should be prepared based on the Evaluation Norms and Standards of UNEG and submitted to the evaluation manager for approval.

**Step 4: Data collection.** The application of mixed-methods (qualitative and quantitative) is expected, which should be human-, and including child rights - based, and equity- and gender sensitive, as noted above. The evaluators will seek to collect, use and report disaggregated data wherever possible, and conduct interviews in a manner that encourages active and equal participation of rights holders vis-à-vis duty bearers, among other.

**Step 5: Data analysis.** Collected data should be analysed by using relevant analysis methods that should be clearly described in the inception report. All reported data will be disaggregated wherever possible and gender overview of interviewed persons will be provided.

**Step 6: Sharing preliminary findings.** The evaluators will share preliminary findings with the Reference Group and UNICEF CO. While feedback will be taken into consideration and incorporated into the draft report, the consultants are encouraged to guard against validity threats, such as personal bias.

**Step 7: Draft report.** The consultants will prepare a draft report, with conclusions, lessons learned and recommendations drawn from the data. The report structure should follow UNICEF's evaluation report guidance. Draft report should contain detailed financial projections and timelines for each selected model's scale-up, taking into account fluctuations in funding availability.

**Step 8: Finalization of the evaluation report.** The consultants will present the final draft evaluation conclusions and recommendations to the Reference Group, UNICEF and other key stakeholders, using a Power Point Presentation and/or other methodologies for presenting in a participatory manner and in an accessible language form, if needed. Recommendations of the evaluation should also be presented, prioritized, and grouped

according to stakeholder groups. Comments and feedback on findings and recommendations should be incorporated to finalize the report, as appropriate.

Good practices not covered therein are also to be followed. Any sensitive issues or concerns should be raised with the evaluation manager (CRM/E Specialist in the CO) as soon as they are identified.

A quality assurance (QA) review in line with UNICEF Standard Operating Procedures (SOPs) for Research Studies and Evaluations (RSEs) will be applied to both Inception Report and Final Draft Report. The QA is performed by the Country Office, using an external review facility.

## 9. WORK PLAN

### Evaluation Phases, Timing and Associated Deliverables

The evaluators are expected to produce the following key deliverables (please also refer to the table on p.11):

1. **Inception report** (in English) of maximum 20 pages, excluding annexes, should contain a detailed plan for evaluation, including data collection and analysis methodology and tools, an evaluation matrix (as the main analytical framework against which data will be gathered and analysed AND is shaped around the evaluation questions, to be developed by the evaluation team leader and agreed by the evaluation manager prior to the start of field work as part of the inception report). The report will also contain a tentative outline of the final evaluation report, quality assurance arrangements, identification and analysis of and measures taken to address risks and proposed communication and dissemination plan. Once the inception report is reviewed and the methodology is agreed with UNICEF, the process of data collection will begin.
2. **Final evaluation report** (in English) of maximum 40 pages, excluding the executive summary and the annexes, will be reviewed by UNICEF, ERG, and other stakeholders, and finalized in consultation with UNICEF.
3. **Detailed financial projections and timelines for each selected model's scale-up**, taking into account fluctuations in funding availability and both public and private funding opportunities (as part of the Final evaluation report).
4. **Power Point Presentation** (in English) summarizing the content of the final report, projections and timelines (see deliverable #3).
5. A short recorded **interview** with the Team Leader

Other interim products may include:

- Minutes of key meetings with the evaluation manager and the ERG;
- Video and photo materials to be collected during the evaluation to enrich presentations and the report; and
- Bi-weekly reports to the evaluation manager to track progress in the implementation of the evaluation.

Reports will be prepared according to the UNICEF Style Guide and UNICEF Brand Toolkit (to be shared with the winning applicants), UNICEF-Adapted UNEG Evaluation Report Standards

(2017) and Geros Quality Assessment System.<sup>130</sup> All deliverables must be in professional level standard English and must be proofread by a native English speaker.

The first draft of the final report will be received by the evaluation manager who will work with the evaluators on necessary revisions in consultation with the country and regional teams before sending the report to the ERG for comments. The evaluation manager will consolidate all comments on a response matrix and request the evaluation team to indicate actions taken against each comment in the production of the second draft final and final reports. Products are expected to conform to the stipulated number of pages where that applies. The products of the evaluation will be disseminated per the Advocacy and Dissemination Plan developed at the onset of the evaluation and be made available to a wider-public on UNICEF web-site and unicef.org.

Tentative timeframe for the evaluation is presented below.

DATES (tentative)	TASKS AND DELIVERABLES	RESPONSIBLE STAFF
<b>October 2019</b>	ToR finalization; compilation of document database; advocacy and dissemination plan.  Tendering for the evaluation	Evaluation Manager
<b>November-December (evaluation team contracted)</b>	Background reading and desk review	Evaluation Team with support by Evaluation Manager
	Inception mission plan, including data collection tools; Outline of Inception Report	Evaluation Team;  Evaluation Manager to assist inception phase
<b>December</b>	Inception mission to Serbia, including meetings with stakeholders and Reference Group;	Evaluation team leader;  Evaluation Manager and CO to assist with inception mission preparations
<b>31 December</b>	Submission of draft Inception report	Evaluation Team

<sup>130</sup> Available at [http://www.unicef.org/evaldatabase/files/UNICEF\\_Eval\\_Report\\_Standards.pdf](http://www.unicef.org/evaldatabase/files/UNICEF_Eval_Report_Standards.pdf)

<b>January 2020</b>	Review and comment on draft Inception report;  Submission of final Inception Report;  Ethical review (if any)	Evaluation Manager; Reference Group;  Evaluation Team
<b>February</b>	Data collection mission to Serbia and debriefing;	Evaluation Team;  Evaluation Manager and CO to assist with field mission
<b>15 March</b>	Data analysis and Draft Evaluation report submission	Evaluation Team
<b>March-April</b>	Review and comment on the draft Evaluation report	Evaluation Manager;
<b>May</b>	Comments addressed; Finalization of Evaluation Report and Evaluation Briefs	Evaluation Team
<b>June</b>	Management response preparation; dissemination	CO Senior Management; Evaluation Manager

The above dates are tentative. The evaluation team may propose a realistic timeline for the implementation of tasks and deliverables.

### **Team Composition and Qualifications**

The evaluation will be carried out by a team of 3 consultants (including the Team Leader and at least one national of Serbia), all to be recruited by an institutional contractor, who should have substantive expertise in leading and conducting evaluations and should not have any conflict of interest with respect to UNICEF.

The evaluation team will have combined knowledge and expertise in the following areas:

- Operational research approaches
- Governance;
- Social Policy and Public finance;
- Child rights, gender equality, human rights.

Companies responding to the RFP should plan to hire interpreters and consultants for support in interpretation, organization of the in-country agenda, and interpretation of findings from a country-specific stand point if needed.

As a general guide, the level of effort and duration of the evaluation suggest that the Team Leader should be allocated a total of 50 days and all team members should be allocated up to 30 days (depending on the distribution of work and missions across the team).

The evaluation will have to be conducted by a gender-balanced team covering the below requirements:

- Team-leader with documented extensive experience (at least 8 full years) in conducting development evaluations (having conducted evaluations for UNICEF is an asset, having evaluations positively rated by UNICEF's quality assurance system is an additional asset);
- At least two team members with proven expertise in one or more of the following areas: governance, public finance, cost analysis in social areas;
- At least one team member with proven extensive experience in quantitative and qualitative data collection and analysis;
- All team members with experience of working in middle income countries (experience in Western Balkans is an asset);
- At least one team member with solid knowledge on child rights, HRBA and gender equality;
- Excellent report writing skills in English;
- Good communication skills
- Fluency in English, fluency in Serbian is an asset.

The consultants must remain in strict adherence with UNEG Ethical Guidelines and Code of Conduct.

### **Roles and Responsibilities**

Roles and Responsibilities by UNICEF Serbia Country Office:

The evaluation will be managed by the Child Rights Monitoring and Evaluation Specialist who will be responsible for the day-to-day oversight and management of the evaluation and for the management of the evaluation budget. The evaluation manager will ensure the quality and independence of the evaluation and guarantee its alignment with UNEG Norms and Standards and Ethical Guidelines and other relevant procedures, provide quality assurance on the relevance of the evaluation findings and conclusions, and the implement ability of recommendations, and contribute to the dissemination of the evaluation findings and

follow-up on the management response. The evaluation manager will work in collaboration with relevant Sections of UNICEF CO. Additional quality assurance will be provided by Regional Evaluation Adviser and Regional Research and Evaluation Specialist. The Final Report will need to be rated as satisfactory by UNICEF's external quality assurance facility and will be approved by UNICEF Representative in Serbia.

The evaluation manager is responsible for:

- Endorsing the ToRs;
- Establishing and updating the electronic library of documents for the evaluation;
- Collecting and summarizing all feedback received throughout the main stages of the evaluation;
- Conducting the Quality assurance as per the Standard Operating Procedures (SOPs) for Research, Studies and Evaluations (RSEs);
- Ensuring Ethical standards and requirements are fully met as per UNICEF Evaluation Policy and SOPs for RSEs;
- Supporting participation of stakeholders throughout the evaluation process;
- Establishment of the Evaluation Reference Group (ERG) and arrangement of its meetings;
- Ensure ERG members and other key stakeholders are consulted and comment on the evaluation main deliverables;
- Engaging Communications colleagues in the development of Advocacy and Dissemination plan for the uptake of evaluation findings;
- Support the development of management response for the evaluation.

Roles and Responsibilities of Sections of UNICEF CO:

- Provide access to information, data and evidence on UNICEF models;
- Identify and facilitate the access of the evaluation team to key stakeholders;
- Support development of management response;
- Promote use of evaluation findings.

Roles and Responsibilities for the Evaluation Team Leader and Team Members:

The team leader will be responsible for managing and leading the evaluation team, designing the evaluation methodology, developing tools, data collection, analysing data, conducting debriefing sessions and recommendations workshop, drafting the Inception and the Final Reports with recommendations, guiding other team members, and presenting the Final Report.

Specific tasks for the Team Leader include the following:

- Guide the desk review including all relevant programme and project documents and reports, previous studies and research and evaluations;
- Develop and provide methodological guidance for the team with regard to the tool development and define overall direction for data analysis and quality assurance;
- Provide guidance on the preparation of evaluation deliverables;
- Manage the evaluation workplan;
- Maintain coordination and communication with the other team members and UNICEF staff involved in the evaluation;
- Review all relevant to the evaluation documents;
- Lead the planning and conduct analysis and discussion on the evaluation questions and issues common to the team and the process;

- Undertake the data gathering mission and present the evaluation findings to CO, ERG and the evaluation manager;

Common tasks and duties for all Team Members:

- All team members are requested to familiarize themselves with UNICEF global normative products in the substantive areas for which they are responsible. These are available on [www.unicef.org](http://www.unicef.org);
- All team members will contribute to the evaluation deliverables – Inception Report, Final Report and Power Point Presentation;
- All team members should participate in the field mission;
- The national team member will support the team leader in evaluation design, data collection and analysis, debriefing sessions and recommendations workshop, and drafting parts of Inception and Final Reports, and translation of documents from Serbian to English and vice versa, where needed.

Evaluation Reference Group:

As per the UNICEF Evaluation Policy an Evaluation Reference Group will be established to act as an advisory and provide inputs on all main evaluation deliverables. The ERG is expected to provide feedback during the evaluation process and on the deliverables; comment on the evaluation approach and methods and facilitate access to data and information.

Representatives of the Evaluation Reference Group will participate in elaboration of recommendations through active contribution during debriefing meetings and by providing feedback to the draft Inception and Final Reports.

### **Ethical Guidance to Evaluation**

Special measures will be put in place to ensure that the evaluation process is ethical and that the participants in the evaluation process can openly express their opinion. The sources of information will be protected and known only to the evaluators. The Evaluation Team will ensure that the evaluation process is in line with UNEG Ethical Guidelines, i.e. ensuring ethical conduct in data generation will be imperative.

Specific attention should be paid to issues specifically relating to:

- Harm and benefits;
- Informed consent;
- Privacy and confidentiality; and
- Conflict of interest of the evaluation informants.

Consequently, the consultants have to ensure that it is clear to all subjects that their participation in the evaluation is voluntary. All participants should be informed or advised of the context and purpose of the evaluation, as well as the privacy and confidentiality of the discussions.

### **Evaluation Budget and Source of Funding**

The request for services under the evaluation contract will require prospective companies to indicate their financial offer for the services to be provided (inclusive of fees (travel and accommodation costs, where relevant). As part of the selection process, the office will select the company that quotes the lowest fee from the list of prospective companies who are deemed suitable for achieving all the tasks on time and as per the criteria and deliverables stipulated in the Terms of Reference.

The fee may be reduced if the assignments/deliverables are not fulfilled to the required standard. In a case of serious dissatisfaction with the company's performance the contract may be terminated in line with UNICEF procedures and as spelled out in the contract.

## 10. STRUCTURE OF EVALUATION REPORT

The Final Report must be compliant with UNICEF evaluation report standards and shall include the following:

- Title page and opening pages
- Executive summary (4-6 page stand-alone document, concise and well-formulated)
- Description of the object of the evaluation
- Rationale and Purpose of the evaluation
- Evaluation scope, objectives and key questions
- The evaluation design and methodology
- The stakeholders' participation
- Ethical issues
- Findings
- Constraints
- Conclusions
- Recommendations
- Lessons learned
- Annexes

The evaluation report will be assessed and rated against an assessment tool to made available to the winning applicants.

## 11. SELECTION CRITERIA

Interested companies are requested to submit their technical and financial proposals by 20 October 2019.

After the opening, each proposal will be assessed first on its technical merits and subsequently on its price. The proposal with the best overall value, composed of technical merit and price, will be recommended for approval. UNICEF will set up an evaluation panel composed of technical and procurement staff and their conclusions will be forwarded to the internal UNICEF Contracts Review Committee, or other relevant approving authority.

The evaluation panel will first evaluate each response for compliance with the requirements of the request for proposal (RFP) procedure of UNICEF. Responses deemed not to meet all of the mandatory requirements will be considered non-compliant and rejected at this stage without further consideration. Failure to comply with any of the terms and conditions contained in this RFP, including provision of all required information, may result in a response or proposal being disqualified from further consideration.

The overall weighting between technical and price evaluation will be as follows: The technical component will account for 70% of the total points allocated and the financial component will account for 30% of the total points allocated.

The assessed technical score must be equal to or exceed 40 of the total 70 points allocated to the technical evaluation in order to be considered technically compliant and for

consideration in the financial evaluation.

Technical evaluation	Points
<b>1. Overall Response e.g. the understanding of the assignment by the proposer and the alignment of the proposal submitted with the ToR</b>	<b>10 points</b>
1.1. Completeness of response	5 points
1.2 Overall concord between RFP requirement and proposal	5 points
<b>2. Company and personnel</b>	<b>25 points</b>
2.1 Range and depth of organizational experience with similar projects	4 points
2.2 Samples of previous work	3 points
2.3 Number of customers, size of projects, number of staff per project	3 points
2.4 Client references	7 points
2.5 Key personnel: relevant experience and qualifications of the proposed team for the assignment	8 points
<b>3. Proposed Methodology and Approach e.g. Work plan showing detail sampling methods, project implementation plan in line with the project</b>	<b>35 points</b>
3.1 Proposed work plan and approach of implementation of the tasks as per the ToR	15 points
3.2 Implementation strategies, monitoring and evaluation, quality control mechanism	10 points
3.3 Technologies used - compatibility with UNICEF	5 points
3.4 Innovative approach	5 points
<b>Price proposal</b>	<b>Points</b>
	<b>30 points</b>

### Terms of Payment

All payment terms will be indicated in the institutional contract upon selection of the successful company:

- Approved Inception Report: 25% of the contractual amount;
- Approved initial evaluation findings report: 30% of the contractual amount;
- Approved final report, final presentation and other materials: 45%.

All applications will be treated with strict confidentiality. UNICEF is an equal opportunity employer.

### **Nature of Penalty Clause in Contract**

UNICEF reserves the right to withhold all or a portion of payment if performance is unsatisfactory, if work/outputs is incomplete, not delivered or for failure to meet deadlines (fees reduced due to late submission: 20 days - 10%; 1 month -20%; 2 months -30%; more 2 months – payment withhold). All materials developed will remain the copyright of UNICEF and UNICEF will be free to adapt and modify them in the future.

The bidders are requested to provide an all-inclusive cost in the financial proposal. In all cost implications bidders should factor the cost of the required service/assignment. Estimated cost for travel should be included in the financial proposal. Travel cost shall be calculated based on economy class travel, regardless of the length of travel. Costs for accommodation, meals and incidentals shall not exceed applicable daily subsistence allowance (DSA) rates, as promulgated by the International Civil Service Commission (ICSC). Unexpected travels shall also be treated as above.

## Annex 2 – Theory of Change for modelling

A theory of change for modelling was developed by the CEI evaluation team based on interviews with UNICEF staff and project teams undertaken during the Inception Mission and in the first phase of the evaluation, and documentation provided by UNICEF.

The theory of change incorporated elements commonly described by UNICEF teams and that appear to be reasonably consistent aspects of modelling across the five exemplar projects. These elements are not necessarily undertaken in every instance of modelling. The theory of change is based around:

- **Inputs:** what needs to be in place before modelling activity begins
- **Activities:** what activity is carried out in modelling
- **Outputs:** what is created during and after modelling
- **Outcomes:** what changes are achieved by modelling
- **Long term impacts:** what are the long-term consequences of these changes for children and families

The theory of change informed the aspects of modelling that were explored in the evaluation, particularly in the interviews with stakeholders and review of documentation. The evaluation reviewed whether the inputs and activities described in the theory of change were available or carried out and in what forms, whether the intended outputs were created or achieved, and whether the intended outcomes and impacts were secured.

