

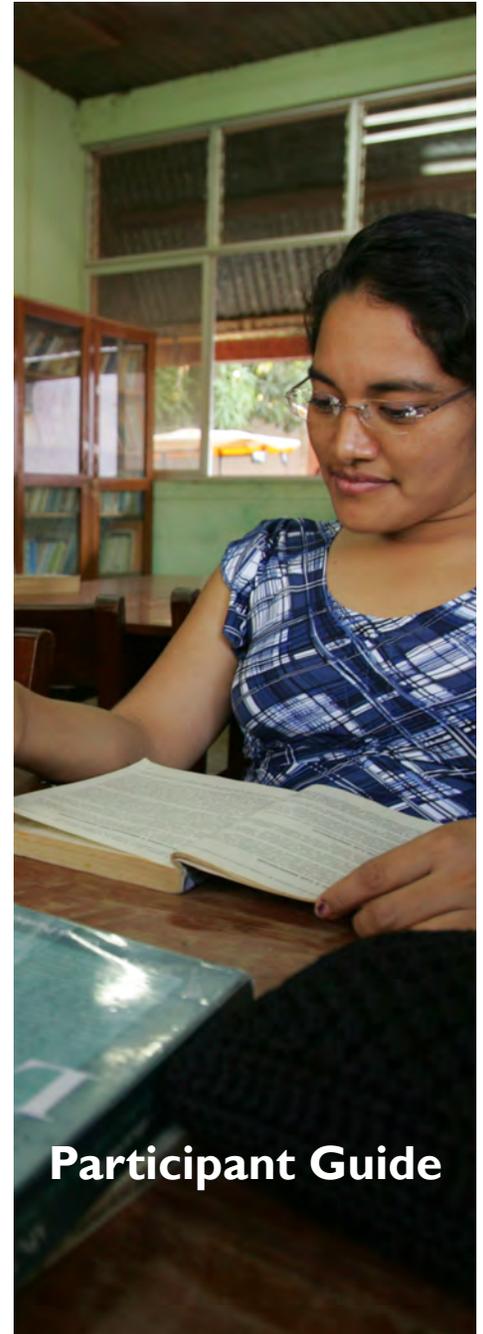


USAID
FROM THE AMERICAN PEOPLE



Dedicated To Increasing Equitable Access To
Education In Areas Affected By Crisis And Conflict

ESSENTIALS FOR EDUCATION IN CRISIS & CONFLICT



Participant Guide

May 1–3, 2017
Washington, DC

WELCOME

Warm greetings from Washington, D.C.!

It is my pleasure to introduce the course “Essentials for Education in Crisis and Conflict.” The Education in Crisis and Conflict Network (ECCN) team has created a learning experience especially for USAID education staff to effectively face the challenges related to the design, monitoring, and management of education projects in crisis- and conflict-affected environments.

Under its 2011-2015 Education Strategy, USAID provided a total of 11.8 million individual children and youth (5.6m female, 6.2m male) with equitable access to education in crisis and conflict environments through programming designed to improve or establish safe, quality education. This number includes increased access to education for 2.4 million who were previously out-of-school (1.1m female, 1.3m male). However, we know that in far too many contexts, children and young people are still unable to receive a safe, quality education.

We developed this course in response to your feedback and your request for specialized professional development opportunities. In this course, you'll discuss the latest thinking on how to incorporate flexible theories of change, education equity, safer learning environments, collaboration with host country institutions, Rapid Education Risk Analyses, and adaptive management into country program strategies. You'll learn how to build adaptability into your programs right from the beginning so that more children can receive an education.

Over the course of the 2011-2015 Education Strategy, USAID supported 91 Education in Crisis and Conflict (EICC) programs across 22 countries. The work of the ECCN community is critical to achieving the ambitious priorities of the USAID Education Strategy and the UN Sustainable Development Goals. We want to enable you to be successful in the dynamic environments where you work.

We hope that the principles, strategies, and tactics in the course will serve you well in your career. I encourage you to learn from one another and to share your experiences with the ECCN community as you apply what you've learned to your own country programs.

Thank you for participating in this course, and we look forward to hearing your feedback on the program.



Evelyn Rodriguez-Perez
Director, Office of Education
USAID

CONTENTS

Essentials for Education in Crisis & Conflict

Acronyms.....	2
Participant Contact List.....	3
Introduction	4
Course Description	4
Participant Eligibility and Prerequisites.....	6
Course Duration	6
Instructional Methodology	6
Structure of the Manual	7
Agenda.....	8
Day 1	8
Day 2	9
Day 3	10
Day 1	12
1.2 Key Elements in EiCC.....	12
1.3 Context Sensitivity.....	14
Key Elements Worksheet.....	16
Four Key Elements	17
1.4 Rapid Education and Risk Analysis (RERA).....	18
1.5 Applied Context Sensitivity.....	21
Day 2	25
2.1 Introduction to CLA.....	26
2.2 RERA: Articulating Findings	30
2.3 What Works? It Depends	32
Further Reading on Evidence.....	34
2.4 Theories of Change, Evidence, and Logic Models.....	35
Further reading on Theories of Change.....	39
2.5 Using Evidence to Assess a Project Theory of Change.....	40
Day 3	43
3.1 Feedback Loops for CLA	44
3.2 Implementing a Learning Agenda	61
3.3 ICT for M&E	63
3.4 Applying Course Learning.....	68
Action Plan.....	69
3.5 Evaluation	70

Acronyms

A&A – Acquisitions & Assistance

ADS – Automated Directives System (USAID)

ALP – Accelerated Learning Program

CC – Crisis and conflict

CLA – Collaborating, Learning and Adapting

ECCN – Education in Crisis and Conflict Network

EiCC – Education in Crisis and Conflict

EMIS – Education Management Information System

EO – Education Officer

FTIS – Full-Time Inclusive School

ICD – Institutional capacity development

ICT – Information Communication Technology

INEE – Inter-Agency Network for Education in Emergencies

IP – Implementing Partner

LAC – Latin America and the Caribbean

M&E – Monitoring and Evaluation

RERA – Rapid Education and Risk Analysis

Participant Contact List

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Introduction

Welcome to the course on Essentials for Education in Crisis & Conflict. This course is the outgrowth of a growing understanding that the process of designing, implementing, and evaluating education programs in areas affected by crisis and conflict requires flexibility and adaptation to complex and changing environments. This course was designed by the USAID Education in Crisis and Conflict Network (USAID ECCN) with funding from USAID.

USAID ECCN is a community of practice composed of USAID education staff, implementing partners, and others working to increase equitable access to, and improve the quality of, education in crisis- and conflict-affected environments. USAID ECCN was initiated to promote knowledge generation and sharing among practitioners, policy-makers, and researchers related to improved equitable access to education in crisis- and conflict-affected environments. This five-year initiative is meant to complement the substantial contributions of other networks, such as the Inter-Agency Network for Education in Emergencies (INEE), with a focus on supporting the community of practice working to shape and implement USAID's assistance to education in crisis- and conflict-affected environments.