The evaluation team refined the theory of change in light of findings of the evaluation. These are shown in the summary figure overleaf and in the Detailed Elements (in blue font):

- **Inputs:** Additional emphasis was placed on ensuring the model is fit for the operating context.
- **Activities:** Advocacy, communications and workforce capacity strategies (also listed as outputs) were incorporated in earlier activities of modelling as well as shown as outputs
- **Outputs:** Advocacy, communications and workforce capacity strategies need to be revisited, reviewed and updated
- **Outcomes:** Commitment should be to the intended pathway and vision for scale-up
- **Long term impacts:** no changes.

## Detailed Elements of Theory of Change

### Inputs

- Baseline analysis: making the case for improvement of outcomes in child rights terms and identifying partners/stakeholders and levers for change
- Initial vision of pathway to scale
- Implementable program model: based on existing theory and evidence, with defined eligible beneficiaries, and documented procedures, training and other resources.
- **Model designed from the start to be fit for the operating context**
- Agreed strategy and plan for modelling including training and capacity building
- Partnerships with national, municipal and local stakeholders committed to modelling
- Funding for implementation, capacity building and evaluation



### Activities

- Model is implemented by sites, with training and capacity building
- Intersectoral cooperation is established to provide holistic support to children and families
- Feedback and monitoring systems are established
- Regular exchange of information, learning and problem solving
- External evaluation addressing implementation and impacts
- **Advocacy and communications activity**
- **Workforce capacity development activity**



### Outputs

- Strengthened stakeholder partnerships and buy-in to the model and scale-up
- Refined model and resources
- Evidence of impacts and what is required for effective implementation, **which are in line with the established target and pathway for scale**
- Refined plan for scale-up through replication of model or incorporation of its practices and principles into existing system
- **Continued** advocacy and communications **activity (including iterations as necessary)**
- **Continued** workforce capacity development **activity (including iterations as necessary)**
- Required regulatory changes documented
- Cost analysis and financing strategy for sustained funding at scale



### Outcomes

- The need for change is recognised across the system and the model and its practices and principles are recognised as the way forward
- Commitment to specific changes is secured from necessary partners **for the agreed vision and pathway for scale-up**
- Data systems for sustained monitoring are in place
- **Workforce capacity is developed; personnel/staff are prepared, ready and available for scale-up effort**
- Regulatory and policy changes are made
- Sustainable funding is secured
- Model is replicated and/or its principles and practices are mainstreamed
- Intersectoral cooperation becomes embedded



### Long term impacts

- Sustainable improvement in outcomes for children and families and reduction in equity gaps

## Annex 3 – Model Summaries

### Family Outreach Worker

The Family Outreach Worker model aims to improve capacities of families' capacity to provide for their child, accounting for their safety and reducing the frequency and impacts of separation.



#### Model Background

The Family Outreach Worker (FOW) model is part of UNICEF's work to reduce the number of children in institutions, by supporting families. It is a new, intensive family support service, in which a FOW works directly with around 9-12 families over the course of 8-12 months, meeting weekly with families and coordinating other care. The Family Outreach Worker is a professional in the field of social welfare, whose work is supported by an expert team from its institution (manager, supervision) and coordinated with the Centre for Social Welfare.

Practitioners operate under the principles of working with and not instead of the family; appreciating family expertise; involving the family in decision-making; fostering relationships between families and professionals.



#### Who is it for?

The service provides practical support, education/advice to parents and advocacy /community coordination to:

- Families with children who have multiple and complex needs and a risk of separation of the child
- Families planning for the return of the child to the family after period of separation
- Children in or at risk of out of home care
- Families disproportionately impacted by extreme poverty, unemployment, disability, mental illness, unstable housing.

The service also has a discretionary support fund at its disposal to resolve urgent family issues such as household equipment or repairs.



#### Model activities and indicators

The family support service is underpinned by an evaluation and family plan that includes any of the following activities:

- Practical support; for example, guidance or assistance in social welfare, healthcare, insurance (e.g. health or disability), employment, cultural content, education or disability support.
- Counselling and education activities; for example, capacity building for families, motivation, modelling, demonstration of behaviour, guidance and other activities aimed at strengthening and improving family relations and promoting a quality, positive development for the child.
- Representation, mediation and coordination in the community.

Indicators of progress or success among families using the service include:

- Educational engagement
- Improved child health
- Improved nutrition and hygiene
- Improved family relationships
- Improved emotion regulation
- Fewer child separations



## Partnerships with UNICEF

Family Outreach Worker has received support and partnered with several organisations in Serbia, from government ministries, NGOs and service providers.

- The Ministry of Labour, Employment, Veterans and Social Affairs (MLEVSA) supported the design of the model and piloting
- Republic Institute for Social Protection (RISP), which oversaw the piloting process and provided the link between model design and service delivery
- Service providers (residential institutions for children and youth) in each of the four pilot cities worked with Centres for Social Welfare who referred families and provide case management. These organisations were:
  - Dusko Radović (Niš)
  - Centre for Protection of Infants, Children and Youth (Belgrade)
  - SOS Children Village (Sremska Kamenica – Novi Sad)
  - Kneginja Ljubica (Centre for development of local services) (Kragujevac)
  - The Novak Djokovic Foundation contributed funding for the design and piloting of the service.



## Implementation activity

2014-17 was the main period of implementation for the model, occurring in Belgrade, Novi Sad, Kragujevac and Niš. These cities were chosen for their significant reach and the capacity of the residential institutions to deliver the service. The service reached a total of over 1500 families and 3400 children during modelling period.

Piloting and initial implementation was funded by the Novak Djokovic Foundation, and the second phase (during which program was extended to children with disabilities) by IPS/EU funding. The piloting process included sourcing workers from centres for children and youth working in the surrounding municipalities. However, this wasn't effective; UNICEF concluded that the FOW has to be embedded in the local community to be able to leverage resources minimise practitioner burden (e.g. travel).

Initial implementation concluded that UNICEF's preferred model would be for local workers to be employed by and within the Centres, based in the communities and connecting with the Centre as need - but this is still to be tested.



## Evaluation and evidence

Three key evaluation projects of the model have been undertaken; by RISP (2014-16), the University of Belgrade (2017) and PluriConsult (2018). The most prominent messages from these evaluations were:

- The model is relevant to the social welfare system, the workforce and families accessing the service with high potential for further roll-out
- The model has made progress in terms of family capacity to provide safety to children, reducing neglect and violence and decreasing separation. There was also a reduction in the number of children in residential care during this time, but this cannot be causally attributed to the model.
- The model strengthened professional relationships and competencies among practitioners, including those from within Centres for Social Welfare.
- A recommendation for tailoring intensity to family needs; embedding the principles in other services and building on informal community support networks.
- Cross-sectoral cooperation and sufficient system capacity were important enablers to implementing the model and to provide necessary support.

Cost-effectiveness of the model pilot was discussed both financially, as well as in relation to

human resources and time investment. It was reported that the programme funds, comprising not only service delivery, but management, administrative and fundraising plus demonstrated a good level of efficiency:

“The Family Outreach Service suspends the neglect and abuse of children in the family, strengthens families and encourages their independence. Therefore, this could represent a cheaper method of support for the country, and a more effective support for the family than the separation of the child.”

## Intermittent Foster Care

Intermittent Foster Care aims to improve the quality of life of families caring for children with disabilities through providing respite support. It also is designed aid the development and growing up of children in family environment, preservation of family power and family community and reduce social isolation.



### Model Background

Intermittent Foster Care provides respite fostering care for children with disabilities. It aims not only to provide support to families and high-quality care for children, but also to connect children and families with supports and assets in their local community and aid their inclusion. It aims to strengthen a service that already exists rather than to introduce a new service.



### Who is it for?

The target beneficiary group is children with complex disabilities and their families. This service should contribute to:

- Improving the living conditions of the entire family,
- Preventing the separation of a child from the family,
- Offering parents the possibility of a different engagement(s) with the aim of preventing social isolation of the family.



### Model activities and indicators

There are three main model activities of forms of service available:

- Short daily respite for children with disabilities:  
Child care for an hour or two on certain days when the primary parents have some requirements, or due to the needs of the child: involvement in swimming lessons, learning certain skill or mastering the school curriculum, going to a sports game, sports and cultural activities etc. This provides new experiences for the child, it develops its social skills and independence, expands horizons, and its parents have an opportunity to spend in the same - similar way that time with their friends or in some other way "recharge their batteries" and strengthen.
- Short multi-day respite for children with disabilities:  
During weekends, part of holidays or several days due to the needs of parents - treatment, finishing of certain activities, preparation of the other child in the family for enrolment in school, university, and a number of other reasons. Depending on the length of the stay, the plan for the child shall define the contents of the service aimed at acquiring new experiences for the child, that will provide new skills and involvement of the child in the community
- Short respite for babies with disabilities:  
Support to the primary family for a few hours a day, primarily in the parents' family home, with the goal of providing rest but also support to meet certain needs of the child where the parents are not adapting well, or require support themselves. Periodical foster parents assist the parents in developing parental skills of caring for children with disabilities and have a role of moderator of parental skills



### Partnerships with UNICEF

- Centres for Social Work (CSW): Oversee applications for the service.
- Centres for Foster Care and Adoption: Oversee assessment of carers. Service standards and processes are set out in draft guidelines. Carers also receive training and support from Centres for Foster Care and Adoption.

Other key stakeholders are:

- Ministry of Labour, Employment, Veterans and Social Affairs (MoLEVSA)
- Provincial Institute for Social Protection in Vojvodina - modelling and evaluation partner.



### Implementation activity

The service was implemented by six Centres for Foster Care (CFC) and Adoption. These operate regionally but their capacity is limited. Centres for Social Work (CSW) provide assessment and cover for CFCs as necessary.

Modelling was initially conducted on a small scale in four municipalities (Novi Sad, Belgrade, Kragujevac and Niš) by regional Centres for Foster Care and Adoption, working with Centres for Social Work. Initial modelling covered 20-30 families and lasted for one year.

The service has survived in Novi Sad despite the fact that the regulations have not been passed and funding isn't available. The CFC there is seen as a strong service provider and the region (as per Family Outreach Worker) dynamic and solution-focused.

A key challenge in implementation already encountered in the small-scale was authorization of the ad hoc payments to carers. Foster care is usually funded through monthly payments, but because the involvement of an Intermittent Foster Carer is ad hoc and varies according to a child's changing needs, CSWs needed to do a new authorisation every month to authorize payment of whatever hours an IFC had provided.



### Evaluation and evidence

In the evaluation of modelling, families have shown a degree of satisfaction with the model, suggesting or recommending their carer in almost all cases.

Main evaluation reports are:

#### Supporting families with children with disability (University of Belgrade)

This small-scale evaluation found the following key themes:

- Positive and sustainable effects of the service were recorded in 2/3 of interviewed families
- Complex family situation requires complex and tailored interventions (i.e. the model appears appropriate and proportional to the need).
- The quality of the relationships with social workers from the Centre for Social Work has improved in a number of families during the service use

#### Summative Evaluation of the Efforts to Strengthen Social Work Welfare System (PluriConsult)

Evaluation concluded:

- Service was viewed positively and was helpful to parents and children although with less impact on connections with formal and semi-formal support networks
- Some positive impacts reported on the practice of CSW and CFC staff

- Flexibility and simplification of procedures is needed

**Costs analysis**

There is a paucity of direct cost analysis information directly related to the effectiveness of this model. IFC and the Family Outreach Worker models have been funded by both the EU-IPA and Novak Djokovic Foundation for over €2million.

## Diversiónary Measures

The Diversiónary Measures model focuses on alternative sanctions for juvenile offenders. It combines in-depth sectoral training with mobilisation of local cross-sectoral teams to enable the prioritisation of restorative approaches and reintegration over convictions.



### Model Background

The Juvenile Justice Law of 2006 introduced Diversiónary Measures (DMs) in Serbia. However, these were not systematically followed; the model was designed as to fill these procedural and practical implementation gaps regarding diversion schemes and alternative sanctions. The models focus on enhancing capacities for application of diversionary measures and alternative sanctions for juvenile offenders, ultimately harnessing restorative approaches and reintegration, focused on interventions with child offenders and their families, and reduction of recidivism.



### Who is it for?

Young people involved in the law and their parents/guardians. The intended outcome is that juvenile offenders are diverted to alternative restorative and reintegrative sanctions as opposed to the mainstream justice system. It is hypothesised that this approach will improve long-term outcomes for young people, in terms of education, employment and social status.

Recent estimates indicate the rate of child offending in Serbia is approximately 2 per 1000 children (over 3000 per year). Socially excluded and vulnerable children are more likely to come into conflict with the law than other children:

- 20% of juvenile offenders are poorly engaged in or have never attended school.
- 15-19% of juvenile offenders are from single parent families
- 3-4% of juvenile offenders are in out of home care (0.5% of general population)



### Model activities and indicators

Centres for Social Work (CSW) assess the child as suitable for a DM. The order is made by the judge. CSWs and/or NGOs provide the measure. CSWs are responsible for providing or stimulating local provision, case management, and for training community providers.

Republic Institute for Social Protection provided training to judges and prosecutors, with the intention to build a network of community provision.

There are guidelines and handbooks for assessments, guardianship reports and interventions and accredited training.



### Partnerships with UNICEF

- Juvenile Justice Council
- Judicial Academy
- Ministry of Justice
- Ministry of Social Welfare
- Republic Institute for Social Protection (RISP) – supported implementation, provided training
- Centres for Social Work – do assessment, provide diversionary measures
- NGO Child Rights Centre – involved in development

- Other NGOs, such as Centar GRiG) – provide intensive diversionary measures and implementation support



### Implementation activity

There have been three implementation /modelling periods:

- The main implementation period was 2014-17 in 4 cities: Belgrade, Novi Sad, Kragujevac and Niš, with the intention of providing intensive DMs and developing multi-sectoral cooperation. RISP also provided training to judiciary and prosecutors in other areas. It is understood that the model has continued in these four cities.
- An alternative approach was tried 2018/19 where the NGO Centar GRiG worked with municipalities in areas with higher juvenile offending rates aiming to provide DMs (not intensive) and to stimulate more orders and more provision. Their intention was to spread 'horizontally' through engaging these municipalities about which approaches were thought to work/be the best fit for each site.
- Currently, UNICEF and RISP are working with additional high-priority areas, training judiciary and prosecutors and supporting CSW to provide DMs and to stimulate inter-sectoral cooperation. Both the GRiG and RISP approaches are based in municipalities selected from an indicative list of priority areas: Paraćin, Zrenjanin, Sombor, Sjenica, Jagodina, Kraljevo, Batočina, Kruševac, Aranđelovac and Novi Pazar.<sup>131</sup>



### Evaluation and evidence

Since 2013, the number of diversionary orders has more than doubled, from 480 to 1034. This increase has seen the proportion of juvenile cases diverted from the justice system rise from 12% in 2013 to 28% in 2016. An evaluation, led and published by MAP Consulting Ltd., Croatia (2017) which reports that:

- DMs are routine practice but that service provider networks need to be more diverse and intersectoral cooperation needs to be developed
- No clear model for financing
- Need for standardised monitoring system
- Need database of providers
- Need to monitor impact on recidivism

This evaluation found a larger increase in the use of DMs outside the modelling cities. There isn't further data on this (i.e. no data showing the impact of the UNICEF program). There is also no data on impact on recidivism.

Another report conducted by The University of Belgrade reports that DMs are more routinely practiced and that networks of service providers have been developed.

There are currently two systems for 'counts' of DMs issued which complicates evaluation: RISP's monitoring of DM orders uses data from CSWs, while central statistical offices use data from the judicial system. To our knowledge, these have not been aligned.

Regarding costs, the MAP report states the initial 2 years of modelling was funded USD\$1,870,000. Cost benefit analysis confirmed that the implementation of diversionary measures is more cost effective than the implementation of alternative sanctions.

"The procedure of enforcing diversionary measures costs almost three times less than regular court proceedings, which contributes to the overall efficiency of the judicial system."

<sup>131</sup> Indicative list outlined in the UNICEF Country document: A Second Chance for Juvenile Offenders in Serbia (N.D.)

## Early Childhood Intervention

The model aims to increase the meaningful participation of children with developmental delays and disabilities in family and community life through development of functional skills, independence, relationships and engagement.



### Model Background

To better support children with developmental difficulties, the Early Childhood Intervention (ECI) model moves to a more family-centred and strengths-based approach, building a single of team of experts from health care, social protection and pre-school education around children with developmental difficulties, working to an individual family service plan, with one professional as the primary service provider.



### Who is it for?

- Children (aged between 0-5) with developmental delay(s) and/or disability and their family are intended to benefit from this model. The family is supported to integrate supportive interactions into their daily life with the intention of preventing and minimise secondary developmental difficulties. Involvement with the model is also intended to promote positive learning dispositions and lay the foundation for inclusive education and lifelong learning.
- Children and families generally exit the programme by the time the child is 6 and a half at latest.

On a broader level, it hopes to reduce current and future societal costs in education and social support and exist to ensure child rights are met according to national and international laws.



### Model activities and indicators

The model involves:

- Outreach and screening to identify eligible children:  
Initial universal screening (the model has clear entry and eligibility and exit criteria) and referral to the Child Development Unit for further screening.
- Developing an Individual Family Support Plan (IFSP), which is reviewed every 6 months
- Referral of the family to the ECI team, where more comprehensive assessment carried out
- Weekly visits, setting goals, noting whether achieved, agreeing next steps.  
Consultation and coaching for the parent provided by the primary service provider.  
Services are provided by the public health centre, pre-school institution and/or social welfare centre.
- Transition plans are developed for starting pre-school and school. When the child starts at pre-school and then school there is a plan for further support including the inclusive education team
- There is detailed documentation of roles, procedures and standards, training and required qualification levels for professionals, limits on caseload. Generally, public health centres carry most of this caseload at present.



### Partnerships with UNICEF

- Belgrade Psychology Centre (BPC) – partners in implementation, provide coordination and support for sites
- Ministry of Health
- Ministry of Education
- Ministry of Social Welfare – involved on national advisory board
- Professional associations (paediatricians, health mediators, nurses-teachers in ECEC – on board

- Other consultants / board members also provide modelling support



### **Implementation activity**

Full implementation occurred in Leskovac, Kragujevac, Niš, Sremska Mitrovica and Belgrade (Rakovica municipality). Partial implementation of the model occurred in Čukarica and New Belgrade.

Capacity building has been completed in the first two areas (Rakovica-Belgrade and Leskovac), with UNICEF continuing to support them for 18 months. Implementation is at an earlier stage in the five expansion sites; however, one site has since withdrawn.

In 2017/19, 99 professionals were trained, 70 families received the service. In 2020/21 there are plans to train further professionals, a team of national trainers, work with more families, revise the model based on evaluation, develop funding and sustainability mechanisms with the Ministries and local partners, and develop more resources.

There has been some resistance from professionals and parents. Parents view the program as additional work, and some would prefer to buy or use other professionals to provide the support. This is especially relevant in Belgrade, where private use of therapy services is typically more common.



### **Evaluation and evidence**

There are no evaluative reports or costing analyses yet available. BPC have established a system to monitor achievement of goals in children's plans, with an external evaluation set to occur, however this has been delayed by COVID-19.

The intended results of the model include:

- Improved competencies of workforce across sectors to coordinate and deliver care
- Improved coverage of ECI services to eligible children and families
- Increased caregiver awareness of benefits of ECI
- Increased caregiver motivation to support functional improvement of children
- Improved ECI services

## Drop-Out Prevention

The school Drop-Out Prevention model aims to maintain and retain children engaging in school and receiving the beneficial outcomes of greater exposure to the education system.



### Model Background

The model is designed to be a targeted support resource that lies within a school's suite of services and aligns with existing legal frameworks and critically, human and financial resources in schools.

The model was borne of the following rationale:

- Equity gaps in access to and completion of education in Serbia, have been identified, based on available evidence;
- There is a gap in the systematic collection of data on dropout and students at risk of dropping out and effective planning for dropout prevention.
- Institutional needs at national and school levels and students and family needs as described in national research reports and available evidence;
- National and EU priorities: Dropout prevention was an education quality priority for the Strategy of Education Development in Serbia 2020 (SDES 2020). EU Education and Training Agenda for 2020 and the target of reducing Early School Leaving below 10%.



### Who is it for?

The model supports children who are at risk of early drop out or poor attendance in school. In Serbia, children most at risk of drop out/exclusion include:

- Children from poor/disadvantaged families
- Children from Roma communities
- Children in care
- Children with disabilities
- in Serbia, girls are at greater risk of school drop-out than boys



### Model activities and indicators

The model harnesses an early warning system to identify at risk students. It also helps build capacity for:

- Teachers- addressing school climate and culture
- Schools- improvements to parental engagement, changes to teaching methods, peer support and mediation teams, support for transitions, extra curriculum activities and support for learning

A drop-out prevention team was established in each of the 10 modelling schools, and individual plans for children developed. There are also guidebooks for schools, guidelines, accredited training and other resources; all with the intention that the model would be an intervention that could be delivered by the existing system without needing additional staff.



### Partnerships with UNICEF

- Centre for Education Policy (CEP) – developed the programme alongside UNICEF
- Faculty of Philosophy
- National Education Council – were partner for a while but lost their overseeing role
- Ministry of Education
- Ministry of Social Welfare
- Group for Social Inclusion – identified by UNICEF as entry point following loss of power of NEC
- Republic Institute for Social Protection (RISP)– partner in development and implementation, provides training
- Ministries of Youth & Sport and Health were on the model advisory group
- Institute for Improvement of Education – responsible for school improvement
- Centres for Social Work and Health Centres – provide local level support, should be part of school network



### Implementation activity

The main modelling activity occurred in 10 schools (4 primary and 6 secondary) in 7 municipalities (Vrbas, Kraljevo, Kragujevac Pancevo, Bela Palanka, Surdulica and Vladicin Han), published in the 'How to be a Caring School' report, 2016. Schools chosen were based on highest numbers of at-risk students. Pilot reached total of 7000 students and 700 teachers.

There has been other linked work including:

- Work with CEP to sensitise the social welfare system to drop out
- SHARE project which provided peer support by excellent schools to poorer schools – which has been taken up by the Institute for Evaluation of Education Policies.



### Evaluation and evidence

UNICEF's evaluation of modelling (with external evaluation of impact on school culture) found positive results on absenteeism (30% decrease), grade repetition (23% decrease), culture and climate and drop out levels (66% decrease), with some data on academic achievement improvement, compared with rates prior to implementation.

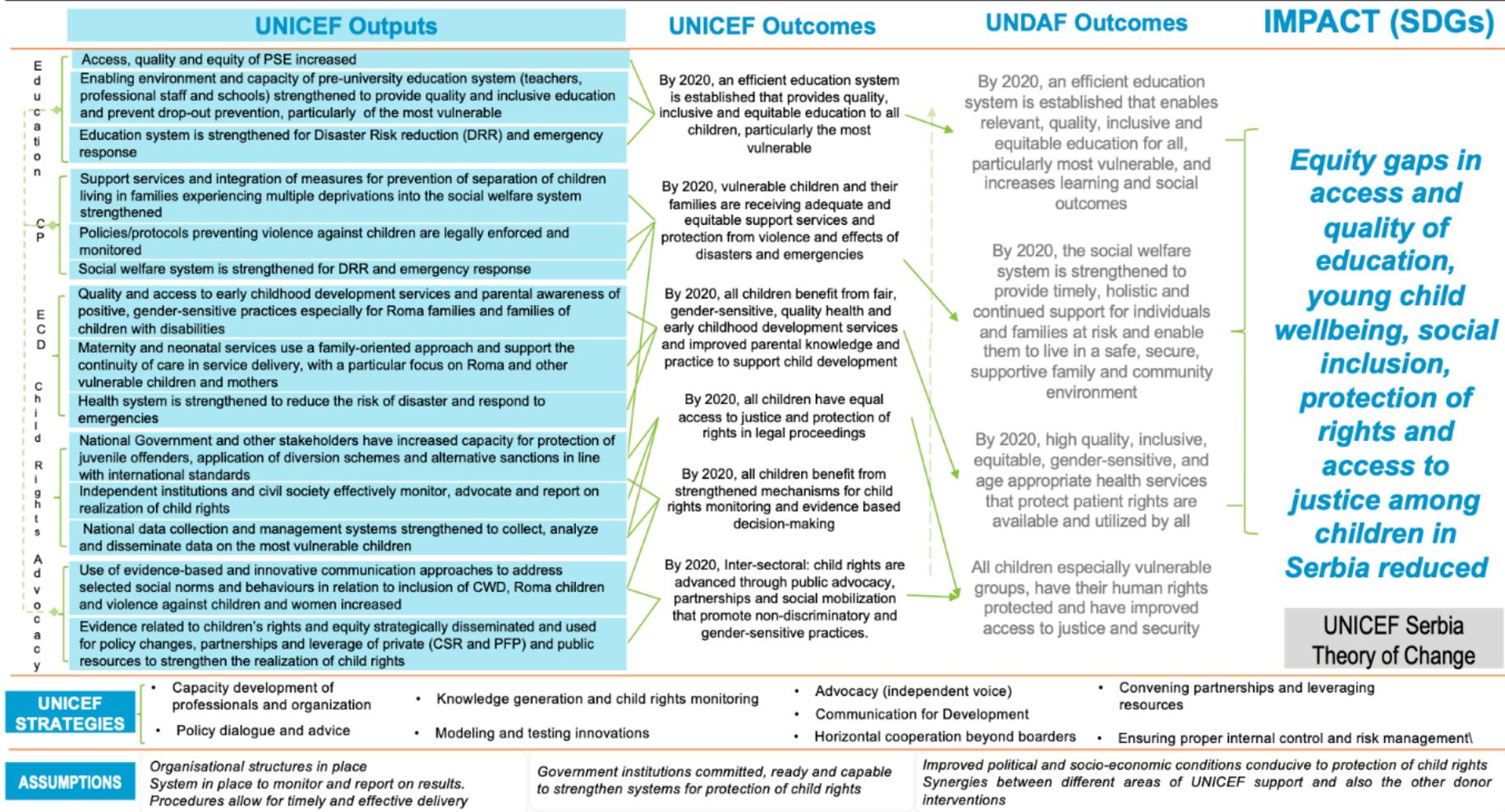
The evaluation noted the following key points:

- The experience of modelling this programme emphasises the need to push for an agenda on school improvement and inclusive education
- Flexibility is important for student engagement
- Remedial teaching needs more support
- Schools need a wider understanding of risks of drop-out and subsequently
- Inter-sectoral cooperation needed; education is crucial, but should not be the only sector with direct involvement
- Campaigning for the importance of education and peer support for schools (staff and pupils) is required

Evidence from a costs analysis has shown that the model can be implemented without additional staffing.

# Annex 4 – Country Programme Theory of Change 2016-2020

**Rationale for UNICEF engagement:** to support the efforts of Serbia to promote and protect the rights of all children and to give all children equal opportunities to reach their full potential.



## Annex 5 – UNICEF model funding requirements

<b>Model</b>	<b>Activities that require funding</b>
<b>Family outreach worker</b>	<ul style="list-style-type: none"><li>• Funding for posts (designated for national funding)</li><li>• Funding for capacity building and rolling out training and initial support</li><li>• Funding for research on longer term outcomes for children and families</li><li>• Communication and advocacy campaigns</li></ul>
<b>Intermittent foster care</b>	<ul style="list-style-type: none"><li>• Funding of the model within the current foster care budget</li><li>• Reduction of costs to be contributed by families</li><li>• Funding for capacity building and rolling out training and initial support</li><li>• Funding for research on longer term outcomes for children and families</li><li>• Communication and advocacy campaigns</li></ul>
<b>Diversionsary measures</b>	<ul style="list-style-type: none"><li>• Funding for rehabilitative activities within other sectors</li><li>• Funding for further training and support on DMs for judiciary and prosecutors, sensitising to needs of young people, value of restorative approaches etc.</li><li>• Funding for improving systems, monitoring long term outcomes especially on recidivism/repeat offending</li><li>• Communication and advocacy campaigns</li></ul>
<b>Early Childhood Intervention</b>	<ul style="list-style-type: none"><li>• Model for long term delivery is not clear. National funding seen as more secure than local funding</li><li>• Funding required for capacity building and training and continued development and trial of the ECI model</li><li>• Longer term, funding required for delivery</li><li>• Also for research including on long term outcomes for children and families, cost-benefit analysis etc.</li><li>• Communication and advocacy campaigns</li></ul>
<b>Drop-out prevention programme</b>	<ul style="list-style-type: none"><li>• Funding for more school training including train the trainer model</li><li>• Funding for stronger intersectoral cooperation from social welfare and health to support children at risk of drop out</li><li>• Funding for research on e.g. quality of individual education plans</li><li>• Funding for wider programme of work on inclusive education and school improvement</li><li>• Communication and advocacy campaigns</li></ul>

## Annex 6 – Costing the models

Each of the models has different types of activities, and available documentation regarding the costs varies across the models. Only the costs for FOW were provided and calculated in detail. Key considerations in costing the models are:

- FOW: This is the only service for which a detailed cost price has been developed. The price (cost) of the FOW service was calculated in two ways: i) based on empirical data for the service piloting period and ii) as a hypothetical price, i.e. how much the service should cost when entirely 'settled' and functioning in accordance with the envisaged standard.
- IFC: There are several aspects to be considered that are related to the costing of this service. First, the available empirical data should be taken into account, as this service has been provided continuously in Novi Sad<sup>132</sup>. Second, the manual with detailed guidelines for IFC is available and it contains the list of activities and cost suggestions for all the main activities<sup>133</sup>, which could form the basis of further cost analysis. Funding of the model includes a monthly allowance for foster families with formulas for their calculation and states which activities are not currently funded. Therefore, areas such as transportation costs should potentially be included in the model and regulated as well as potential other items such as in-kind assistance in commodities such as textbooks etc.
- DMs: This is the model with the most complex types of activities, which need to be included in the costing procedure, along with promotion and advocacy activities
- ECI: There are several components of ECI model that would need to be included<sup>134</sup> field work to identify children and families who will use the services; the service itself (according to the defined plan), and monitoring and evaluation. The price of ECI could be calculated based on empirical data from the current modelling, although further work will be needed once a stable delivery system has been identified.
- DOP: Further work is needed to identify which of the components need more financial support.
- UNICEF was also interested to know what competencies would be needed in their team to complete the costing activity. A person with a BA in Economics and specialised in economic analysis (cost benefit analysis, financial analysis, basic accounting) is needed. Knowledge of programme budgeting is an advantage especially if UNICEF is considering approaching government funds.

In terms of the costing procedure, one of the most common ways for measuring costs is the 'ingredients method' – where all costs are identified, valued (identifying the number of units needed and assigning a price to each 'ingredient') and then adjusted according to the needs. The ingredients method was developed as a method for conducting cost-effectiveness analyses in education and other public sectors.<sup>135</sup> It outlines and describes all of the ingredients used to implement a policy or a programme and is based on the idea

<sup>132</sup> Data from other cities who participated in piloting this service could also be taken into account

<sup>133</sup> Provincial Institute for Social Protection (2016) , Guidelines for Intermittent Foster Care, Provincial Institute for Social Protection, available at:

[https://www.hraniteljstvocps.gov.rs/doc/smernice\\_za\\_povremeni\\_porodicni\\_smestaj.pdf](https://www.hraniteljstvocps.gov.rs/doc/smernice_za_povremeni_porodicni_smestaj.pdf)

<sup>134</sup> UNICEF (2018) Early Interventions – Public Policy Improvements, available at:

<https://www.unicef.org/serbia/sites/unicef.org.serbia/files/2018-07/Rane-intervencije.pdf>

<sup>135</sup> It was developed by Henry Levin, Professor of Economics and Education at Columbia University's Teachers College

that every intervention consists of ingredients of certain value or cost. The important part of this method is that it can be applied to empirical data if the service is already being provided (as in the case of the exemplar models), or the costs of necessary resources for the establishment of service can be simulated (hypothetical price).

The important part of every cost analysis is that it should be conducted independently of financial sources, including in-kind resources such as volunteers.

Since the exemplar models have different types of ‘ingredients’ or activities and due to lack of data and detailed information on all the activities, it is not possible to list a clear set of criteria for every model. However, several steps that could serve as a guideline for every cost analysis are summarized below: <sup>136</sup>

1. The first step is the identification and specification of ingredients – dividing ingredients into several main categories that have common properties. Typically, that would be personnel, facilities supplies and other resources, listed with descriptive data outlining the ingredients quantity and qualitative features.
  - **Personnel** include all of the human resources required for each of the alternatives that will be evaluated. This category includes full-time personnel, part-time employees, consultants, and volunteers. All personnel should be listed according to their roles, qualifications, and time commitments.
  - **Facilities** refer to the physical space required for the intervention. This includes listing all facilities including donated facilities.
  - **Equipment and materials** include variety of staff and they should all be listed, including if they are allocated only for the specific intervention or if shared with other activities.
  - **Other inputs** such as telephone service, electricity, heating, internet access fees, etc. Any ingredients that are included in this category should be specified clearly with a statement of their purpose.

Documents, interviews, and other empirical data can be used for identifying these ingredients or resources.

2. Based on the descriptions, each ingredient should be valued according to its cost, typically using a national market price or shadow prices<sup>137</sup>. The model’s total cost and cost per unit should be calculated. The important part of the analysis is to **use national prices** in order to rule out problems of local market variability, except in cases when certain interventions are limited to specific areas. <sup>138</sup>
3. The third step involves the estimation and analysis of different types of costs (total, average and marginal). These costs can be presented in the form of simple worksheets, on an annual basis.

<sup>136</sup> Levin H., McEwan, P., (2002), Cost-Effectiveness And Educational Policy, available at [https://www.academia.edu/32362875/Cost\\_Effectiveness\\_and\\_Educational\\_Policy](https://www.academia.edu/32362875/Cost_Effectiveness_and_Educational_Policy)

<sup>137</sup> Shadow price—the true value or cost of the results of a particular decision, as calculated when no market price is available; a dollar value attached to an opportunity cost.

<sup>138</sup> Levin H., McEwan P., Belfield C., Brooks Bowden, A., Shand ., (2014) Economic Evaluation in Education: Cost-Effectiveness and Benefit-Cost Analysis

4. If effectiveness data are available, costs of alternative interventions should be paired with effects to estimate cost-effectiveness ratios.