Any USAID staff, practitioner or researcher working on a USAID education initiative in a crisis- or conflict-affected environment may be a member of USAID ECCN. Current USAID countries affected by crisis and conflict include Afghanistan, Burma, Democratic Republic of Congo, Dominican Republic, El Salvador, Guatemala, Haiti, Honduras, Kenya, Lebanon, Liberia, Mali, Nicaragua, Nigeria, Pakistan, Philippines, Somalia, South Sudan, and the West Bank and Gaza. USAID ECCN especially seeks to foster field-based dialogue and knowledge-generation.

COURSE DESCRIPTION

This three-day course offers USAID education staff the opportunity to gain and apply knowledge and skills to better design, procure, manage, and evaluate education programs for the unique challenges of conflict- and crisis-affected contexts — including situations of high levels of violence, lawlessness, and high disaster risk. The course's case studies will place priority on Latin America and the Caribbean (LAC), but will also address key issues from other conflict and crisis contexts. This highly participatory course will foster ample opportunities for participants to offer and exchange their expertise, experience, and particular challenges from their own contexts.

COURSE GOALS

At the end of this course, you will be able to:

1. Identify the unique characteristics and challenges of education programs in conflict and crisis contexts, particularly in Latin America and the Caribbean.
2. Manage, procure, and oversee a Rapid Education and Risk Analysis (RERA).
3. Adapt principles of conflict sensitivity to education program design and management to the LAC context (e.g., gang activity, risk of violence, natural disasters), and other contexts.
4. Assess education program design using evidence-based theories of change for key challenges of education in Latin America and the Caribbean, including equity, safety, social-emotional learning, and local institutional capacity building.
5. Develop indicators, feedback loops and monitoring and evaluation (M&E) plans for projects and activities using a Collaboration, Learning and Adapting framework.
6. Identify appropriate grant or contract mechanisms that provide flexibility and adaptation for an education program in crisis- and conflict-affected environments.



Basic Course Elements

PARTICIPANT ELIGIBILITY AND PREREQUISITES

The course was designed for USAID Education Officers (EO); Washington-based education officers, Foreign Service Officers; USA-based education officers working overseas, Foreign Service Nationals; local USAID hires in crisis/conflict affected regions; and Implementing Partners (IPs). The course was designed to be highly interactive and will extensively draw upon the participant's USAID work experience.



COURSE DURATION

The course is three days long. The day's activities take between seven and eight hours, including an hour for lunch and two 15-minute breaks.

INSTRUCTIONAL METHODOLOGY

This course utilizes an instructional approach that aligns with the principles of experiential learning. That is, you will engage with questions commonly faced by design teams as well as with pieces of a program design process that normally take many months to over a year to complete.

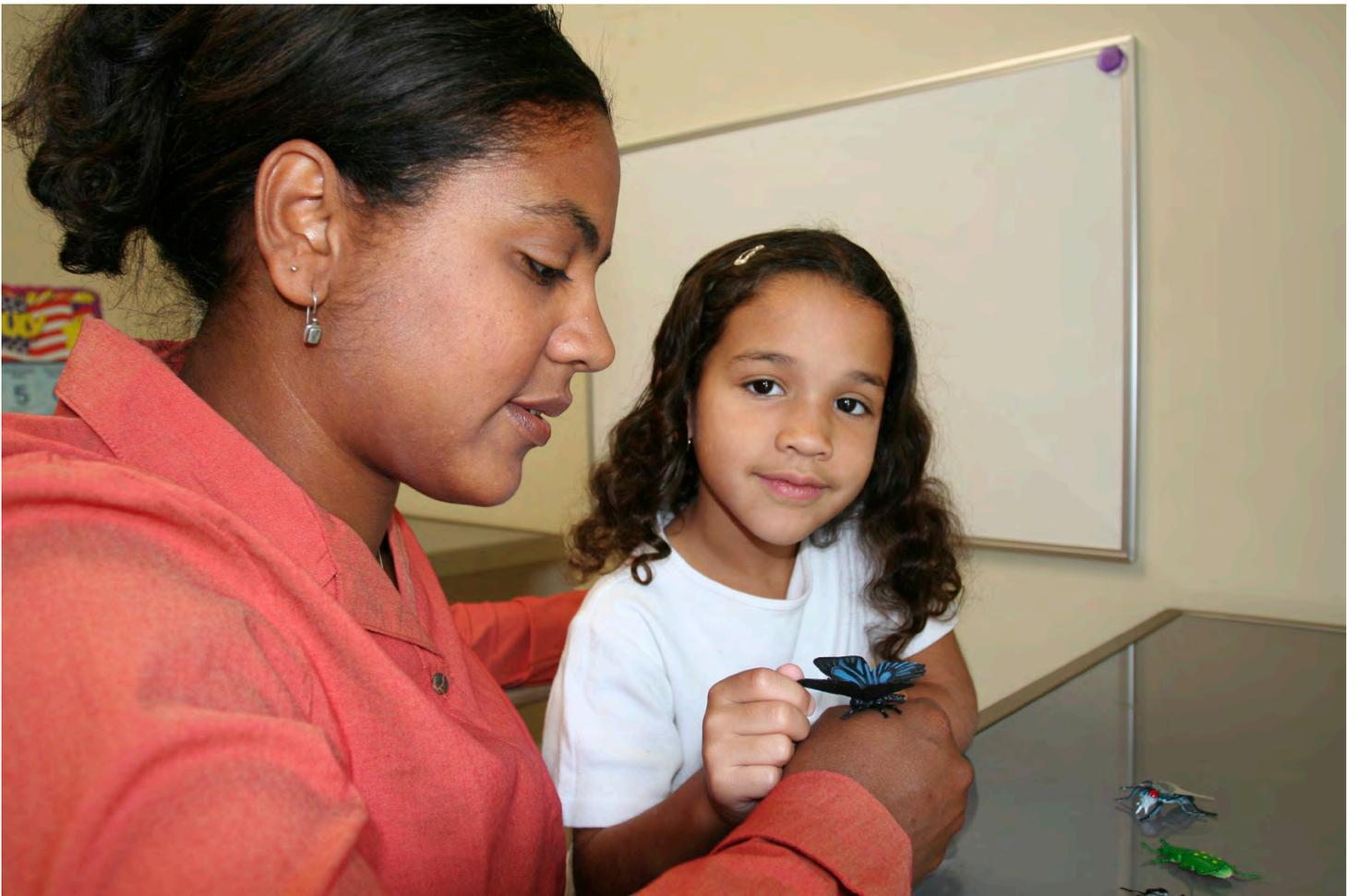
All instructor-led content will be shared using PowerPoint slides, while participant-led activities will use a combination of PowerPoint slides, flip charts, and cards.

There is no formal testing in this training; instead, you will receive feedback throughout the course from facilitators and peers. This serves as a form of performance evaluation. An end-session self-assessment questionnaire, which has considerable overlap with the pre-course questionnaire, is also included for the purpose of evaluating participants' perception of the course's value. Such assessments provide valuable feedback to the facilitators and can be used to improve the course for the next iteration.

STRUCTURE OF THE MANUAL

Each of the sessions will be detailed out in the following manner:

- ▶ **Session Objective:** A statement about what the participants will have learned by the end of each session.
- ▶ **Presenter:** The person presenting the activity
- ▶ **Activity:** Type of activity
- ▶ **Estimated time:** Duration of session
- ▶ **Resources needed:** Resources and materials needed for each session
- ▶ **Activity Description:** A short summary of the activity
- ▶ **Slides:** PowerPoint slides will accompany some sessions



AGENDA
Day One

DAY I	DESCRIPTION
9:00 am – 9:30 am	I.1 Welcome and Introductions
9:30 am – 10:45 am	<p>I.2 Key Elements in Education in Crisis and Conflict (EiCC)</p> <p>This session consists of an introduction to USAID's Education Strategy and an in-depth look at crisis- and conflict-related concepts and their relationship to education. Concepts include:</p> <ul style="list-style-type: none"> • Equity • Safety • Service delivery • Local institutional capacity development
10:15 am – 10:30 am	Break
10:30 am – 12:15 pm	<p>I.3 Context Sensitivity</p> <p>This activity contains three separate parts given by three different presenters.</p> <p>Part 1 - Conflict Sensitive Education - Cornelia Janke</p> <p>Part 2 - Crisis/Conflict Context - Jim Rogan</p> <p>Part 3 - USAID's Key Elements discussion activity - Nina Papadopoulos</p>
12:15 pm – 1:15 pm	Lunch
1:15 pm – 2:45 pm	<p>I.4 Rapid Education and Risk Analysis (RERA)</p> <p>Participants will be introduced to the rationale for a RERA, its key elements, importance, and the role of the Education Officer in procuring and overseeing a RERA.</p>
2:45 pm – 3:00 pm	Break
3:00 pm – 5:30 pm	<p>I.5 Applied Context Sensitivity</p> <p>Participants will use tools and resources related to conflict sensitivity, adjusted for use in LAC contexts.</p> <p>Tools and Resources:</p> <ul style="list-style-type: none"> • El Salvador RERA report • USAID Conflict Sensitivity checklist • INEE Conflict Sensitive Education Reflection Tool

Day Two

DAY 2	DESCRIPTION
9:00 am – 10:15 am	<p>2.1 Introduction to CLA</p> <p>A local specialist will introduce the principles of USAID's CLA approach, drawing from examples of successful implementation. CLA requirements in the USAID Automated Directives System (ADS) guidance will be discussed.</p>
10:15 am – 11:15 am	<p>2.2 Flexible A&A Mechanisms</p> <p>A specialist from USAID's Acquisitions & Assistance (A&A) office will deliver a presentation on mechanisms available to USAID that are conducive to the CLA approach. Illustrative examples will be shared.</p>
11:15 am – 11:30 am	<p>Break</p>
11:30 am – 12:45 pm	<p>2.3 What Works? It Depends</p> <p>A USAID ECCN specialist will provide a critical overview review of sources of current evidence on what has worked for education programming in crisis and conflict contexts.</p> <p>Participants will be introduced to bodies of knowledge and shown how to navigate them in order to most effectively use evidence in their own contexts</p>
12:45 pm – 1:45 pm	<p>Lunch</p>
1:45 pm – 3:15 pm	<p>2.4 Theories of Change, Evidence, and Logic Models</p> <p>Participants will work in small groups on an actual case from the LAC region. They will receive a project description from which they will represent the project theory of change in the form of a logic model.</p>
3:15 pm – 3:30 pm	<p>Break</p>
3:30 pm – 5:30 pm	<p>2.5 Using Evidence to Assess a Project Theory of Change</p> <p>Participants will identify evidence to support, modify or reject elements of a particular theory of change, describe the learning agenda for project implementation, and prepare and present findings</p>

AGENDA
Day Three

DAY 3	DESCRIPTION
9:30 am – 11:00 am	<p>3.1 Feedback Loops for CLA</p> <p>A local specialist from the US Global Development Lab will explore the characteristics of effective feedback systems in program design and management. Real examples from the field will be given and participants will work in small groups to design feedback systems that are context-sensitive, feasible, and based on the evidence of best practice alluded to in Days 1 and 2.</p>
11:00 am – 11:15 am	<p>Break</p>
11:15 am – 12:45 pm	<p>3.2 Implementing a Learning Agenda</p> <p>Groups will review key assumptions and questions linking outputs to outcomes, identify outcome indicators and define the feedback loop cycle for a Project Learning Agenda</p>
12:45 pm – 1:45 pm	<p>Lunch</p>
1:45 pm – 3:15 pm	<p>3.3 ICT for M&E</p> <p>Presenters will showcase innovative use of Information Communication Technology (ICT) and current practices in monitoring/evaluating for CLA and remote monitoring in areas that are not accessible due to crisis or security concerns.</p>
3:15 pm – 3:30 pm	<p>Break</p>
3:30 pm – 4:30 pm	<p>3.4 Applying Course Learning</p> <p>Participants will review the course principles and create a plan for applying their learning to their own duty stations. Small, achievable steps will be encouraged and facilitators will give feedback and guidance on the action plans.</p>
4:30 pm – 5:00 pm	<p>3.5 Evaluation</p> <p>Participants will fill out evaluations on course and instructors, and they will report their confidence level on selected competencies and skillsets. There will be time for unstructured discussion with facilitators afterward.</p>



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DAY ONE



DAY ONE

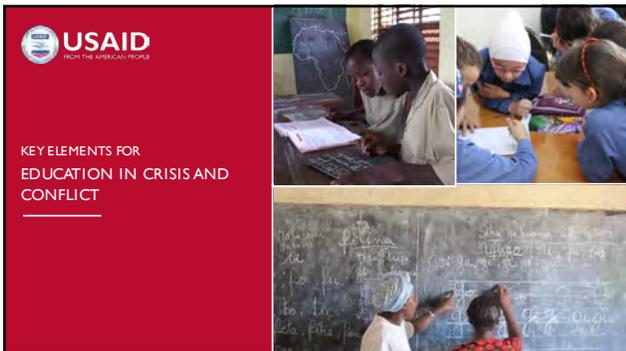
1.1 Welcome and Introductions

Session Objective:	Participants will be oriented to the course, and introduced to USAID, ECCN, and their peers.
Presenter:	All facilitators
Activity:	Whole group sharing
Estimated time:	30 minutes
Resources needed:	None
Activity Description:	Participants will be introduced to USAID, USAID ECCN, and will be given a brief overview of the course. They will be asked to introduce themselves, describe their contexts, challenges, and expectations for the course.

1.2 Key Elements in EiCC

Session Objective:	Participants will be able to articulate concepts within USAID's Education Strategy.
Presenter:	Nina Papadopoulos
Activity:	Small group work
Estimated time:	1 hour 15 minutes
Resources needed:	None
Activity Description:	This session consists of an introduction to USAID's Education Strategy and an in-depth look at crisis- and conflict-related elements and their relationship to education. Groups will view the following terms: <ul style="list-style-type: none">▶ Equity▶ Safety▶ Institutional capacity development▶ Basic education service delivery

NOTE that more in-depth discussion of these four elements will occur in the following session.