There are two modes of cost analysis:

1. Cost- effectiveness analysis - compares two or more programs according to their effectiveness and costs in accomplishing a particular objective. Cost-effectiveness analysis is a fundamentally comparative endeavour. That is, it allows us to choose which of two or more alternatives is relatively more cost-effective, but it does not tell us whether an alternative is worthwhile in some absolute sense.
2. Cost-benefit analysis – where the outcomes of an alternative are directly expressed in monetary terms. For example, a clear benefit on drop- out prevention and intervention model are the increased earnings in the future that could be linked to education. Also it is shown that investment in DMs could be cheaper for society than costs of detentions.<sup>139</sup> In this manner it can be proven that investing in this new method is cheaper for the society in the long-term (besides being more effective in child rights terms). There are variety of techniques to place monetary values on a wide range of outcomes

The minimum level of analysis for the five exemplar models should include at least the first three steps from the listed ingredients method and the empirical data for them should be available. Cost-effectiveness analysis and cost- benefit analysis are ideal complements and parts of the costing analysis that can provide full picture for financing.

Special attention should be placed to identifying what should be financed on the national level and what on the level of a local self-government (LSG), prioritising national level financing where possible given the greater financial resources available. If activities need to be financed from local budgets, LSGs could be grouped according to their development levels, as their capacities can vary substantially and adjust activities according to abilities.

<sup>139</sup> [https://www.unicef.org/tdad/index\\_56378.html](https://www.unicef.org/tdad/index_56378.html) and <http://cpd.org.rs/wp-content/uploads/2018/05/Prirucnik-o-intervencijama-sa-maloletnicima-u-sukobu-sa-zakonom-i-njihovim-porodicama.pdf>

## Annex 7 – List of reviewed documents

1.	General background documents
1.1	UNICEF. (2017). <i>UNICEF strategic plan, 2018-2021</i> . UNICEF. <a href="https://www.unicef.org/publications/index_102552.html">https://www.unicef.org/publications/index_102552.html</a>
1.2	UNICEF. (2017). <i>Theory of change paper, UNICEF Strategic Plan, 2018-2021. Realizing the rights of every child, especially the most disadvantaged</i> . UNICEF. <a href="https://www.unicef.org/about/execboard/files/2017-EB11-Theory_of_Change-2017.07.19-EN.pdf">https://www.unicef.org/about/execboard/files/2017-EB11-Theory_of_Change-2017.07.19-EN.pdf</a>
1.3	Punguta, A., Aggio, C., Moore, K., van Ravens, J., Hartwig, E., Jang, B., & Markovic, J. (2018). <i>Analytical review of governance of early childhood education services at the local level in countries of Europe and Central Asia</i> . New Haven, CT: The Yale Child Study Centre & The Edward Zigler Centre in Child Development and Social Policy.
1.4	UNICEF. (2016). <i>Serbia: Child Marriage Country Profiles</i> . UNICEF.
1.5	UNICEF Division of Data, Research and Policy. (2018). <i>Child marriage data request</i> . [Excel file]
1.6	UN Committee on the Rights of the Child. (2017). <i>Concluding observations on the combined second and third periodic reports of Serbia</i> . UN Committee on the Rights of the Child. <a href="https://www.refworld.org/docid/58e76fc14.html">https://www.refworld.org/docid/58e76fc14.html</a>
1.7	Government of the Republic of Serbia & United Nations Country Team in Serbia. (2017). <i>Development Partnership Framework 2016-2020</i> . <a href="https://serbia.un.org/en/12850-development-partnership-framework-2016-2020-government-republic-serbia-and-united-nations">https://serbia.un.org/en/12850-development-partnership-framework-2016-2020-government-republic-serbia-and-united-nations</a>
1.8	European Commission. (2019). <i>Commission staff working document: Economic reform program of Serbia (2018-2020): Commission assessment</i> . European Commission. <a href="https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/serbia_2019-2021_erp.pdf">https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/serbia_2019-2021_erp.pdf</a>
1.9	Government of the Republic of Serbia (2016). <i>Employment and social reform program in the process of accession to the European Union</i> . <a href="http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2016/06/SIPRU-ESRP-2016-English.pdf">http://socijalnoukljucivanje.gov.rs/wp-content/uploads/2016/06/SIPRU-ESRP-2016-English.pdf</a>
1.10	(2016). <i>Employment and Social Reform Program</i> . [Excel file]
1.11	European Commission. (2018). <i>A credible enlargement perspective for and enhanced EU engagement with the Western Balkans</i> . <a href="https://ec.europa.eu/commission/news/strategy-western-balkans-2018-feb-06_en">https://ec.europa.eu/commission/news/strategy-western-balkans-2018-feb-06_en</a>
1.12	Republic of Serbia (2016). <i>Action plan for chapter 23</i> . <a href="https://www.mpravde.gov.rs/files/Action%20plan%20Ch%2023.pdf">https://www.mpravde.gov.rs/files/Action%20plan%20Ch%2023.pdf</a>
1.13	Republic of Serbia. (2016). <i>Action plan for chapter 24</i> .
1.14	Education for Change Ltd. (2014). <i>Regional knowledge and leadership agenda for children in the CEE/CIS region. Independent multi-country evaluation of results area 3. Increasing access and equity in early childhood education in CEE/CIS</i> . Education for Change Ltd.
1.15	Aggio, C., Moore, K., van Ravens, J., & Ponguta, A. (2018). <i>Analytical review of governance, provision and quality of early childhood education services at the local level in countries of Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS). Country Report for Serbia</i> .
1.16	UNICEF Serbia (2017). <i>Situation analysis of children in Serbia 2014</i> . UNICEF. <a href="https://www.unicef.org/serbia/en/reports/situation-analysis-children-serbia-2014">https://www.unicef.org/serbia/en/reports/situation-analysis-children-serbia-2014</a>
1.17	UNICEF. (2014). <i>UNICEF Strategic Plan 2014-2017</i> . UNICEF. <a href="https://www.unicef.org/strategicplan/files/UNICEF_Strategic_Plan__2014-2017_e-version.pdf">https://www.unicef.org/strategicplan/files/UNICEF_Strategic_Plan__2014-2017_e-version.pdf</a>
1.18	UNICEF. (2018). <i>UNICEF Strategic Plan 2018-2021</i> . UNICEF. <a href="https://www.unicef.org/reports/unicef-strategic-plan-20182021">https://www.unicef.org/reports/unicef-strategic-plan-20182021</a>
1.19	UNICEF Serbia. (2019). <i>Situation analysis of children and adolescents in Serbia</i> . UNICEF. <a href="https://www.unicef.org/serbia/en/reports/situation-analysis-children-and-adolescents-serbia">https://www.unicef.org/serbia/en/reports/situation-analysis-children-and-adolescents-serbia</a>

1.20	Institute for Development Impact. (2019). <i>Evaluation of the UNICEF Serbia country program 2016-2020</i> . <a href="https://www.institutefordevelopmentimpact.com/insights/evaluation-of-unicefs-country-program-in-serbia-2016-2020/">https://www.institutefordevelopmentimpact.com/insights/evaluation-of-unicefs-country-program-in-serbia-2016-2020/</a>
1.21	United Nations Economic and Social Council. (2013). <i>The UNICEF Strategic Plan, 2014-2017: Realizing the rights of every child, especially the most disadvantaged</i> . UNICEF. <a href="https://www.unicef.org/publicpartnerships/files/UNICEF_Strategic_Plan_2014_to_17.pdf">https://www.unicef.org/publicpartnerships/files/UNICEF_Strategic_Plan_2014_to_17.pdf</a>
1.22	Žegarac, N. (2017). <i>Supporting families with children with disability — Evaluating the impact on family and child wellbeing</i> . Belgrade, Jove Ilića: University of Belgrade – Faculty of Political Sciences.
1.23	Horvat, M., Berrlh, C., Netkova, B., & Razić Ilić, D. (2017). <i>Summative evaluation to strengthen implementation of justice for children system in the Republic of Serbia (2010-2017)</i> . UNICEF. <a href="https://www.unicef.org/evaldatabase/index_102665.html">https://www.unicef.org/evaldatabase/index_102665.html</a>
1.24	<i>Evaluation of models for its potential scale up</i> . [Excel file]
1.25	UNICEF Serbia. (2015). Gender aspects of life course in Serbia: Seen through MICS data. UNICEF. <a href="https://www.unicef.org/serbia/en/reports/gender-aspects-life-course-serbia">https://www.unicef.org/serbia/en/reports/gender-aspects-life-course-serbia</a>
1.26	UNICEF Serbia. UNICEF Annual Reports (2013-2019).
1.27	UNICEF. (2017). Justice and Child Rights Monitoring Workplan 2016-2017. [Excel file]
1.28	UNICEF. (2017). Strengthening Vulnerable Families Workplan 2016-2017. [Excel file]
1.29	UNICEF. (2017). Public Advocacy, Partnerships, Communication and Social Mobilisation for Child Rights Workplan 2016-2017. [Excel file]
1.30	UNICEF. (2017). Education (Access, Equity and Quality of Pre-university Education) Workplan 2016-2017. [Excel file]
1.31	UNICEF. (2018). Serbia – UNICEF Programme of Cooperation 2016-2020 – Education 2018 workplan
1.32	UNICEF. (2018). Serbia – UNICEF Programme of Cooperation 2016-2020 – Child Rights Monitoring 2018 workplan
1.33	UNICEF. (2018). Serbia – UNICEF Programme of Cooperation 2016-2020 – Early Childhood Development 2018 workplan
1.34	UNICEF. (2018). Serbia – UNICEF Programme of Cooperation 2016-2020 – Juvenile Justice 2018 workplan
1.35	UNICEF. (2018). Serbia – UNICEF Programme of Cooperation 2016-2020 – Child Protection 2018 workplan
1.36	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Early Childhood Development 2019-2020 workplan
1.37	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Juvenile Justice 2019-2020 workplan
1.38	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Emergency 2019-2020 workplan
1.39	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Child Rights Monitoring 2019-2020 workplan
1.40	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Child Protection 2019-2020 workplan
1.41	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Adolescents and Young People 2019-2020 workplan
1.42	UNICEF. (2019). Serbia – UNICEF Programme of Cooperation 2016-2020 – Quality and inclusive early learning and pre-university education 2019-2020 workplan
1.43	UNICEF. 2017-2020 Communication Strategy and Public Advocacy Strategy
1.44	UNICEF. Child Protection 2020 Knowledge Dissemination Plan.
1.45	UNICEF. Education 2020 Knowledge Dissemination Plan.
1.46	UNICEF. Early Childhood Development 2020 Knowledge Dissemination Plan.
1.47	UNICEF. Integrated Communication Implementation Plan 2020.
1.48	UNICEF. Output Indicator Status Over Time by Business Area. [Excel file]
2.	Modelling - Family Outreach Worker
2.1	Stanić, K. (2016). <i>Cost price of family outreach service</i> .

2.2	Žegarac, N. (2017). <i>Supporting families with children with disability — Evaluating the impact on family and child wellbeing</i> . Belgrade, Jove Ilića: University of Belgrade – Faculty of Political Sciences.
2.3	Republic Institute for Social Protection (2015). <i>Draft standards for social welfare service provided by family support workers</i> .
2.4	Republic Institute for Social Protection. <i>Piloting the Family Outreach Service and evaluation of the service provision outcomes. Study summary</i> .
2.5	Irimia, R., & Isakov, A. B. (2018). <i>Summative evaluation of the efforts to strengthen social welfare system to advance child protection with a focus on child care reform in Serbia (2013-2017). Evaluation report</i> . Pluriconsult Ltd.
2.6	<i>Improving child protection by finding solutions within the existing fiscal space</i> (ND)
2.7	Amendments to the regulation on the network of social protection institutions (ND)
3.	Modelling - Intermittent Foster Care
3.1	<i>Purpose, content and objectives of periodical family based care service</i> .
3.2	<i>Initiative of the Work Group for the development of the Guidelines for Realisation of Periodical Family Based Care for the amendment of the bylaws relevant in implementation of periodical family based care (foster care)</i>
3.3	Irimia, R., & Isakov, A. B. (2018). <i>Summative evaluation of the efforts to strengthen social welfare system to advance child protection with a focus on child care reform in Serbia (2013-2017). Evaluation report</i> . Pluriconsult Ltd.
3.4	Žegarac, N. (2017). <i>Supporting families with children with disability — Evaluating the impact on family and child wellbeing</i> . Belgrade, Jove Ilića: University of Belgrade – Faculty of Political Sciences.
3.5	Initiative of the Work Group for the development of guidelines for realisation of periodic (intermittent) family based care for the amendment of the bylaws relevant in implementation of periodic family based care (foster care)
4.	Modelling – Diversionary Measures
4.1	Horvat, M., Berrlh, C., Netkova, B., & Razić Ilić, D. (2017). <i>Summative evaluation to strengthen implementation of justice for children system in the Republic of Serbia (2010-2017)</i> .
4.2	Cipriani, D. (2010). <i>Implementation of the 2005 juvenile justice law in Serbia. Assessment of diversion, alternative sentences, and child victim protections</i> .
4.3	Sataric, N., & Obradovic, D. (2011). <i>Analysis of diversion orders and alternative sanctions application practices in Serbia. Mapping resources of local communities for implementation of diversion orders and alternative sanctions</i> . Belgrade, Serbia: International Management Group.
4.4	UNICEF. (2017). <i>Final report – Strengthening the justice and social welfare systems to advance the protection of children in Serbia</i> . UNICEF.
4.5	UNICEF (2014). <i>Working Title: Strengthening the justice and social welfare systems to advance the protection of children in Serbia</i> .
4.6	UNICEF. <i>A second chance for juvenile offenders in Serbia</i> .
4.7	Ignjotovic TD (ND) <i>Evaluation of Piloting of Diversion Orders Implementation in Serbia University of Belgrade</i>
4.8	Standard and procedures for the application of diversion orders, 2012
4.9	Evaluation of piloting of diversion orders implementation in Serbia – summary University of Belgrade, ND
5.	Modelling – Early Childhood Intervention
5.1	<i>Early Childhood Intervention in Belgrade and Leskovac, Serbia: Pilot implementation recommendations: Action plan 2019-2021</i> .
5.2	<i>Theory of Change for supporting improvement of Early Childhood Intervention System in Serbia</i> . [PowerPoint file]
5.3	<i>Support to family-oriented early childhood intervention services based on intersectoral cooperation</i> ND
6	Modelling – Dropout Prevention Programme

6.1	Jovanović, V., Čekić Marković, J., Veselinović, Z., Vušurović, A., & Jokić T. (2016). <i>How to be a caring school – A study on the effects of prevention and intervention measures for preventing the dropout of students from the education system of the Republic of Serbia</i> . Belgrade, Serbia: Centre for Education Policy.
6.2	(2019). <i>Feasibility Study on the Introduction of the Compulsory Secondary Education in Serbia</i>
6.3	De Dominics, R. <i>Key strategic interventions to improve quality and equity in Serbia</i> . UNICEF Serbia.
6.4	Costing of DOP 2-14-2016 (ND)
6.5	Rankovic T (2014) Action plan on leadership challenge related to dropout prevention in Serbia
6.6	Various summaries of the model

## Annex 8 – UNICEF Scale-up Framework and development

The UNICEF Scale-up Framework was developed (see below) during the inception phase and tested in the evaluation fieldwork. The final refined version is shown below

### THE UNICEF SCALE-UP FRAMEWORK

What does UNICEF need to have achieved by the end of the modelling process to be ready to take a model to scale?

1. Produced an optimised and simplified program model, through co-production with children, parents and relevant stakeholders, which is ready for scale-up ...

With the following components, which have been tested and finalised through piloting:

- An equity-based theory of change
- A specification of the intended beneficiaries and of outcomes, formulated as child rights realisation, and with clarity about whether the aim is reaching the most vulnerable children or reaching all eligible children
- Processes for identification, referral and assessment of children and families
- A specification of programme content, activities, delivery processes and preparation of staff involved, with training materials, guidance, protocols and other resources
- A specification of core components, fidelity criteria, and scope for adaptation
- A system for monitoring delivery, quality and outcomes including in equity and rights-based terms
- An assessment of the costs of delivery of the scale-up version

2. ... for which there is rigorous and persuasive evidence ...

About:

- What it takes to implement it – in settings consistent with the intended scale up settings and under routine operating conditions
- Effectiveness: in line with equity and child rights ambitions, and based on a program version and populations consistent with scale-up intentions
- Cost effectiveness and/or cost-benefit analysis

3. ... and which is perceived by policy makers, funders, delivery organisations, families, communities and influencers ...

As:

- Relevant and addressing a high priority equity-based need
- Credible
- Having relative advantage over other options and visible benefits
- Acceptable, appropriate, feasible and a good fit with:
  - policy, finance, legislation, regulation
  - professional paradigms and ways of working
  - capacity of delivery organisations and staff
  - community cultures and preferences

4. ... and for which commitment has been secured

From:

- policy makers, funders, delivery organisations and practice influencers (including social and professional associations), and UNICEF itself

To investing in and supporting:

- An agreed target for scale: whether focusing on the most vulnerable children or all eligible children
- An agreed pathway for moving to scale and planned set of actions to prepare the system for this. The pathway may for example be institutionalisation through policy, regulation, financing; replication managed by UNICEF; replication managed by an intermediary; or other approach to incorporation into an existing system
- Required policy, legislative or regulatory change
- Funding made available for the scale up process and for sustained delivery at scale
- Required capacity building of delivery organisations and teams
- Development of intersectoral cooperation

## UNICEF Scale-up Framework and OECD/DAC criteria

As the table below shows, the UNICEF Scale-up Framework and the OECD/DAC criteria are highly compatible when applied to models, which is the intended target or focus of the Scale-up Framework (rather than the focus being the process of modelling).