OBJECTIVE

- Articulate how education is impacted by crisis, conflict, and, in the case of the LAC region, violence
- Learn about and explain the relationship between key elements for crisis and conflict including: service provision, equity, safety, institutional capacity



WHAT HAPPENS TO EDUCATION WHEN A CRISIS HAPPENS?

Education System	Impact
State	Weak capacity / capability to respond Diminished budget allocation Limited or no political will
Educators	Experienced or witnessed traumatic events Not available due to migration or hired to support emergency response efforts Stressed to take care of family, cope with crisis Alternatively qualified educators may be providing instruction
Learners	Experienced or witnessed traumatic events Increased exposure to violence in the home, community and classroom Interruption of education → lost months/years of schools School curriculum not relevant Discrimination or exclusion
Parents / Communities	Opportunity cost of education increased (demand for children to contribute to family livelihoods which have been destroyed) Social fabric damaged (distrust, fear of retribution/retaliation, etc.) Social contract broken between State-Community for education services
Infrastructure	Damaged or destroyed classrooms, furniture and learning materials Routes to/from school unsafe

WHY EICC?

- Why does USAID fund education programs in EICC environments?
- Why is it important that USAID staff and education staff in particular understand how to operate in crisis and conflict contexts?

USAID 2011 EDUCATION STRATEGY

Education in Crisis and Conflict Goal

Increased equitable access to education in crisis and conflict environments for 15 million learners by 2015

Our crisis and conflict goal remains focused on **access for out-of-school children and youth**, but we expect it to be broadened to include other important educational outcomes.



Crisis and Conflict Definitions

Context	Acute	Protracted
Crisis-affected	Natural disasters Health epidemics	Climate vulnerabilities Lawlessness, violence, crime and gang activity
Conflict-affected	Active armed conflict: A contested incompatibility that concerns government and/or territory where the use of armed force between two parties, of which at least one is the government of a state results in at least 25 battle-related fatalities in one calendar year (Wallensteen & Sollenberg, 2001)	Post conflict: Where active conflict terminated within the past 10 years

4 Key Elements for EICC Programming

- ✓ Delivering services
- ✓ Increasing Equity
- ✓ Strengthening institutional capacity
- ✓ Increasing Safety

1.3 Context Sensitivity

Session Objective:	<p>Participants will be able to identify key characteristics of conflict and crisis environments and how they are distinct from more stable development situations. Learners will be able to:</p> <ul style="list-style-type: none"> ▶ Identify why conflict-sensitive education (CSE) is important ▶ Identify when, where, and for whom conflict-sensitive education is relevant ▶ Define the three elements of conflict-sensitive education ▶ Apply a conflict-sensitive lens to USAID’s four key elements for programming in EiCC
Presenter:	Cornelia Janke, Jim Rogan, Nina Papadopoulos
Activity:	Presentation, small group sharing, and report-out
Estimated time:	1 hour 30 minutes
Resources needed:	None
Activity Description:	<p>This activity contains three separate parts given by three different presenters.</p> <p>Part 1 – Conflict Sensitive Education – Cornelia Janke (20 minutes)</p> <p>Part 2 – Crisis/Conflict Context – Jim Rogan (40 minutes)</p> <p>Part 3 – USAID’s Key Elements Discussion Activity – Nina Papadopoulos (45 minutes)</p>



Conflict Sensitive Education

Session Learning Objectives

By the end of this session learners will be able to:

- Identify why conflict sensitive education is important
- Identify when, where and for whom conflict sensitive education is relevant
- Define the 3 elements of conflict sensitive education
- Apply elements of conflict sensitive education to education programming

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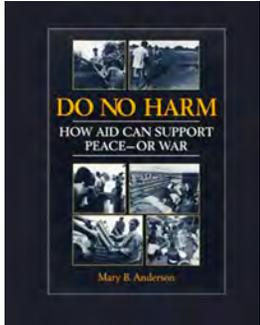
WHY IS CONFLICT SENSITIVE EDUCATION IMPORTANT?

4/17/17

Why is Conflict Sensitive Education Important?

1. Conflict, risk and crisis contexts affect education
2. Education affects the conflict, risk or crisis context
3. Education professionals affect education

...DO NO HARM!



4/17/17

RISK, CRISIS, AND CONFLICT AFFECT EDUCATION

- Impair state ability to deliver education services (disrupt schooling)
- Jeopardize safety en route to and within schools
- Can lead to discrimination in education provision to cause decreased trust in education system

.....In summary, they lead to **decreased education access, quality, demand and supply**

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Education affects risk, conflict, and crisis

Positive Influences

Negative Influences

- Increase social cohesion
 1. Bring different groups together to build shared identity/values; tolerance of difference within these
 2. Encourage citizen investment in/ownership of the what and how of education
 3. Increase human capital of future citizens, promotes development which promotes stability
- Increase citizen trust in State
- Provide safety and normalcy in unstable situations

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Positive Influences | Negative Influences

Education affects risk, conflict, and crisis



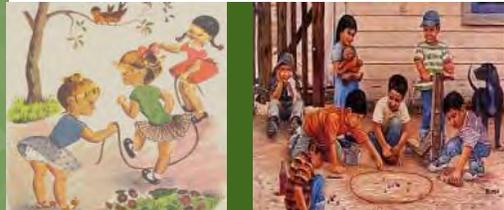
Inequitable educational access or quality can exacerbate underlying social tensions among groups

4/17/17

Positive Influences | Negative Influences

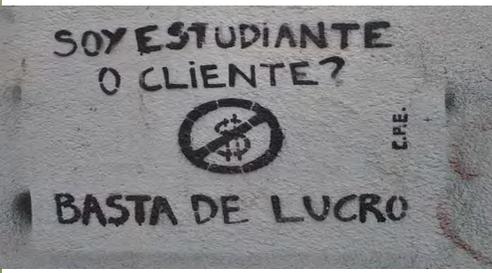
Education affects risk, conflict, and crisis

Biased curriculum or instruction may reinforce stereotypes



Positive Influences | Negative Influences

Education affects risk, conflict, and crisis



Corruption or misguided interventions may exacerbate grievances

17/17

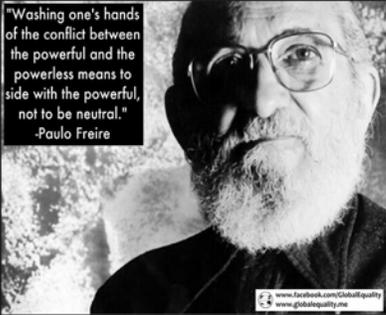
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EDUCATION IS NOT NEUTRAL

- It influences **power and resources** — who has them, who doesn't
- It influences **trust** — among groups and between state and citizens
- It influences **social norms and values**

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"Washing one's hands of the conflict between the powerful and the powerless means to side with the powerful, not to be neutral."
- Paulo Freire