## UNICEF Scale-up Framework and OECD evaluation criteria

UNICEF Scale-up Framework item	OECD/DAC criterion	Commentary
<b>Optimised Programme</b>		
Equity-based theory of change	Efficiency	These items all concern whether the necessary work has been undertaken, through the modelling process, to develop and optimise the model to be ready for scale-up. Has modelling been undertaken in a way that means the model is now ready and fully developed?
Specified beneficiaries and outcomes		
Specified activities		
Specified delivery processes and staff		
Specified core/adaptable components		
Monitoring system		
Assessment of costs		
<b>Evidence-based</b>		
Evidence for effectiveness	Effectiveness, efficiency and impact	These items relate to whether there is evidence that the intervention is achieving its objectives and the intended long-term impacts and can do so economically, and what is required for this.
Evidence for cost/ cost-effectiveness		
Evidence for implementation requirements		
<b>Fit for context</b>		
Relevant	Relevance	These items relate to whether the model is doing the right things – addressing needs and achieving change that links with stakeholder and beneficiaries’ needs and priorities
Credible		
Relative advantage		
Appropriate	Coherence	These items relate to the fit of the model, and the consistency of the model with other interventions (including national policies, and the remit and resources of delivery organisations) and with norms and standards.
Feasible		
Acceptable		
<b>Secured commitment</b>		
From policy makers, funders, delivery organisations, practice influencers, UNICEF	Sustainability	These items relate to whether the benefits of the models are likely to continue. UNICEF’s pathway for scale-up is integrating models into national funding, policy, legislation and regulation, and achieving this is core to sustainability
To target and pathway for scale, funding, policy/legislative /regulatory change, capacity building		

## Search strategy

The search for literature on frameworks and methods for scaling-up interventions was guided by the following research question:

*What frameworks and models exist to guide the process of scaling-up evidence-based interventions?*

The search strategy involved:

1. Identification of previous key systematic reviews on area of interest
2. Database searches for gaps in information covered in the identified review

### 1. Identification of systematic review

Using the PubMed database, one key systematic review was identified on frameworks and models for scaling-up interventions (Milat et al., 2015). This systematic review described a rigorous search strategy, and covered seven frameworks to scale-up health interventions from January 1990 to December 2013. Additional searches targeted:

- a. Frameworks and tools to scale-up non-health related interventions published before December 2013
- b. Frameworks to scale-up all types of interventions after December 2013

## 2. Additional database searches

The University of Melbourne's "Discovery" search was used, as it consolidates results from multiple databases, to identify literature on frameworks and models not covered in the review by Milat and colleagues. The following search terms were combined with Boolean operators for search a and search b:

(scale-up OR "scale up" OR "scale out" OR scale-out OR scaling OR scalability OR scalable) AND (framework\* OR model\*) AND intervention\*

In addition to the search terms, filters were applied to specify the results by date according to the target of the search.

The searches yielded 19 additional results.

### Search results

In total, **26 frameworks and models** were used to guide the scaling-up process. The majority were specific to health interventions, but four related to educational interventions and one related to developmental aid. Most of these models and frameworks were developed using a literature review.

### Final included literature

The CEI team then reviewed the 26 frameworks and models more closely to assess their relevance and suitability for UNICEF and the exemplar programs. Sixteen were excluded on the basis that they were 1) not clearly evidence-based; 2) not comprehensive; and/or 3) focused on an out of scope policy or practice area. Ultimately, **10 frameworks and models** (see table below) were selected to guide the creation of a new framework for scale-up.

### Framework development

The frameworks and models selected highlight:

- Different types of scale-up: for example, Aarons et al (2017)<sup>140</sup> distinguish between scaling the new delivery systems, new populations or both. WHO (2010)<sup>141</sup> distinguishes between vertical scale-up (changes to policy, political, legal, regulatory, budgetary or other systems changes need to institutionalise an innovation through embedding institutionally) and horizontal scale-up (replication of the innovation in different geographic sites, or extension to larger or different population groups)
- The elements or components of a program required for scale-up or other aspects of program infrastructure: for example, a theory of change or fidelity criteria
- The standards of evidence that need to have been met: particularly being able to demonstrate that the program achieves its intended impacts
- The wider determinants of scale-up: contextual barriers and facilitators within organisations and in the wider eco-system encountered in scale-up efforts that make it more or less likely that efforts to scale-up will be successful. These are multiple and include for example whether the program addresses a priority need; confidence in the viability of

<sup>140</sup> Aarons, G.A., Sklar, M., Mustanski, B., Benbow, N. & Brown, H.B. (2017) "Scaling-out" evidence-based interventions to new populations or new health care delivery systems. *Implementation Science*, 12(1), 111-124

<sup>141</sup> World Health Organization (2010). *Nine steps for developing a scaling-up strategy*. Geneva, Switzerland: World Health Organization

the program; champions and advocates for the program; fit with the capacity of delivery organisations

- The stages, processes, steps and activities involved in effective scale-up. These are effectively an alternative perspective on determinants. They set out authors' recommendations for steps and activities to address barriers and enablers, and in some frameworks are set out as phases or sequences of activity
- Wider considerations and ways of working. Here authors share learning, from published literature and/or practical experience, of key issues to attend to.

The frameworks were assessed to consider whether one met the requirements for this project alone and could be applied, in practice, to the four assessments set out above. The conclusion was that none of the frameworks provided a sufficiently comprehensive compilation of key items that could be operationalised in this project. A particular challenge was the diverse perspectives and time-points in which the frameworks were, implicitly or explicitly, anchored. Several frameworks for example set out sequential steps for *future* action (in the equivalent of a modelling phase) to prepare for scale-up, whereas most of the exemplar programs have completed the modelling phase. Some frameworks are articulated in quite abstract terms which makes it difficult to operationalise them; others contained very specific advice which did not always appear to apply directly to the UNICEF and Serbia context.

To develop a new composite set of criteria, first the relevance and suitability of the 26 identified frameworks was reviewed. This led to exclusion of some from the next stage on the grounds that they were less robustly evidence-based (drawing on unspecified literature); less comprehensive (setting out selected considerations rather than intending to be a full account); or related to a specific policy or practice area not relevant to the exemplar programs. This reduced the set of frameworks to 10.

The content of each of the 10 selected frameworks was mapped against a common set of elements. The common elements were identified through a systematic scan of the content of the frameworks and were categorized as:

- Elements relating to the components of programs (e.g. theory of change; fidelity criteria)
- Elements relating to stages and activities (e.g. test at small scale; assess fit of programme to policy, funding and operational contexts; adapt program for scale; engage policy context; generate evidence of effectiveness)
- Elements relating to determinants or success factors and barriers (e.g. the program addresses a priority or relevant issue; there is persuasive evidence for the program; there is support for the program from public system leaders)

This highlighted in particular a high degree of overlap between elements relating to stages and activities and those relating to determinants, as the former were often ways of addressing or creating the latter. Reviewing the different perspectives taken by the 10 frameworks, we concluded that our perspective needs to be: ***What does UNICEF need to have achieved by the end of the modelling process to be ready to take a program to scale?*** Taking this perspective would directly orient our framework to the evaluation questions and to the assessments they involve. It would mean that the framework is explicitly grounded in and applicable to UNICEF's modelling, and could be applied flexibly both to programs where modelling is considered complete, and to programs where modelling is viewed as ongoing. It would also orient our appraisal to whether the necessary progress *has been achieved* through modelling (and if so how) rather than specifying a required set of *actions to achieve it*. This was important since the review of frameworks highlighted that the viable approaches by which a program becomes ready to scale are multiple and context specific. For example, the framework specifies that a program needs to be viewed as addressing a high priority equity-based need, but it recognises that this may have come about either because the program addresses an issue seen from the start as a high priority need, or alternatively that this was only achieved through extensive advocacy by UNICEF and partners.

The 10 frameworks on which the UNICEF Scale-up Framework is based
Charif, A. B., Hassani, K., Wong, S. T., Zomahoun, H. T. V., Fortin, M., Freitas, A., ... & Petrovic, B. (2018). Assessment of scalability of evidence-based innovations in community-based primary health care: a cross-sectional study. <i>CMAJ open</i> , 6(4), E520-E527.
Barker, P. M., Reid, A., & Schall, M. W. (2016). A framework for scaling up health interventions: lessons from large-scale improvement initiatives in Africa. <i>Implementation Science</i> , 11(1), 12-23.
Milat, A., Lee, K., Conte, K., Grunseit, A., Wolfenden, L., van Nassau, F., ... & Bauman, A. (2020). Intervention Scalability Assessment Tool: A decision support tool for health policy makers and implementers. <i>Health Research Policy and Systems</i> , 18(1), 1-18.
Spicer, N., Bhattacharya, D., Dimka, R., Fanta, F., Mangham-Jefferies, L., Schellenberg, J., ... & Wickremasinghe, D. (2014). 'Scaling-up is a craft not a science': Catalysing scale-up of health innovations in Ethiopia, India and Nigeria. <i>Social Science &amp; Medicine</i> , 121, 30-38.
Fagan, A. A., Bumbarger, B. K., Barth, R. P., Bradshaw, C. P., Cooper, B. R., Supplee, L. H., & Walker, D. K. (2019). Scaling up evidence-based interventions in US public systems to prevent behavioural health problems: Challenges and opportunities. <i>Prevention Science</i> , 20, 1147-1168.
<b>Original:</b> Larson, A., Raney, L., & Ricca, J. (2014). <i>Lessons learned from a preliminary analysis of the scale-up experience of six high-impact Reproductive, Maternal, Newborn, and Child Health (RMNCH) interventions</i> . Baltimore, MD: Jphiego. <b>Summarised in:</b> Smith, J. M., de Graft-Johnson, J., Zyaee, P., Ricca, J., & Fullerton, J. (2015). Scaling up high-impact interventions: How is it done?. <i>International Journal of Gynecology &amp; Obstetrics</i> , 130, S4-S10.
World Health Organization. (2011). <i>Beginning with the end in mind: Planning pilot projects and other programmatic research for successful scaling up</i> . Geneva, Switzerland: World Health Organization.
World Health Organization. (2010). <i>Nine steps for developing a scaling-up strategy</i> . Geneva, Switzerland: World Health Organization.
Cooley, L. & Ved, R. R. (2012). <i>Scaling up - From vision to large scale change: A management framework for practitioners (2nd edition)</i> . Washington, DC: Management Systems International.
Yamey, G. (2011). Scaling up global health interventions: A proposed framework for success. <i>PLoS medicine</i> , 8(6), 1-5.

## Annex 9 – Modelling Activity checklist

Checklists were completed by the CEI team based on information already shared, and sent to each UNICEF team to be completed, so that a comprehensive set of documents relating to modelling was available for each model.

### Structured checklist for model team

#### **Model:**

Please indicate to what extent each of the following was undertaken and provide details of relevant supporting documentation.

This has been pre-filled by the CEI research team to the best of their understanding of the model, based on the information provided by UNICEF and gathered during the Inception Mission. We would greatly appreciate verification of these pre-filled sections and adjustment if inaccurate. Pre-filling has relied on the documentation in English; if there is more specific and relevant information readily available within documentation in Serbian, please advise.

Modelling activity	Whether undertaken or created: tick one column			Whether documented: Yes/No	Title and year if documented	Notes
	Complete	Partial	Not			
Equity-based theory of change						
Specification of intended beneficiaries and outcomes formulated as child rights realisation, meeting international standards						
Specification of program content and activities with tested resources						
Specification of delivery processes and staff, with tested resources						
Specification of core components, fidelity criteria and scope for adaptation						
System for monitoring delivery, quality and outcomes including equity and rights-based						
Evidence about implementation requirements consistent with scale-up settings and under routine operating conditions						
Evidence of effectiveness in line with child rights ambitions, based on program version and populations consistent with scale-up						
Evidence-based assessment of costs of delivery						
Evidence of cost-effectiveness or CBA						
Agreed pathway for scale-up and planned set of actions, including sustainability/exit strategy						

## Annex 10 – Organisations interviewed

Representatives from the following organisations took part in interviews:

- Association of Pediatricians
- Cabinet of the Ministry of Demography
- Centre for Development of Social Protection Services
- Centre for Education Policy
- Centres for Foster Care and Adoption
- Centres for Social Work
- Development Counselling Centres and Health Units
- Early Childhood Intervention teams
- External mentors – education
- Faculty of Political Science, University of Belgrade
- FASPER – Faculty for Special Education, Belgrade
- FOSS
- High Judicial Council
- Higher Court in Belgrade
- Higher Public Prosecutor's Office in Belgrade
- Institute for Public Health of Serbia
- Institute of Social Protection
- Judicial Academy
- Juvenile Council
- Medical Faculty Novi Sad
- Ministry of Education, Science and Technological Development
- Ministry of Health
- Ministry of Justice
- Ministry of Labour, Employment, Veterans and Social Affairs
- National Assembly of Serbia
- Pre-school institutions
- Population Policy/Council for Child Rights
- Primary Health Centres
- Provincial Institute for Social Protection
- Belgrade Psychological Centre
- Republic Institute for Social Protection
- Residential children's home
- Centar GRiG
- SOS Children's Village "Dr Milorad Pavlovic"
- Teachers' Association of Serbia

## **Annex 11 – Evaluation methods**

### **Qualitative interviews**

#### **Sampling and recruitment**

UNICEF model teams provided a list of stakeholders who were most appropriate and relevant to invite to participate in an interview. The sample and participant information is outlined below in Figure 1. A letter from UNICEF, an information sheet about the evaluation and a document outlining arrangements for confidentiality and anonymity (all in both Serbian and English) were emailed by SeConS to each participant with an invitation to participate. Several responded immediately by telephone or email; in other cases SeConS followed up by email and telephone to invite participation and, where agreed, to schedule an interview.

#### **Interview protocol**

Interviews were conducted by telephone or virtual platform (Zoom) to COVID-19. The interview was semi-structured; interviewers had guides with a series of questions regarding the participant's experiences of the programme and their views about strategies and feasibility for rolling out more widely in Serbia, however the general content and flow of conversation was adapted to the interviewee's experience and perspective. Interviews lasted between 60-90 minutes and were recorded for intelligent verbatim transcription.

## Example topic guide- Local implementation partners

### Interview guide for local implementation partners: FAMILY OUTREACH WORKER

This is the interview schedule for representatives of organisations that have been sites for local implementation, such as representatives from:

- Residential centres
- Centres for Social Work

Some of the evaluation participants will have worked closely with UNICEF in the development and modelling of FOW, others will not have done.

**Some interviews will need to cover more than one of the exemplar programs.** We will cover FOW as the main program and then briefly review key points in relation to other/s.

Key background:

- FOW provides intensive family support where there is a child with complex needs, to improve families' capacity and reduce use of institutional care
- FOW was implemented by residential institutions in four cities, working with Centres for Social Work
- RISP provided training (and supervision?)
- UNICEF proposal for scale-up is that residential institutions are re-purposed into new Child & Family Centres – standards would need to be developed
- Legislative amendments were drafted but have not been implemented
- Scale-up would also require training (by RISP) and improve inter-sectoral support to provide holistic services
- Implementation continues in Novi Sad

#### KEY OBJECTIVES:

- To understand how implementable FOW is from the perspective of local implementation partners
- To understand what was/is involved in implementation
- To identify barriers and facilitators to implementation and factors that will affect the viability of scale-up
- To understand equity implications, i.e. whether and how implementation and scale-up will advance UNICEF's mission of addressing inequality, or whether equity would be compromised through implementation/scale up. This is a key consideration for UNICEF and involves e.g. gender, disability, Roma communities and rural communities

#### INTRODUCTION TO THE INTERVIEW:

- *Thank you very much for making time for this interview [check how long has as per request]*
- *As you will have seen from the information sheet, the purpose of this evaluation is to explore the ways in which UNICEF's program models are developed and taken to scale, and how UNICEF can strengthen its work to benefit children. By 'scale' UNICEF mean **extending the delivery and roll-out of programmes, and other work to 'mainstream' the programmes in Serbia's social protection, health, education, justice and other systems.** We are interviewing UNICEF project teams, national and provincial stakeholders, and local partners involved in delivery of the programs. We will be carrying out around 45 interviews.*
- *UNICEF has commissioned CEI, working with SeConS, to undertake the evaluation*

- *I'd like to discuss the Family Outreach Worker/Service [check terminology with them] with you and to ask about your experiences of delivering FOW here*
- *With your permission I'll record the interview. The recording and transcriptions and summaries will be stored securely and accessible only to the research team*
- *We will bring together the views and insights of everyone we interview in our report to UNICEF. The data will be reported without attributing views to individual participants.*

## **1. BACKGROUND**

*Aim of this section: to understand the priorities of the organisation so we have background context on how the UNICEF program fits*

- 1.1 Can you start by telling me what your role is in (*insert name of organisation*) and how long have you been with the organisation?
- 1.2 Please tell me about the main work and the goals of your organisation  
*Probe for key organisational priorities in relation to FOW*
- 1.3 What types of staff are involved in carrying out that work  
*Focus on the work most relevant to FOW*  
*Probe to understand the key roles and professions (e.g. social workers, family support workers)*
- 1.4 Does your organisation aim to support particular vulnerable groups (e.g. girls/boys, disabled children, Roma communities, rural communities?)  
*Probe which groups and how this influences the organisation's work.*

## **2. INVOLVEMENT IN FAMILY OUTREACH WORKER**

*Aim of this section: to get background context on their involvement in FOW so that we know how to focus the rest of the interview.*

- 2.1. I'd like to understand more about your involvement in FOW. Can you tell me when your organisation first became involved with the program?  
*Probe:*
  - *When did they start delivering FOW*
  - *Did they have any involvement in the development of FOW prior to that (if so, briefly what involvement did they have in FOW's development)*
  - *Who decided that the organisation would deliver FOW (and if relevant why)*
  - *Can you describe the landscape of intensive family support in Serbia before the implementation of FOW?*
- 2.2. Is your organisation still delivering FOW?  
*Probe:*
  - *Which family groups are involved? Particularly explore involvement of disadvantaged families*
  - *At what scale, e.g. how many families/children supported in last 12 months and over what geographic area*
  - *If no longer delivering, when did they stop [adapt rest of the guide to past delivery]*

## **3. PERCEPTIONS OF THE FAMILY OUTREACH WORKER PROGRAM**

*Aims of this section: to get initial views of the program before exploring implementation issues in more depth*

- 3.1 To start, I'd like to ask about your overall experience of involvement with FOW and whether you see it as effective and valuable. What are your views about it?  
*Probe*
  - *Do they see it as effective? If so, what is this judgement based on?*

- *What problem do they see it as addressing [e.g. support children/ families, reduce institutional care] and is it the right solution to that problem?*
- *What do they see as the main impacts of FOW for children and families*
- *Do families like and find the FOW helpful? What do they say about it*
- *Does FOW have any particular relevance or benefits for families from disadvantaged communities? Do you know whether these families like FOW and see it as helpful?*
- *Do staff like delivering FOW?*
- *Do you feel that FOW is clearly needed?*

#### **4. EXPERIENCES OF DELIVERING FOW**

*Aims of this section: This is a key section, which aims to find about how easy it is to deliver the program, and any facilitators and barriers to delivery*

4.1 To begin, can you tell me what was involved in getting ready to deliver FOW. Did it involve any particular preparation, like training, recruitment of new staff, and did you need any support?