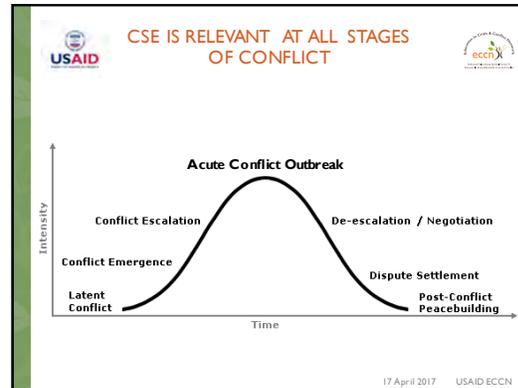


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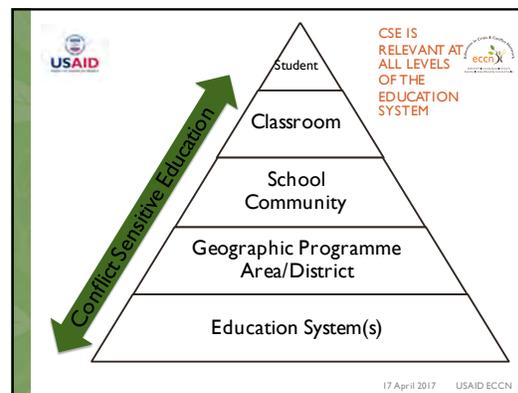
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WHEN, WHERE AND FOR WHOM IS CONFLICT SENSITIVE EDUCATION RELEVANT?

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- CSE IS RELEVANT AT ALL LEVELS OF EDUCATION**
- Preschool
 - Primary
 - Lower secondary
 - Secondary
 - Tertiary
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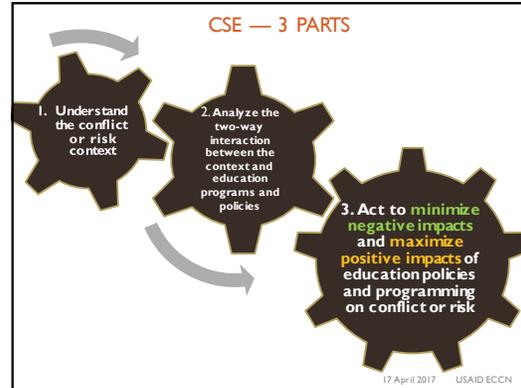


- CSE IS RELEVANT IN PHASES OF PROGRAMMING**
- Design
 - Funding
 - Implementation
 - Oversight
 - Evaluation
- 17 April 2017 USAID ECCN

- CSE IS RELEVANT FOR ALL EDUCATION STAKEHOLDERS**
- Teachers
 - School Administrators
 - District, Regional, Provincial or State Education Officers
 - Central MOE Officers
 - Local and International Implementing Partner Representatives
 - Local and International Researchers
 - Local and International Program Designers
 - Local and International Policy Makers
 - Your team, partners, organization
 - ...YOU!
- 17 April 2017 USAID ECCN

WHAT ARE THE ELEMENTS OF CONFLICT SENSITIVE EDUCATION?

4/17/17



APPLYING CSE TO PROGRAMMING

4/17/17

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APPLYING CSE TO PROGRAMMING

PART I:

UNDERSTANDING THE CONTEXT

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Education in Crisis & Conflict Alliance ecch

Understand's Learning for All Access to Education & Assessments by Crisis Area Guides

UNDERSTANDING CONFLICT AND CRISIS CONTEXTS

James Rogn
ECCN

Essentials for Education in Crisis and Conflict



**CONFLICT AND VIOLENCE
KEY FEATURES**

- Increased mortality rates, public **health** problems
- Destroyed, damaged **infrastructure**
- Reduced **economy**, livelihoods, income
- Displacement**, migration, capital flight
- Inequalities** and **marginalization**
- Loss of social capital, cohesion—rise of **fear, mistrust**
- Transnational, organized **crime**

**CONFLICT AND VIOLENCE
KEY FEATURES**

- Low state **legitimacy**
- Low state **capacity**
- Political **instability**
- Strained or broken **social compact**
- Non-sovereign **territories**
- Spillover into the **neighborhood**

DISASTERS AND HEALTH EMERGENCIES



**DISASTERS AND HEALTH EMERGENCIES
KEY FEATURES**

- Poor** most vulnerable (location, resilience)
- Mortality**, health concerns, disease
- Damaged **infrastructure**
- Displacement** and child protection issues
- Interrupted access to **services**
- Often **greater state capacity**
- Political strains** if legitimacy and response in question

LANDSCAPE OF ACTORS







COUNTRY PLANNING AND COORDINATION

- National plans and strategies
- PCNA
- PDNA
- Cluster system (Education Cluster)
- Transition Plans
- Common Humanitarian Funds
- Humanitarian Action Plan
- Pooled fund(s)
- New Deal Compact
- PRSP
- Peacebuilding Priority Plan
- UN Mission Integrated Strategic Framework
- UN Country Assistance Framework and Country Programmes
- Regional Development Bank Country Strategies
- EU Country Strategy




IN SUMMARY

Typically **high risk**

Always **multiple** risks

Dynamic, complex, uncertain

Fragmentation and **proliferation**

KEY ELEMENTS WORKSHEET

My key element:

1. DEFINITION:

2. WHY IT IS IMPORTANT FOR EICC PROGRAMS:

3. EXAMPLES OF HOW THAT ELEMENT MANIFESTS IN A USAID EDUCATION PROGRAM:

FOUR KEY ELEMENTS WORKSHEET

<p>Equity</p>	<p>Safety</p>
<p>Institutional Capacity Development</p>	<p>Service Delivery</p>

1.4 Rapid Education and Risk Analysis (RERA)

Session Objective:	Participants will be able to take key steps in procuring and overseeing a RERA.
Presenter:	Jim Rogan
Activity:	Reflection activity
Estimated time:	1 hour 30 minutes
Resources needed:	None
Activity Description:	Participants will be introduced to the rationale for a RERA, its key elements, importance, and the role of the Education Officer in procuring and overseeing a RERA.




PROCURING, OVERSEEING AND MANAGING A RAPID EDUCATION AND RISK ANALYSIS (RERA)



James Rogan
 ECCN
 May 2017
 Essentials for Education in Crisis and Conflict




GROUP WORK

At your tables, answer the following question:

How has/could natural hazards (disasters), conflict, violence, health emergencies, famine, political instability influence each other?

Example: An earthquake has increased/can increase the risk of violence, because.... (provide example or evidence if possible)

Example: Violence has increased/can increase the impact of a [disaster] because...