*Probe:*

- *What was involved*
- *If training:*
  - *Who provided the training*
  - *Who attended the training*
  - *Did the training meet needs*
  - *How could the training be improved*
- *If recruitment of staff:*
  - *Which types of staff*
  - *How easy was it to recruit them*
- *Did they receive any support to deliver FOW (e.g. from UNICEF, RISP or other body) e.g. guidance documents, supporting materials, coaching, oversight*
  - *What was provided and by whom*
  - *Did this meet their needs*
  - *Were there any areas where the support needed to be improved*
- *Is there anything else they have needed to do, to be ready to deliver FOW*
  - *What was needed*
  - *How easy was it to do*

4.2 Has their delivery or use of FOW changed over the period that your organisation has been delivering it (e.g. changes in the form of delivery, ease of delivery, target families, other agencies involved)

*Probe:*

- *How any changes came about*
- *Any particular implications*

4.3 How easy or difficult is it to deliver FOW?

*Probe:*

- *What is it that makes it easy/difficult as you mention?*
- *Is FOW complicated, e.g. with a lot of steps or people involved?*
- *Is FOW unusually intensive and/or holistic and does this raise any difficulties? (e.g. resource demands, skills needed)*
- *Does it rely on or involve working with organisations? Eg do families need to be connected with other support services, and are these available? Where are there gaps?*
- *Is it sufficiently clear who needs to do what to deliver FOW?*

- *Is there anything else they have needed to do, to deliver FOW (e.g. changes to their working processes or developing new working processes)*
  - *What was needed*
  - *How easy was it to do*
- *Is it very different from previous practices?*

#### 4.4 How well do you feel FOW fits with your organisation?

*Probe:*

- *Does it help you to achieve your organisation's priority aims?*
- *Does it fit well with the rest of the work and practices of the organisation*
- *Does it fit well with staff roles and skills*
- *Did it need to be modified, or would it ideally be modified to fit better in your organisation?*
- *Were you / will you be able to modify it (e.g. are restrictions imposed by UNICEF or anyone else)*
- *If modifications have been / are made, how does this affect reach and impact for the most disadvantaged families?*

#### 4.5 How well does FOW align with the social welfare system generally, both nationally and locally, such as regulation, funding, practice standards, professional training?

*Probe:*

- *How well is it aligned generally/ Has this helped or hindered implementation?*
- *How well is aligned with the relationships between services and systems? Has this helped or hindered implementation?*
- *How well aligned is it with regulation? Has this helped or hindered implementation?*
- *How well aligned is it with funding? Has this helped or hindered implementation?*
- *How well aligned is it with practice standards? Has this helped or hindered implementation?*
- *How well aligned is it with professional training? Has this helped or hindered implementation?*

#### 4.6 Are there any other considerations or issues that help or hinder implementation of FOW that you would like to mention?

*Probe:*

- *How they help or hinder, and what is needed to address this*

#### 4.7 Is FOW now a permanent part of your organisation's work, or is your understanding that it will be delivered just for a pilot or test period?

*Probe:*

- *We understand that other sites stopped delivering FOW after the end of the modelling period. How have you managed to continue delivery? What issues did you need to overcome?*
- *In your experience of implementing it, are there any factors that will or would make it easier to continue delivery? (E.g. characteristics of FOW, secure funding, continued support etc)*
- *And are there any factors that will or would make it harder to continue delivery? (E.g. characteristics of FOW, funding will end, support will end)*
- *Does your organisation have any plans to increase or decrease the scale of delivery (e.g. the number of families who use the service, or the geographic coverage), or change the target recipient group*

## 5 IF PROGRAM NO LONGER BEING DELIVERED

*Aims of this section: to understand how this came about and whether this leaves a gap*

5.1 You said earlier that you're no longer delivering FOW here. Can you tell me how and why that came about?

*Probe:*

- Which organisation made the decision made and why
- What are your views about FOW no longer being delivered? Do you feel it ideally should still be delivered by your organisation?
- Does not having FOW leave an unmet need? What is this and whose needs are unmet?
- Has it made it more difficult to support the most disadvantaged children and families?

## **6 VIEWS ABOUT SCALING UP FOW**

*Aims of this section: to ascertain views about whether and how the program should or could be scaled-up*

6.1 Overall, in your view, should FOW be rolled out more widely in Serbia?

*Probe:*

- Why or why not
- What are your views about how widely it could or should be rolled out (e.g. is it feasible outside cities)
- Is it suitable for all organisations of their type e.g. residential centres, Centres for Social Work etc or would an organisation need to have specific priorities, staff, capacities, client groups, collaborations, aims etc for FOW to be suitable?

6.2 Do you have any views about what form rolling it out more widely should take, and what it would involve?

*Probe:*

- [If not obvious] which organisations should be responsible for delivery? Eg residential centres re-purposed as Child & Family Centres?
- Should FOW be implemented as a distinct program, or should this kind of work be embedded in mainstream practice eg in the work of Centres for Social Work or residential centres
- What if any wider changes would be needed to enable scale-up? Eg legislative change -why is this necessary? Or wider staff skills development?

## **7 EXAMPLES OF OTHER SUCCESSFUL SCALE-UP**

*Aims of this section: UNICEF have asked us to explore whether stakeholders are aware of other, non-UNICEF, programs that have been successfully scaled up that provide useful examples of how barriers were overcome.*

7.1 Are you able to share any examples of programs, not involving UNICEF, in your policy area that have been successfully scaled-up? Can you tell us a little about how that was achieved?

*Probe:*

- What form did scale-up take?
- What aided this and what barriers had to be overcome and how?

## **8 FINAL VIEWS**

*Aims of this section: To capture any final views and recommendations*

8.1 What advice would you give another organisation like yours about delivering FOW?

8.2 What advice would you give to UNICEF about their work in developing and supporting FOW?

**THANK AND CLOSE**

## Example topic guide- System stakeholder

### Interview guide for system-level stakeholders: FAMILY OUTREACH WORKER

This is the interview guide for national system-level stakeholders, such as representatives from:

- Ministry of Labour, Employment, Veterans and Social Affairs
- Republic Institute for Social Protection

Most participants will have worked closely with UNICEF in the development and modelling of FOW, others may not have done. **Some interviews will need to cover more than one of the exemplar programs.** We will cover FOW as the main program and then briefly review key points in relation to other/s.

Key background:

- FOW provides intensive family support where there is a child with complex needs, to improve families' capacity and reduce use of institutional care
- FOW was implemented by residential institutions in four cities, working with Centres for Social Work
- RISP provided training (and supervision?)
- UNICEF proposal for scale-up is that residential institutions are re-purposed into new Child & Family Centres – standards would need to be developed
- Legislative amendments were drafted but have not been implemented
- Scale-up would also require training (by RISP) and improve inter-sectoral support to provide holistic services
- Implementation continues in Novi Sad

#### KEY OBJECTIVES:

- To understand whether key stakeholders agree with and share UNICEF's vision for FOW, and have committed to supporting scale-up
- To understand barriers and facilitators to scale-up, and the work that would be required for scale up to be achieved
- To understand whether scale-up is viable for FOW, the form this should take, and if not whether UNICEF can advance their ambitions to reduce institutional care for children with complex needs in any other way (whether with the program and stakeholder or not)
- To understand equity implications, ie whether and how scale-up will advance UNICEF's mission of addressing inequality, or whether this would be compromised by scale-up. This is a key consideration for UNICEF and involves eg gender, disability, Roma communities and rural communities

#### INTRODUCTION TO THE INTERVIEW:

- *Thank you very much for making time for this interview [check how long has as per request]*
- *As you will have seen from the information sheet, the purpose of this evaluation is to explore the ways in which UNICEF's program models are developed and taken to scale, and how UNICEF can strengthen its work to benefit children. By 'scale' UNICEF mean **extending the delivery and roll-out of programmes, and other work to 'mainstream' the programmes in Serbia's social protection, health, education, justice and other systems.** We are interviewing UNICEF project teams, national and provincial stakeholders, and local partners involved in delivery of the programs. We will be carrying out around 45 interviews.*

- *UNICEF has commissioned CEI, working with SeConS, to undertake the evaluation*
- *I'd like to discuss the Family Outreach Worker [check whether refer to it as this or Family Outreach Service] program with you and to ask your views about it, whether it should be scaled up, and what this would involve.*
- *With your permission I'll record the interview. The recording and transcriptions and summaries will be stored securely and accessible only to the research team*
- *We will bring together the views and insights of everyone we interview in our report to UNICEF. The data will be reported without attributing views to individual participants.*

## 5. BACKGROUND

*Aim of this section: to understand the priorities of the organisation so we have background context on how the UNICEF program fit*

- 1.5 Can you start by telling me what your role is in (*insert name of organisation*) and how long have you been with the organisation?
- 1.6 [If needed and appropriate brief background on the organisation]

## 6. INVOLVEMENT IN THE FAMILY OUTREACH WORKER PROGRAM

*Aim of this section: to get background context on their involvement in the FOW program so that we know how to focus the rest of the interview. Also to understand whether partners who UNICEF describe as very centrally involved actually share that perspective.*

- 6.1. I'd like to cover your involvement in the Family Outreach Worker program in this interview. Can you tell me how you or your organisation became involved and when? And what kind of roles did you play?

*Probe:*

- *Why they became involved (eg link with their strategic objectives)*
- *Who initiated the project. If their organisation initiated it, why? If others, how was that idea received by their organisation? How did UNICEF and other stakeholders including donors fit in?*
- *How was it seen as fitting with the priorities of their organisation? Were there any concerns?*
- *What was the situation in relation to intensive family support as an alternative to institutional care before the program was initiated? Was there a recognised need for change?*

- 2.3 Can you tell me a bit about your experience of working with UNICEF and other partners on the design, development and testing of the FOW program. How well do you feel the collaborative work has gone?

*Probe:*

- *Were they collaborators from the start*
- *If so, what was their contribution to the design of FOW. Who was involved from their organisation and how did the design process go*
- *If not involved from the start, when and how were they involved*
- *How did they work with UNICEF and other partners*
- *Was your organisation able to access the capacity and resources it needed*
- *Did you have enough support from UNICEF and other partners? Were there any gaps?*
- *How strong do you feel the collaboration was*

- 6.2. Is your organisation still involved with the FOW? Can you tell me more about the current work you're your organisation is doing?

*Probe:*

- *Nature of their involvement now*

- *Their understanding of the current status of FOW, eg on hold, still being implemented, being developed further, have already been scaled up. [Our understanding is that it is on hold except in Novi Sad]*

## 7. PERCEPTIONS OF FOW

*Aims of this section: For FOW to be scalable, key stakeholders need to support it and see it as effective, necessary, a good fit with the system, and the right way forward. This section assesses that, and provides context to understanding what scale up would involve*

3.2 I'd like to ask about your views of FOW – whether you see it as effective and valuable.

What are your views about it?

*Probe – and in each case explore why / why not*

- *Do they see it as effective? If so, what is this judgement based on? Have they seen sufficient evidence of effectiveness and this sufficiently robust? [eg RISP delivery evaluation; University of Belgrade evaluation; summative evaluation by PluriConsult: these didn't show definitively a reduction in use of institutional care]*
- *Is FOW clearly needed? Does it clearly add value?*
- *Does it fit with national strategic priorities?*
- *Does it fit with their organisation's priorities and help to advance their strategic priorities?*
- *Is it a good fit with the sector, can it be implemented? What are the obstacles to effective implementation?*

## 8. VIEWS ABOUT SCALE-UP

*Aims of this section: This section is key to understanding whether they would support scale-up of FOW, what this would involve, and the barriers and facilitators to scaling up. If their organisation is central to scale-up, are they committed to whatever action from them it would require?*

8.3 As you know, UNICEF's aim is to scale-up their effective programs. **In your opinion**, should FOW be scaled up?

*Probe:*

- *If so, why?*
- *Would scaling up FOW particularly support disadvantaged communities e.g. girls/boys, disabled children, Roma communities, rural communities?*
- *How should FOW be scaled up*
- *Which organisations would deliver and support scaled-up delivery of FOW [NOTE THAT UNICEF VIEW IS FOR RESIDENTIAL CENTRES TO BE REPURPOSED AS NEW CHILD & FAMILY CENTRES]*
- *What scale is needed (e.g. nationwide provision, gradual roll-out, wider but still selective provision)*
- *Would it be feasible for FOW to be rolled out in rural communities? What form should this take [e.g. locally based workers attached to new central Child & Family Centres]*
- *The aim of FOW is build families' capacity to care for children with complex need, and avoid institutional care. Is the best way of achieving this at scale to implement FOW as a distinct program, or should this kind of work be embedded in mainstream practice e.g. in the work of Centres for Social Work or other professional groups?*
- *If not, why not? (E.g. FOW many not be seen as adding value, effective, a priority, implementable)*

8.4 **What is needed** to scale the program up?

*Prompt on the following exploring whether necessary and why:*

- *Changes to legislation or regulation needed: We understand from UNICEF that regulatory changes have been drafted but not adopted. Are they needed for scale-*

up? Are there any particular reasons why they have not yet been adopted? What would be needed to take this forward?

- Wider policy change eg strengthening of inter-sectoral cooperation
- Changes within sectors, eg additional staff capacity, additional workforce skills, more services – eg more extensive services for FOW to draw on
- Does FOW involve an approach or philosophy that is very culturally different from current practice and philosophies (eg about the role/expertise or parents, role of institutional care, child rights to inclusion)? If so is other work needed alongside FOW to change culture or public views?
- New or reconfigured organisations or services – eg residential centres repurposed as new Child & Family Centres
- Further development or adaptation of FOW

#### 8.5 What would it take to make the necessary changes?

Probe:

- What commitments or decisions are needed by their organisation / others
- What further work is needed by UNICEF / others (eg further program development, better evidence, advocacy and comms)
- What barriers stand in the way (eg lack of commitment, lack of priority, lack of evidence, lack of popular demand)
- What is needed to address those barriers

#### 8.6 What about the **finances** involved. If FOW was operating at scale, how would it need to be funded?

Probe:

- If funding is needed for initial push to scale-up: what funding streams could be used
- Would FPW be self-funding through savings to institutional care?
- If funding is needed permanently for scaled-up delivery: what funding streams could be used
- Have they seen sufficiently robust cost analysis? Is more work needed here?

### 9 EXAMPLES OF OTHER SUCCESSFUL SCALE-UP

*Aims of this section: UNICEF have asked us to explore whether stakeholders are aware of other, non-UNICEF, programs that have been successfully scaled up that provide useful examples of how barriers were overcome.*

#### 9.1 Are you able to share any examples of programs, not involving UNICEF, in your policy area that have been successfully scaled-up? Can you tell us how it was achieved?

Probe:

- What form did scale-up take?
- What aided this and what barriers had to be overcome and how?

### 10 OVERALL VIABILITY AND READINESS FOR SCALE-UP

*Aims of this section: To capture any final views and recommendations*

Overall, how likely do you think it is that the challenges you've described in relation to scaling up FOW can be addressed?

#### 10.1 If they can't be addressed, and FOW can't feasibly be scaled up, are there other ways that UNICEF could advance the aims that the program was designed to address? *Ie to build family capacity to care for children with complex needs and reduce institutional care*

*For example through wider policy change, practice change or service provision rather than specifically scaling up FOW*

#### 10.2 What advice do you have for UNICEF about how they approach modelling and scale-up, and how they should take forward FOW?