Nominate a rapporteur, list answers on flip charts. (30 min)
Share answers with full group (20 min)




RERA RATIONALE

Conflict and crisis contexts are:

- **high risk, multiple risk, dynamic and uncertain**

Must understand:

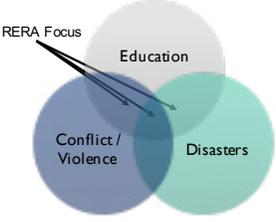
- **political-economic context** of education
- **causes, dynamics** of risks
- **how risks interact**
- **two-way interaction** between education and risks

Education is inherent to these contexts

No middle ground: we increase or reduce risk

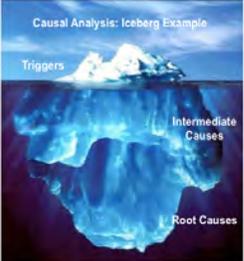



RERA FOCUS






CONFLICT ROOT CAUSE ANALYSIS: ICEBERG EXAMPLE






RERA OVERVIEW

Rapid and "good enough" situation analysis (2-3 weeks' fieldwork)

Integrates education assessment, conflict analysis, disaster risk assessment, resilience analysis

Implemented by Implementing Partners (and national partners)

Audiences: USAID, Implementing Partner(s), national, international partners

Data collection, analysis: desk review and limited primary

**Should not duplicate existing reports

WHY RISK?

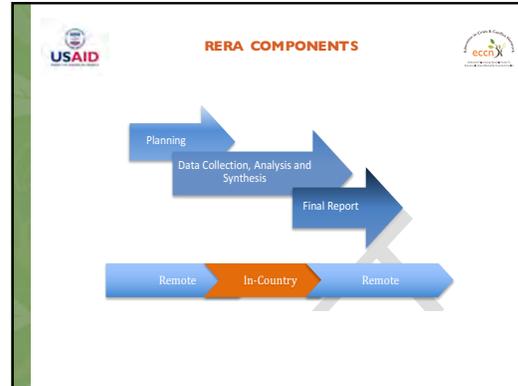
Risk =

- Possibility something harmful or undesirable may happen
- Likelihood (Probability) x Severity (Impact)

Contextual risks (conflict, violence, hazards, etc.)

Advantages:

- more aware and informed about complex contexts
- think holistically (looking at all risks)
- better identify and understand assets and capacities
- recognize that contextual risk is never eliminated
- identify opportunities for prevention and mitigation
- see the relationship between risk and resilience



RERA COMPONENTS

Planning

- Procuring the RERA
- Recruiting the RERA Team
- Collaboratively setting the parameters for the RERA
- Identifying data sources, informants, stakeholders

Data collection, analysis and synthesis

- Conducting preliminary desk review
- Adapting and defining research questions
- Primary data collection in the field (KIIs, FGDs)
- Early synthesis discussions on emerging conclusions

Drafting the Final Report

- Crafting headline conclusions and actionable recommendations
- Holding validation/consultation meeting with partners

RERA PROCUREMENT

Mission procured **outside of activity (separate award)**

Mission required **within activity (integrated award)**

WHEN TO DO A RERA

Program Level

- Pre-design to inform CDCS

Activity Level

- Post-award
- Mid-activity, evaluation, rolling

Change in context

- Sudden onset disaster
- Escalation of violence
- Surge in displacement
- Coup

Any development setting

ADAPTING THE RERA

Minimal

- Desk review
- Remote primary data collection (e.g. mobile survey)

Small

- Desk review
- Limited primary data collection in capital (KIIs, FGDs)

Medium

- Desk review
- Limited primary data collection sample (KIIs, FGDs)
- Integrated into rolling analysis

Larger

- Desk review
- Open-ended primary data collection sample (KIIs, FGDs)
- Integrated into rolling analysis



RERA ANALYSIS TEAM

Size

- Minimum of 3-5 consultants (team leader, experts, local consultants)
- Can contract enumerators

Expertise

- Sector/Thematic:** education assessment, conflict analysis, disaster risk assessment, resilience analysis, violence
- Functional:** research, program management, community development, strategic planning, facilitation

MINIMUM: one education expert, one risk expert



CONFLICT SENSITIVITY: RERA EXAMPLES

RERA Team: Self-Assessment

- Composition (identity, gender, localism, language)
- Bias and prejudice
- Knowledge of context (and conflict)
- Collaborative, cohesive working approach
- Experience in sensitive facilitation

RERA Process and Methodology

- Research questions
- FGD and KII planning, protocols
- Collaboration and participation (relationships)
- Data disaggregation (identity groups)



EDUCATION OFFICER (EO) ROLE

**Key Areas of Engagement
for USAID Education Staff**



EDUCATION STAFF ROLE

Whether procured separately or implemented within an activity

Your proactive engagement is key for quality and buy-in



EDUCATION STAFF ROLE: RERA PARAMETERS

Why: Know early what you need to know (Final Report)

What: Main risks, education level, conceptual framework

Where: Geographic focus

How: Secondary, primary data collection approaches

Who: Key stakeholders and informants



EDUCATION STAFF ROLE: KEY STAKEHOLDER MEETINGS

Official **introductory/entrée letters** to key partners

Orchestration of national level meetings with strategic partners—inception briefings and validation meetings

Guidance on coordinating primary data collection at school community level (locations, partners)

USAID internal briefings: start-up and close of mission, leadership and other sections



**EDUCATION STAFF ROLE:
FINAL REPORT**

Establish RERA **Final Report** outline early

Be clear with the RERA Team about their **audience**

Stress **synthesized, headline** conclusions and recommendations

Emphasize “**lenses**” to use in analysis and synthesis

The report is not the goal—consider next steps on **linking findings to USAID programming**

RISK INTERACTION ACTIVITY WORKSHEET

1.

_____ increases/decreases the risk of _____

because _____

2.

_____ increases/decreases the risk of _____

because _____

3.

_____ increases/decreases the risk of _____

because _____

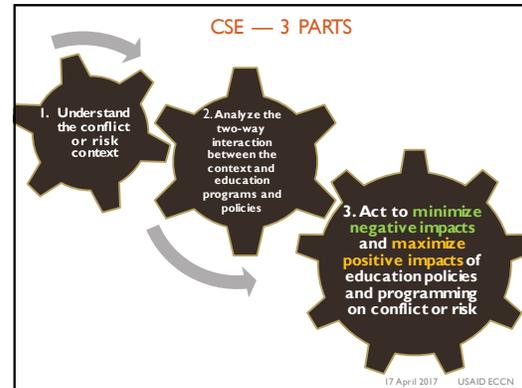
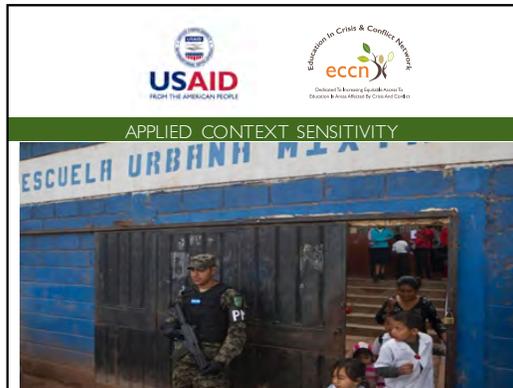
4.

_____ increases/decreases the risk of _____

because _____

1.5 Applied Context Sensitivity

Session Objective:	Participants will apply the principles of conflict sensitivity to the unique situations in LAC contexts, including, for example, high levels of criminal and gang violence, high disaster risk, political instability, and in some cases, post-conflict situations.
Presenter:	Cornelia Janke and Jim Rogan
Activity:	USAID’s Conflict Sensitivity Checklist, INEE reflection tool, El Salvador RERA report
Estimated time:	2 hours 30 minutes
Resources needed:	USAID’s conflict sensitivity checklist, INEE reflection tool, El Salvador RERA report
Activity Description:	<p>Participants will learn about conflict sensitivity in the LAC region for “context sensitivity” to avoid worsening contextual risk factors and doing harm in program design, management, and evaluation.</p> <p>Facilitators will introduce various tools for assessing and considering conflict sensitivity and participants will have a chance to apply these tools to their own context.</p>



APPLYING CSE TO PROGRAMMING

PART 3:

**MINIMIZING EDUCATION'S NEGATIVE IMPACTS AND
MAXIMIZING ITS POSITIVE IMPACTS THROUGH CONFLICT
SENSITIVE PROGRAMMING**

17 April 2017 USAID ECCN

**APPLYING CSE TO
PROGRAMMING**

- Review the El Salvador RERA Executive Summary
 - What is/are the main risk(s) identified by the study?
 - Which education stakeholders are affected by these risks and how?
 - What are the main recommendations?

17 April 2017 USAID ECCN

**CONFLICT AND RISK SENSITIVE PROGRAMMING CASE STUDY:
EDUCATION FOR CHILDREN AND YOUTH IN EL SALVADOR (ECY)**

PROJECT SUMMARY

- **Dates:** 2013-2015
- **Geographic Coverage:** 25 High Violence Municipalities
- **Purpose:** Improve educational opportunities for in and out of school children and youth (ages 12-24) in targeted municipalities with high crime rates
- **Goal:** Increase equitable access to education that provides productive life choices for youth in violence-affected areas

17 April 2017 USAID ECCN

**CASE STUDY: EDUCATION FOR CHILDREN AND YOUTH IN EL
SALVADOR (ECY)**

PROJECT SUMMARY CONT'D

- **Objective 1:** Sustain improved educational outcomes for lower secondary school students
 - Result 1: Expand the Full Time Inclusive School Approach
 - Result 2: Strengthen Safe Learning Environments
 - Result 3: Provide Innovative Education Incentives/Scholarships
 - Result 4: Develop a fully operational monitoring system
- **Objective 2:** Increase access to educational opportunities for out of school youth
 - Result 1: Assist out of school youth to return to formal schooling or complete lower secondary diploma
 - Result 2: Engage out of school youth in community based skills training programs
 - Result 3: Provide innovative incentives/scholarships to out of school youth

17 April 2017 USAID ECCN

CSE CASE STUDY: USAID EDUCATION FOR CHILDREN AND YOUTH IN EL SALVADOR (ECY)

INSTRUCTIONS

In your small groups:

- Review the ECY Program Description (either objective 1 or 2)
- Using assigned questions, critically reflect upon the conflict/risk sensitivity of the ECY Project's design and record your reflections on flip chart paper
- Review USAID and INEE Tools and select 3-5 questions that you'd like to ask ECY program implementers

• Together:

- Discuss reflections and assigned questions (40 min)

4/17/17

CONFLICT AND RISK SENSITIVE PROGRAMMING QUESTIONS

1. What does the target population gain by our activities?
2. What might be the unintended negative consequences of our activities for people's security or future well-being?
3. Do the activities take into consideration possible threats or risks facing the targeted population?
4. Do the activities discriminate against any group or might they be perceived as doing so? Do the activities protect the rights of people who have historically been marginalized or discriminated against?

17 April 2017 USAID ECCN

CONFLICT AND RISK SENSITIVE PROGRAMMING QUESTIONS

5. In protecting and promoting the rights of vulnerable groups, what will be the impact on the relationships within and beyond the community?
6. Could the activities exacerbate existing divisions in the community or between neighboring communities?
7. Could the activities inadvertently empower or strengthen the position of armed groups or other actors?
8. Could the activities be subject to criminal exploitation?

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CONFLICT AND RISK SENSITIVE PROGRAMMING TOOLS

INEE CONFLICT SENSITIVE EDUCATION PACK

- Guiding Principles**
To raise awareness and adopt as standards of practice
- Guidance Note**
To build capacity on key concepts and strategies
- Reflection Tool**
To assess, monitor or evaluate a programme.

CHECKLIST FOR CONFLICT SENSITIVITY IN EDUCATION PROGRAMS

<http://www.ineesite.org/en/conflict-sensitive-education>

NOVEMBER 2013
This document was produced for review by the United States Agency for International Development. It does not represent the views of USAID or the United States Government. For more information, visit www.ineesite.org

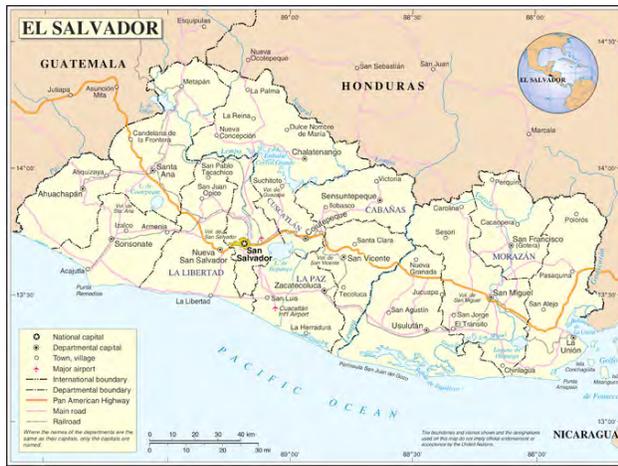
APPLYING CONFLICT AND RISK SENSITIVE PROGRAMMING TOOLS

INSTRUCTIONS

- In your small groups, refer to the INEE CSE Reflection Tool and the USAID CS Checklist
- Using one or both tools as a resource, select up to 3 questions that you'd like to ask the IP of the ECY program (20 min)
- Groups report out about their answers to the reflection questions and the 3 top questions they'd want to ask the IP to pursue (20 min)

4/17/17

EXECUTIVE SUMMARY



As its name implies, the Rapid Education and Risk Analysis (RERA) process is designed to provide USAID program planners and managers with a fast and “good enough” situation analysis of the interactions between education and the multiple risks that may exist in any given crisis and/or conflict affected environment, so that such contextual information can inform Mission policy and programming.¹ The USAID Mission to El Salvador and the USAID Goal 3 Education Team in Washington asked the USAID Education in Conflict and Crisis Network (ECCN) to conduct a customized RERA in El Salvador. The in-country implementation of the RERA El Salvador took place on March 9–18, 2016.

The analysis focused on risks associated with gang violence, general insecurity and, to a lesser extent, natural disasters, and their interaction with different aspects of the education sector, such as schools, education staff, learners, families, and school communities. The RERA El Salvador was a qualitative situation analysis, which combined secondary data and key informant interviews at the national level with primary data from a limited, purposive sample of school communities in nine high-risk municipalities: Ciudad Delgado, Ilobasco, Sonsonate, Soyapango, Lourdes, Puerto la Libertad, Ciudad Arce, Ilopango, and El Congo. Primary research was guided by a community and youth resilience approach.