**THANK AND CLOSE**

## Qualitative analysis

A thematic analysis was undertaken of the qualitative data. Thematic analysis is a foundational method for qualitative analysis, and involves identifying key themes, categorising data within them, and identifying, analysing and reporting patterns within the dataset<sup>142</sup>. Our approach was theoretically-driven and deductive, reflecting the research questions and UNICEF Scale-up Framework.

Interviews undertaken in Serbian and English were transcribed, and summary analysis undertaken in English. Where applicable, illustrative quotes were provided in English as part of summary analysis. The approach was largely semantic, working with the explicit or surface meanings of data; tacit meanings had been discussed in interviews.

Thematic analysis was undertaken using the Framework method<sup>143, 144</sup>. A set of themes and codes was developed, the evaluation questions and the key themes within the data. These were applied to data summaries using the software Dedoose, which enables easy searching so that the full context of an interview can be reviewed, and data within each code can be collated and reviewed.

Thematic analysis using these methodologies allowed both within group comparison (for example, reviewing the diversity of views among systems stakeholders) and between group comparison (for example, comparing views about the determinants of effective scale-up expressed by UNICEF teams with those expressed by system stakeholders).

## Quantitative survey for implementation sites

A brief online survey was developed using Qualtrics to capture the experience of those either implementing or with previous experience with the models who were not interviewed. This was based on the Consolidated Framework for Implementation Research (see chapter 3 of the report), with selection and adaptation of recommended CFIR.

## Sampling procedure for survey

The focus of the survey was on local implementation sites and current delivery of the models. UNICEF model teams provided an additional list of stakeholders that were to be contacted with a copy of the survey. It would not have been appropriate to invite qualitative interviews to participate in the survey as it covered information already given. This meant that there was no coverage of FOW implementation sites (since none are currently delivering except in Novi Sad), and very little of IFC implementation sites (since no new families are being taken on except in Novi Sad), Recipients also had the option of circulating the survey among their colleagues. The survey was sent to 82 individuals.

## Survey participation

The survey was sent as part of an email, which had a URL code in which participants could access, which enabled forwarding to additional personnel. The invitation and survey was exclusively in Serbian, and correspondence was managed by the team at SeConS, with additional prompts on occasion provided by UNICEF staff. The survey was sent with a letter from UNICEF, information sheet and further information about confidentiality and

<sup>142</sup> Braun, V. and Clarke, V. (2006) Using thematic analysis in psychology *Qualitative Research in Psychology*, 3, 77-101

<sup>143</sup> Spencer, L., Ritchie, J., O'Connor, W., Morrell, G., & Ormston, R. (2014) Analysis in practice. in Ritchie, J., Lewis, J., McNaughton, C. N., & Ormston, R. (Eds.), *Qualitative research practice: A guide for social science students and researchers* 2<sup>nd</sup> edition: London: Sage

<sup>144</sup> Joffe, H (2012) Thematic Analysis in Harper, D. and Thompson, A. (Eds.) *Qualitative Research Methods in Mental Health and Psychotherapy: A Guide for Students and Practitioners*. Chichester: Wiley-Blackwell

anonymity. A reminder email was sent after 7 days. Very few responses were received indicating experience of Diversionary Measures, despite around 20 contact details having been given by UNICEF, and the UNICEF team sent a direct approach to these individuals to encourage participation. Participation remained low. After 14 days, the survey link was closed for analysis.

A total of 39 individuals completed the survey in full. 33 of the 39 provided details of their role and organisation. An overwhelming majority of participation came from DOP and ECI models, which reflected the high rates of school staff/educators completing the survey. See Chapter 1 for further information about the sample.

**Table 1. Survey participant summary table**

	N	%
Model (N=39)		
Dropout prevention	21	53.8%
Early childhood intervention	12	30.8%
Intermittent foster care	5	12.8%
Diversionary measures	1	2.6%
Organisation (N=33)		
School	19	57.6%
Pre-school	6	18.2%
Health centre	3	9.1%
Centre for fostering and adoption	3	9.1%
Centre for social work	1	3.0%
NGO	1	3.0%
Role-type (N=33)		
Teacher/professor	16	48.5%
Allied health professional	8	24.2%
Associate	6	18.2%
School principal	1	3.0%
Project activities implementer	1	3.0%
Chairman of the board	1	3.0%
City/town (N=33)		
Belgrade	8	24.2%
Bela Palanka	5	15.2%
Vladicin Han	5	15.2%
Novi Sad	4	12.1%
Kraljevo	3	9.1%
Niš	3	9.1%
Surdulica	2	6.1%
Vrbas	2	6.1%

## Analysis

The survey data were analysed descriptively in Excel.

## Survey tool



The Centre for Evidence and Implementation, working with SeConS Development Initiative Group, has been commissioned by UNICEF in Serbia to undertake an evaluation of five UNICEF early childhood programs. This survey focuses on the experiences and views of staff in organisations that are involved in any of the five UNICEF programs.

We want to hear what you think about the interventions and whether they help children and families in Serbia. Your input will help UNICEF to make decisions about how it develops these and other programs for the future.

The five UNICEF programs are listed below. They may be known by different names in your organisation, so we have provided a brief description. Your organisation may be involved in only part of the program, or you may no longer be involved in any of the programs but your views are still very helpful. The first question in the survey asks you which program you are (or were) involved in, or which you are (or were) most involved in.

- **Drop-out prevention**

Schools' work to prevent children from dropping out of school, which involves identifying children at risk, supporting children and families to stay engaged, and developing whole-school approaches.

- **Early Childhood Intervention**

Multi-disciplinary teams working with families with children with developmental delays and disabilities to support their involvement in family and community life. The program involves outreach, screening, developing an Individual family support plan and weekly visits with the family.

- **Intermittent Foster Care**

Providing respite fostering care for children with disabilities, often by other family members.

- **Diversiónary Measures**

Orders for alternative sanctions or restorative approaches for juvenile offenders. The intervention involves assessing the suitability of diversionary measures, making the order, and providing diversionary activity.

- **Family Outreach Worker**

An intensive family support service, where a practitioner works directly with families over 8-12 months providing support, advice and community coordination and care.

This survey should take around 10-15 minutes to complete. The data will be confidential and results will be reported without naming individual organisations or people.

Please [press the consent button] if you consent to take part in the survey.

Thank you!



УНИЦЕФ у Србији је ангажовао Центар за евиденцију и имплементацију да у сарадњи са Секонс групом за развојну иницијативу спроведе евалуацију пет УНИЦЕФ-ових програма усмерених на подршку у раном развоју. Ово истраживање фокусира се на искуства и ставове запослених у организацијама/институцијама које су укључене у било који од пет УНИЦЕФ-ових програма.

Желимо да чујемо шта мислите о интервенцијама и да ли помажу деци и породицама у Србији. Ваш допринос ће помоћи УНИЦЕФ-у да доноси одлуке о томе како да развија ове и друге програме у будућности.

У наставку је наведено пет УНИЦЕФ-ових програма који су обухваћени евалуацијом. Могуће је да су познати под различитим називима у Вашој организацији/институцији, па смо пружили кратак опис сваког програма. Поред тога, могуће је да је Ваша организација укључена у само један део програма или да више уопште није укључена у реализацију програма, али Ваше мишљење је и даље од великог значаја. Прво питање у анкети односи се на то у који сте програм укључени тренутно (или у који програм сте били укључени). У случају да сте укључени у више програма, питања у упитнику односе се на програм у који сте у највећој мери укључени (или у који сте били највише укључени).

- **Превенција осипања у школама**

Рад школа на спречавању осипања деце из школе, што укључује идентификовање деце у ризику, подршку деци и породицама да буду активно укључени и развијање приступа који подразумева ангажовање школе у целини.

- **Интервенције у раном развоју**

Мултидисциплинарни тимови који раде са породицама са децом са сметњама у развоју како би подржали њихово учење у породичном животу и животу заједнице. Програм укључује информисање, скрининг, развијање Индивидуалног плана подршке и недељне посете породици.

- **Повремено хранитељство**

Пружање предах за хранитељску негу деце са сметњама у развоју, често од стране других чланова породице.

- **Диверзионе мере**

Налози за алтернативне санкције или ресторативни приступи за малолетне преступнике. Интервенција укључује процену погодности диверзионих мера, израду налога и спровођење диверзионе активности.

- **Породични сарадник**

Интензивна услуга за подршку породици, где практичар ради директно са породицама преко 8-12 месеци пружајући подршку, савете и координацију, као и адекватну бригу у заједници.

Попуњавање ове анкете требало би да траје око 10-15 минута. Подаци ће бити поверљиви, а резултати ће се приказивати без именованја појединих организација или особа.

Молимо Вас [притисните дугме за сагласност] ако пристајете да учествујете у анкети.  
Хвала Вам!

Question number	Question (English)	Question (Serbian)	Response choice(s) (English)	Response choice(s) (Serbian)
1a	Please select the UNICEF program you use/used or are/were involved with. If you are/were involved in more than one, please select the one you use/used <u>most</u> . The survey will ask about this program.	Молимо Вас изаберите УНИЦЕФ-ов програм у чијој реализацији учествујете или сте учествовали. Ако учествујете/сте учествовали у више њих, одаберите онај који у који сте у највећој мери укључени (или у који сте највише били укључени).. Наредна питања односиће се на овај програм.	<ul style="list-style-type: none"> <li>• Drop-out prevention</li> <li>• Early Childhood Intervention</li> <li>• Intermittent Foster Care</li> <li>• Diversionary Measures</li> <li>• Family Outreach Worker</li> <li>• None of these</li> </ul>	<ul style="list-style-type: none"> <li>• Превенција осипања из школе</li> <li>• Интервенције у раном развоју</li> <li>• Повремено хранитељство</li> <li>• Диверзионе мере</li> <li>• Породични сарадник</li> <li>• Ништа од наведеног</li> </ul>

If none of these, participant is taken to end of survey

1b	Is the program still being delivered by your organisation?	Да ли Ваша институција/организација још увек спроводи овај програм?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<ul style="list-style-type: none"> <li>• Да</li> <li>• Не</li> </ul>
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If yes, participant answers Stream B questions

1c	Are you personally still involved in the delivery of this program?	Да ли сте Ви лично још увек укључени у реализацију овог програма?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<ul style="list-style-type: none"> <li>• Да</li> <li>• Не</li> </ul>
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If yes participant answers Stream A questions, if no participant answers Stream B questions

	Stream A	Stream B	Stream A	Stream B		
2	For how long have you been	For how long did you use	Колико дуго сте укључени у реализацију овог	Колико дуго сте били укључени у реализацију	<ul style="list-style-type: none"> <li>• Less than 1 year</li> <li>• 1-2 years</li> <li>• 2-4 years</li> <li>• More than 4 years</li> </ul>	<ul style="list-style-type: none"> <li>• Мање од 1 године</li> <li>• 1-2 године</li> </ul>

	using this program in your work?	the program in your work?	програма ?	овог програма?		<ul style="list-style-type: none"> <li>• 2-4 године</li> <li>• Више од 4 године</li> </ul>
3	<p>Below are some statements about this UNICEF program. Please tell us to what extent you agree or disagree with each:</p> <p>a. The program addresses an issue that is a priority for my organization</p> <p>b. With this</p>	<p>Below are some statements about the UNICEF program. Please think back to when you were involved in the delivery of the program and tell us to what extent you agree or disagree with each statement:</p> <p>a. The program addressed a priority</p>	<p>Испод су неке изјаве које се односе на овај УНИЦЕФ-ов програм. Реците нам у којој се мери слажете или не слажете са сваком изјавом:</p> <p>а. Програм се бави питањима која су приоритетна за моју организацију</p> <p>б. Овим програмом можемо пружити бољу подршку деци у Србији него што је то био случај пре него што је интервенција била доступна</p>	<p>Испод су неке изјаве које се односе на овај УНИЦЕФ-ов програм. Молимо Вас да се сетите времена када сте били укључени у реализацију програма и реците нам у којој се мери слажете или не слажете са сваком изјавом:</p> <p>а. Програм се бавио питањима која су приоритетна за моју организацију</p> <p>б. Овим програмом имали смо могућност да пружимо бољу подршку деци у Србији него што је то био случај пре него што је интервенција била доступна</p>	<ul style="list-style-type: none"> <li>• Strongly agree</li> <li>• Agree</li> <li>• Neither agree nor disagree</li> <li>• Disagree</li> <li>• Strongly disagree</li> </ul>	<ul style="list-style-type: none"> <li>• Потпуно се слажем</li> <li>• Слажем се</li> <li>• Нити се слажем нити не слажем</li> <li>• Не слажем се</li> <li>• Уопште се не слажем</li> </ul>

program, we can provide better support to children in Serbia a than before the intervention was available	issue for my organization b. With this program we could provide better support to children in Serbia than before the intervention was available	с. Генерално посматрано, корисници (родитељи и деца) позитивно гледају на програм и сматрају га корисним d. Програм нам помаже да пружимо подршку деци и породицама које припадају рањивим групама (нпр. деци која живе у условима сиромаштва, деци са инвалидитетом, ромским породицама)	с. Генерално посматрано, родитељи и деца су позитивно оценили програм и сматрали су га корисним d. Интервенција је помогла да се подрже деца и породице које припадају рањивим групама (нпр. деца која живе у условима сиромаштва, деца са инвалидитетом, ромске породице)
c. Generally, families and children are positive about the program and find it helpful	c. Generally, families and children were positive about the program and found it helpful		
d. The program helps us to support vulnerable children	d. The intervention helped us support vulnerable children		

	ren and families (e.g. children living in poverty, children with a disability, Roma families)	en and families (e.g. children living in poverty, children with a disability, Roma families)				
<b>4a</b>	Have you received any kind of support in the process of preparation for the implementation of this programme (e.g. mentoring support, trainings, manuals/guid	Have you received any kind of support in the process of preparation for the implementation of this programme (e.g. mentoring support, trainings, manuals/guid	Да ли сте током процеса припреме за имплементацију овог програма добили неку врсту подршке (на пример, менторску подршку, приручник и слично)?	Да ли сте током процеса припреме за имплементацију овог програма добили неку врсту подршке (на пример, менторску подршку, обуку, приручник и слично)?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<ul style="list-style-type: none"> <li>• Да</li> <li>• Не</li> </ul>

	eline s, etc.) ?					
<b>If the answer to 4a is Yes, then respondents should answer questions 4b and 4c</b>						
<b>4b</b>	Who provided that kind of support?	Who provided that kind of support?	Ко Вам је пружио ову врсту подршке?	Ко Вам је пружио ову врсту подршке?	<ul style="list-style-type: none"> <li>• UNICEF</li> <li>• Other organization/institution at the national level</li> <li>• Someone else, _____ (please write the answer)</li> </ul>	<ul style="list-style-type: none"> <li>• УНИЦЕФ</li> <li>• Друга организација или институција на националном нивоу</li> <li>• Неко други, ко? _____ (молим о Вас упишите)</li> </ul>
<b>4c</b>	How would you assess the support you were given to be ready to deliver the UNICEF program?	How would you assess the support you were given to deliver the UNICEF program?	Како бисте оценили подршку коју сте добили у оквиру припреме за реализацију овог програма?	Како бисте оценили подршку коју сте добили у оквиру припреме за реализацију овог програма?	<ul style="list-style-type: none"> <li>• Completely sufficient and in accordance with the needs</li> <li>• Mainly sufficient and in accordance with the needs</li> <li>• Neither sufficient nor insufficient (and in accordance with the needs)</li> <li>• Mainly insufficient and not in accordance with the needs</li> <li>• Completely insufficient and not at all in accordance</li> </ul>	<ul style="list-style-type: none"> <li>• У потпуности довољна и у складу са потребама</li> <li>• Углавном довољна и у складу са потребама</li> <li>• Нити довољна нити недовољна</li> <li>• Углавном није била довољна и није била усклађена са потребама</li> </ul>

					with the needs	<ul style="list-style-type: none"> <li>• Уопште није била довољна и била је сасвим неусклађена са потребама</li> <li>• Не знам, не могу да оциеним</li> </ul>
<b>5a</b>	Are any other organisations involved locally, alongside your organisation, in providing the program to children/families?	Were any other organisations involved locally, alongside your organisation, in providing the program to children/families?	Да ли су, поред Ваше организације, још неке организације на локалном нивоу укључене, у имплементацију програма у циљу пружања подршке деци/породицама?	Да ли су, поред Ваше институције/организације, још неке институције/организације на локалном нивоу биле укључене у имплементацију програма, у циљу пружања подршке деци/породицама?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> <li>• Don't know</li> </ul>	<ul style="list-style-type: none"> <li>• Да</li> <li>• Не</li> <li>• Не знам</li> </ul>
<b>5b</b>	Please list the other organisations	Please list the other organisations	Молимо наведите остале организације/институције које су укључене које су укључене у	Молимо наведите остале организације/институције које су биле укључене у имплементацију програма, у	Open text	Унесите текст

			имплементацију програма, у Вашој локалној заједници	Вашој локалној заједници		
5c	How do you assess cooperation with these institutions/organizations in delivering the program?	How do you assess cooperation with these institutions/organizations in delivering the program?	Како бисте оценили сарадњу са овим институцијама/организацијама током имплементације програма?	Како бисте оценили сарадњу са овим институцијама/организацијама током имплементације програма?	<ul style="list-style-type: none"> <li>• Very good</li> <li>• Quite good</li> <li>• Neither good nor bad</li> <li>• Quite bad</li> <li>• Very bad</li> <li>• Don't know, cannot assess</li> </ul>	<ul style="list-style-type: none"> <li>• Веома добра</li> <li>• Углавном добра</li> <li>• Нити добра нити лоша</li> <li>• Углавном лоша</li> <li>• Веома лоша</li> <li>• Не знам, не могу да оценим</li> </ul>
6	How easy or difficult is it to identify the children or families who need the UNICEF program?	How easy or difficult was it to identify the children or families who needed the UNICEF program?	Колико је лако или тешко идентификовати децу или породице којима је потребан овај УНИЦЕФ-ов програм?	Колико је било лако или тешко идентификовати децу или породице којима је био потребан овај УНИЦЕФ-ов програм?	Slider 1=very easy 5=neutral 9= very difficult Don't know	Клизач 1 = веома лако 5 = нити тешко нити лако 9 = веома тешко Не знам
7	How complex/simple is	How complex/simple was	Колико је програм сложен/једноставан	Колико је програм сложен/једноставан	Slider 1=very simple 5=neutral	Клизач 1 = веома једноставан

	the program for delivery?	the program for delivery?	за примену?	оставан за примену?	9= very complex Don't know	за имплементацију 5 = нити сложен нити једноставан за имплементацију 9 = веома сложен за имплементацију Не знам/не могу да оценим
8	Overall, how well does the UNICEF program fit with existing work practices in your organization?	Overall, how well did the UNICEF program fit with existing work practices in your organization?	Генерално посматрано, колико се УНИЦЕФ-ов програму клапа у постојеће радне праксе у Вашој институцији/организацији?	Генерално посматрано, колико се добро УНИЦЕФ-ов програм уклапао са постојећом радном праксом у Вашој организацији?	Slider  1=Perfect fit 5=neutral 9= Does not fit at all Don't know	Клизач  1=У потпуности се уклапа/уклапао 5= Нити се уклапа/нити се не уклапа 9= Не уклапа се уопште/уопште се није уклапао Не знам/не могу да оценим
9	In your opinion, should your organization continue to deliver the program	In your opinion, should your organization have continued to deliver the	Према Вашем мишљењу, да ли би Ваша организација требало да настави са реализацијом овог програма у будућности?	Према Вашем мишљењу, да ли је Ваша организација требало да настави са реализацијом овог програма?	<ul style="list-style-type: none"> <li>• Yes, definitely</li> <li>• Yes, probably</li> <li>• Yes, with some changes</li> <li>• No, probably not</li> <li>• No, definitely not</li> <li>• Don't know</li> </ul>	<ul style="list-style-type: none"> <li>• Дефинитивно да</li> <li>• Вероватно да</li> <li>• Да, уз неке промене</li> <li>• Вероватно не</li> <li>• Дефинитивно не</li> <li>• Не знам</li> </ul>

	in the future?	program?				
10	From your experience, is there anything that would make it difficult for your organization to continue to deliver the program? Please briefly describe	From your experience, did anything make it difficult for your organization to continue to deliver the program? Please briefly describe	На основу Вашег искуства, постоји ли нешто што би отежало Вашој организацији да настави са реализацијом програма? Молимо наведите шта и укратко образложите.	На основу Вашег искуства, постоји ли нешто што је представљало препреку за Вашу организацију да настави са реализацијом програма? Молимо наведите шта и укратко образложите.	Open text	Унесите текст
11	These last questions are about your organization and your role. Please tell us which of	These last questions are about your organization and your role. Please tell us which of	Завршна питања односе се на институцију/организацију у којој радите и Вашу улогу у тој институцији/организацији. Молимо Вас реците нам у којој	Завршна питања односе се на институцију/организацију у којој радите (сте радили) и Вашу улогу у тој институцији/организацији. Молимо Вас реците нам у којој врсти институције/организац	<ul style="list-style-type: none"> <li>• School</li> <li>• Pre-school</li> <li>• Health centre</li> <li>• Centre for Social Work</li> <li>• Centre for Fostering &amp; Adoption</li> <li>• Court</li> <li>• Prosecutor's office</li> <li>• NGO</li> <li>• Other: please write in</li> </ul>	<ul style="list-style-type: none"> <li>• Школа</li> <li>• Вртић, предшколска установа</li> <li>• Дом здравља</li> <li>• Центар за социјални рад</li> <li>• Центар за породични смештаји</li> </ul>

	type of organisation it is.	isatio n it is.	врсти организац ије сте запослени.	ије сте запослени.		усвојење
						<ul style="list-style-type: none"> <li>• Суд</li> <li>• Тужилаштво</li> <li>• НВО</li> <li>• Нека друга институција/организација: молимо Вас наведит е која</li> </ul>
12	Please tell us in which city/municipality you delivered the intervention	Please tell us in which city/municipality you delivered the intervention?	Молимо Вас да наведете у ком граду/општини спроводите овај програм	Молим Вас да наведете у ком граду/општини сте спроводили овај програм?	<ul style="list-style-type: none"> <li>• Belgrade</li> <li>• Novi Sad</li> <li>• Niš</li> <li>• Kragujevac</li> <li>• Other (please specify)</li> </ul>	<ul style="list-style-type: none"> <li>• Београд</li> <li>• Нови Сад</li> <li>• Ниш</li> <li>• Крагујевац</li> <li>• друго (молимо наведит е)</li> </ul>
		And finally, please write in the job title you had when you were delivering the intervention.		И на крају, молимо Вас наведите позицију на којој сте били запослени док сте учествовали у спровођењу овог програма.		<b>Унесите текст</b>

## Annex 12 – Ethical considerations

### Alignment with UNEG norms and standards

The project was undertaken in alignment with UNEG norms and standards. There was a clear purpose in conducting the work and it is intended that the resulting analysis and recommendations will support UNICEF's ongoing work to ensure equitable access to evidence-informed programs for all children including those most vulnerable through successful modelling and scale-up. The methodology was developed to be rigorous and transparent, involving qualitative and quantitative approaches, documentary analysis, and a variety of stakeholders to reflect different perspectives and allow triangulation. The evaluation team involved skilled professional evaluators with both local and international expertise. Evaluators were sensitive to beliefs, manners and customs and acted with integrity and honesty, ensuring contacts with participants were characterised by respect. In designing and undertaking the evaluation, the team recognised their obligations with regard to independence, impartiality, credibility, conflicts of interest and accountability.

The evaluation team prepared thoroughly for fieldwork, ensuring that the information to be given to participants, purpose and intent of questions, and the scope for adaptation to individual participants' contexts were clearly and consistently understood. Questions were addressed in a non-judgmental and open-ended way to encourage discussion and inclusive participation.

### Human rights, gender and equality

A human rights-based, gender and equality sensitive approach was taken throughout, in line with UNEG ethical guidelines and the UNICEF evaluation policy. This involved:

- All team members being familiar with relevant approaches and guidance
- Inclusion of questioning to address rights- and equity-based considerations in key informant interviews
- Mainly use of qualitative methodologies which can be flexed to equity considerations and to be inclusive, gender and trauma sensitive
- Sampling which is gender sensitive and inclusive of organisations working with disadvantaged communities and populations
- Clear and culturally appropriate information about the evaluation that outlines the context and the voluntary nature, with clear options for withdrawal
- Interviews undertaken in Serbian as necessary and by experienced researchers able to encourage equal and active participation
- Data disaggregated in analysis to explore equity-based considerations and outcomes, with particular emphasis on findings relating to rights, gender and equity-based considerations for scale-up

### Ethical conduct

The evaluation team worked to the ethical principles for evaluation as outlined in the UNEG Norms and Standards for Evaluation and in the the UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis throughout all stages of the evaluation process. This involved:

- There were no conflicts of interest between evaluation team members (or their respective organisations) and the objectives of the evaluation or the evaluation subject
- Non-maleficence (*'Do No Harm'*)- the evaluation team designed the evaluation data collection to avoid harmful, inappropriate, and irrelevant techniques and

procedures. Members of the evaluation team were appropriately skilled and experienced to conduct the evaluation.

- Respectfully acknowledging and supporting voice, dignity and agency of evaluation participants
- Respectful and culturally appropriate interactions with all stakeholders and participants in the evaluation process, particularly those from vulnerable groups or working with vulnerable groups
- Provision of written and verbal information regarding the project context, purpose and the voluntary nature of participation to all evaluation participants.
  - Those approached to be interviewed received a letter from UNICEF Country Office and information sheet about the evaluation, and a document signed by leaders at CEI and SeConS setting out how confidentiality and anonymity would be managed and data security maintained
  - Verbal consent was given for interviews (which were conducted by telephone or e-platform without physical meetings with participants), and confirmation of consent was given as part of the online survey process
- Findings have been reported accurately and impartially, with collaboration and quality assurance within and beyond the evaluation team to avoid bias or inaccuracy
- Care was taken throughout to avoid attributing comments to identified individuals or organisations.
- Formal ethics review was not required as the evaluation did not involve collection of data from service users/recipients, rights holders or children and young people

### Data management

The safety and confidentiality of all data collected was secured through following systematic data management approaches. The principles of good data management followed include the avoidance of data waste; clear justifications of data collection; data specification; secure data storage in line with data protection requirements; database maintenance; ongoing data audit as part of research; and the secure archiving or destruction of data.

### Ethics review requirements

Based on the UNICEF criteria for ethical review checklist, formal ethics review was not required as the evaluation did not involve collection of data from service users/recipients, rights holders or notably children or young people.

## Annex 13 – Sine Qua Non

The table below shows the extent to which the model documentation represents compliance with the Sine Qua Non.

Sine Qua Non condition	Whether completed in modelling	Summary
Start with a theory of change for the program area relevant to the model. ➤ The Model should directly link to a Theory of Change (ToC), covering national impact		Fully documented ToCs were observed in ECI and DOP models, with other models providing partially defined versions.
<i>Then specify for the model:</i> 1. An equity-based hypothesis (H) to describe the pathways from Model to above ToC		Partial in ECI and DOP
2. Expected equity-based Overall Results formulated as Child Rights Realisation and which meet international HR standards, technical protocols and guidance		Intended results were specified although not in these terms
3. Baseline as a basis for (H) above, including equity-increasing impact indicators		None of the models had collected baseline data and impact indicators were more narrative than specified here
4. Set Sustainability/Exit Strategy and Termination date agreed with partners		Broad timelines and pathway to scale were agreed with some partners
5. Monitoring mechanisms, including for process indicators, adequately funded		Varied progress
6. Impact Equity Based Evaluation clearly scheduled, budgeted for, partner-led, which assesses if the Model meets HR standards and closed equity gaps, within the model.		Evaluations were conducted but with limited coverage of impacts, not discussed as equity gaps, and not attributable to the model except DOP
7. Cost-benefit analysis/Beneficiary incidence analysis and estimated resource (human, financial, organisational) for scaling up		Limited cost effectiveness data and limited information about scale-up costs
8. Clear dates and budget to document the practice, based on 5-7 above		Dates and budgeting information included in UNICEF planning documents (RAM and country plans), however this is limited by the detail in which conditions #5 and #6 are collected and defined in SQN.
9. Strategies and budget to disseminate results (communication, advocacy)		Strategies for communication and advocacy were limited in scope and extent.
10. Total Budget for the model, including funding all of 1-9 above.		Not fully available, some information in plans

It is not clear, from documentation of the SQN, whether the list represents what needs to be carried out before modelling can begin (there is a reference to the SQN as 'pre-conditions for modelling') or whether it represents what needs to be achieved by the end of modelling, or what is required for a model to be ready for scale-up. Key issues missing from it include:

- The model itself, which needs to have been developed through collaboration and to evidence- or theoretically-informed, with all the necessary components and resources prepared, either ready to be piloted or having been optimised following modelling
- Partnerships for modelling or for scale-up
- Analysis of implementation barriers and enablers and strategies to address, evaluation of implementation effectiveness
- Agreed end game and pathway for modelling
- Wider support for ambitions of model, or activity to secure it (needs to be wider than 'disseminate results')

## Annex 14 – Other scaled-up initiatives

One of the evaluation questions asks for examples of initiatives that have been scaled-up or replication in Serbia, that might warrant further investigation, outside the scope of this evaluation, of the barriers and enablers of scale-up and that pathways and activities involved. The interviewees were often not able to name any such initiative, and where they were able to they often had little knowledge of what had been involved in scaling-up. The initiatives suggested are:

- deinstitutionalisation of out of family care, expansion and improvement of foster care and improvement of foster care support
- support for children with disabilities including day care, home assistance and supported housing
- pre-school education and care
- free legal aid
- development of emergency responses

## Annex 15- Information about the evaluation team

### CEI

The Centre for Evidence and Implementation (CEI) is a global, not-for-profit evidence intermediary dedicated to using the best evidence in practice and policy to improve the lives of children, families, and communities facing adversity. Established in Australia in late 2015, CEI is a multi-disciplinary team across four offices in Singapore, Melbourne, Sydney and London. We work with our clients, including policymakers, governments, practitioners, program providers, organization leaders, philanthropists and funders in three key areas of work:

2. Understand the evidence base
3. Develop methods and processes to put the evidence into practice
4. Trial, test and evaluate policies and programs to drive more effective decisions and deliver better outcomes

### SeConS

SeConS Development Initiative Group is an independent think-tank organisation of experts, established in Belgrade, Serbia, in 2005 with the aim of contributing to long-term socio-economic development and improvement of living conditions of individuals and social groups in Serbia and the region. As a policy and research-oriented NGO, SeConS gathers an inter-disciplinary group of experts focused primarily on study of policy issues related to inclusive development.

### Evaluation team members

#### **Jane Lewis, Director, CEI: UK**

Jane Lewis was the project manager and led the inception phase, development of the methodology and conduct of the evaluation, including work to develop the UNICEF Scale-up Framework, research instruments, data collection, analysis and reporting.

She has worked in research and evaluation for 25 years across early years education and care, social welfare, family support and child protection, education, health, mental health, and inclusion and diversity. She has a high level of expertise in programme innovation and development, active support for implementation and scale-up, and evaluation.

#### **Tom Steele, Advisor, CEI: Australia**

Tom Steele joined the project shortly before data collection began and was involved in the development of research instruments, data collection, analysis and reporting.

He is an experienced researcher and project manager, and a qualified dietitian. At CEI he has gained extensive research and evaluation experience, leading and supporting projects in child and family welfare services, education, clinical and public health nutrition, chronic disease prevention, and bioethics, with an emphasis on project management, data collection, analysis and interpretation.

#### **Gayatri Kembhavi-Tam, Director, CEI: Singapore**

Gayatri Kembhavi-Tam was involved in data collection and analysis and supported reporting.

She is a physical therapist and researcher with expertise in the area of childhood disability, disability and international development, design and implementation of qualitative and

mixed methods research, and research with vulnerable populations. She has over 20 years' experience as a clinician, educator and researcher, working particularly in the inclusion and participation of children with disabilities in their communities, the transition from childhood to young adulthood for people with disabilities, improving evidence-based care delivery, and facilitating clinically-relevant research.

**Robyn Mildon, Executive Director, CEI: Australia**

Robyn Mildon was the overall project lead, providing strategic advice and support throughout.

She is a Psychologist by training. She has worked very extensively across the world in evaluation, evidence synthesis and providing active support for implementation and scale-up. Her expertise spans social care, education, health, mental health and human services. She is Visiting Professor at the Yong Loo Lin School of Medicine, National University of Singapore (NUS) and founding Co-Director of the recently established Behavioural and Implementation Science Institute, NUS.

**Olivera Vukovic, Executive Director, SeConS: Serbia**

Olivera Vukovic was the project lead for SeConS, involved in the inception phase, development of the methodology, research instruments, data collection and analysis and reporting.

She is sociologist from Belgrade with an academic background and extensive experience in policy-oriented research. Also, she has significant experience in program management and quality assurance, as well as in cooperation with international institutions (such as, DFID, UNDP, IOM, UNFPA, UNW, SDC, etc.), national and local governments, institutions and civil society organizations.

**Marija Babovic, Director of Programmes, SeConS: Serbia**

Marija Babovic was involved in the inception phase, development of research instruments, data collection, analysis and reporting.

She is a professor at the University of Belgrade, Faculty of Philosophy. She has strong expertise in socio-economic development, migration, social inclusion and gender equality, with more than 20 years of research, particularly in Western Balkan Region. In addition to extensive experience in scientific research, she has abundant experience in applied research conducted in cooperation with international institutions (EC, DFID, WB, UNDP, UNHABITAT, UNHCR, ICMPD, DRC, etc.), state institutions and civil society organizations.

**Jovana Obradovic, Research Coordinator, SeConS: Serbia**

Jovana Obradovic was involved in the inception phase, development of the methodology, research instruments, data collection and analysis and providing comment and advice on the report.

She has taken part in many evaluations conducted by SeConS and the Institute of Sociology and Social Research. She has extensive experience in methodology development, project coordination and conducting both qualitative and quantitative research. She has participated in different social research, focused on the issues related to violence against women and children, migrations, human security, privatization process and workplace violence, etc.

**Jelena Žarković, Associate Professor, University of Belgrade and Director, Foundation for the Advancement of Economics: Serbia**

Jelena Žarković led the cost analysis elements of the evaluation, undertaking interviews with informants and responsible for elements of the report relating to cost effectiveness methodologies and the cost analyses undertaken.

She is a highly skilled economist, and her main research interests are the labour markets, poverty and income inequality effects of tax and benefit policies. She has been involved as a project coordinator and/or researcher in a number of projects financed by the European Union, World Bank, Department for International Development and Swiss Agency for Development and Cooperation.