¹ The rapid nature of RERA’s approach requires making deliberate trade-offs between speed and rigor. The RERA is not research, but rather a specific type of qualitative situation analysis that can inform decisions about strategy and programming.

“Es un delito ser joven.” (“Being young is a crime.”)

—Student

“Teachers are between a rock and a hard place about who should provide security—the police or the gangs themselves.”

—School teacher

ECCN’s in-country implementation of the RERA El Salvador had three objectives:

1. Give USAID/El Salvador an updated “snapshot” of the country situation and show how education interacts with key risks—gang violence, insecurity, and, to a lesser extent, natural disasters—with a focus on selected municipalities and schools
2. Gauge the relevance of current USAID programming in the selected municipalities
3. Offer lessons on the draft RERA guide, including methodology and management

EDUCATION IN CONTEXT

El Salvador is currently confronting epidemic levels of violence and a gang problem that challenges the authority of the state. Successive governments have been unable to sustainably deal with the violence and criminality, and the Salvadoran social compact is under great strain. The national crisis of violence has also overshadowed the country’s high vulnerability to natural disasters.

Within El Salvador’s climate of violent confrontation and public dissatisfaction with the government, education is one of the country’s most publicly valued institutions. Despite achieving gains in universal primary education and increased access however, the sector faces many challenges including below-average public spending on educa-

² MINED. (2015, November 26). *Observatorio MINED 2015 sobre los centros educativos públicos de El Salvador*. Retrieved from <http://simeduco.org/wp-content/uploads/2016/02/OBSERVATORIO-MINED-2015.pdf>

tion, poor and unequal learning outcomes, and a high and growing dropout rate, particularly at the secondary level. This last challenge is of particular concern with respect to its possible link to increased violence and insecurity in a subset of municipalities.

The impact of violence on education is alarming. Around 65 percent of schools are affected by gang presence; 30 percent face internal security threats from gangs.² Yet schools in the RERA sample not only face a high risk of violence and insecurity, but also the risk of natural disaster—such as earthquakes, floods, and volcanic eruptions. Understanding how school communities are managing these risks is imperative.

KEY FINDINGS AND RECOMMENDATIONS

The following are the headline findings from the limited and purposive sample of high-risk school communities. These findings are not intended to be representative of the Salvadoran education sector as a whole and may be biased towards the schools and communities sampled.

Safety

- Respondents in all schools sampled considered themselves safer inside their schools than in their external environments, but they also cited gang presence and influence over internal school affairs.
- Schools located on the “front lines” of gang territorial confrontation witnessed more insecurity than those located well within a particular gang’s territory.
- Some gang members—particularly those who are also parents in the school communities—want schools to function.
- Schools that sustain outreach and collaboration mechanisms with parents and communities appear to manage insecurity better.
- Respondents expressed diverging views as to whether the presence of police and military in and around schools improved security.
- Respondents in all schools exhibited general awareness of the school’s main disaster risks and report having carried out basic disaster preparedness measures.

Students

- Gang violence, intimidation, and territoriality constrain access to all schools in the sample and are reported as key drivers of school dropout.
- Adolescent male students are most at risk of gang violence and intimidation—including recruitment.
- Students—boys and girls—in all schools value their education and their future.
- Students in all schools judiciously adapt their behavior to be safe.
- Respondents at all schools consistently agreed that low parental support and family violence are key factors behind student dropout.

Teachers, Principals, and Curriculum

- Teachers and principals report feeling overwhelmed and under-equipped to handle the emotional needs of students, stating a need for psychosocial support.
- All principals and teacher focus groups argued that the curriculum should focus more on life skills training, social-emotional skills, and employment skills.
- Respondents argued that a positive school atmosphere plays an important role in student well-being, learning, and retention in these contexts.

Education Policy and Systems

- Implementation of education policy and programs is constrained by community insecurity.

USAID Projects

- Schools, teachers, and students value USAID-funded programs and would like more support.

RECOMMENDATIONS

The following recommendations are offered to USAID/El Salvador:

- **Review its strategy and programming** from the perspective that the school can be the most local interface between citizen and state, and that it offers a multi-sectoral platform for community change.
- **In high-risk zones, USAID should work in partnership with school-based community groups to (integrate and/or) build resilience and protective capacities**, including assisting schools to facilitate joint participatory planning processes with community stakeholders, leveraging USAID projects across sectors to support local priorities and address the risk factors, and ensure a community sensitivity and “do no harm” approach.
- **Support the Ministry of Education (MINED) to better contextualize national planning and programs to the high-risk realities**, including providing or enhancing social-emotional skills and crisis response training for teachers, management and leadership training to principals and *Consejos Directivo Escolar*, parent skills training, psychosocial support in schools, school-parent committees and strengthening the extended school hours programs under the *Escuela Integral Tiempo Pleno* (EITP) framework.
- Assist MINED to conduct an **assessment of disaster preparedness and risk reduction activities** in high risk schools, including how they are affected by violence and insecurity.
- Provide assistance to MINED to **convene a donor meeting on the issues of violence, insecurity, and education**, with the goal of developing a common approach to support the government of El Salvador.
- Support the Ministry of Justice and Public Security to **improve community policing, specifically the patrols assigned to schools**.



USAID
FROM THE AMERICAN PEOPLE



Dedicated To Increasing Equitable Access To
Education In Areas Affected By Crisis And Conflict

DAY TWO



DAY TWO

2.1 Introduction to CLA

Session Objective:	Participants will review USAID's current guidance for program design and will be able to identify principles of USAID's Collaborating, Learning and Adapting (CLA) framework.
Presenter:	Monica Matts
Estimated time:	1 hour 15 minutes
Resources needed:	CLA Handout
Activity Description:	A local specialist will introduce the principles of USAID's CLA approach, drawing from examples of successful implementation. Participants will learn the various services and tools available to them for fostering CLA in their context.



USAID's COLLABORATING, LEARNING AND ADAPTING (CLA) FRAMEWORK

—
Monica Matts
USAID, Bureau for Policy, Planning and Learning
March 7, 2017

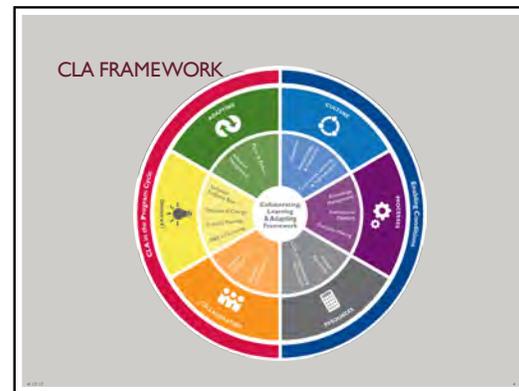
WHAT IS CLA?

- [C]** Collaborating intentionally with stakeholders to share knowledge and reduce duplication of effort
- [L]** Learning systematically by drawing on evidence from a variety of sources and taking time to reflect on implementation
- [A]** Applying learning by adapting intentionally

WHY CLA?



... and organizational effectiveness!



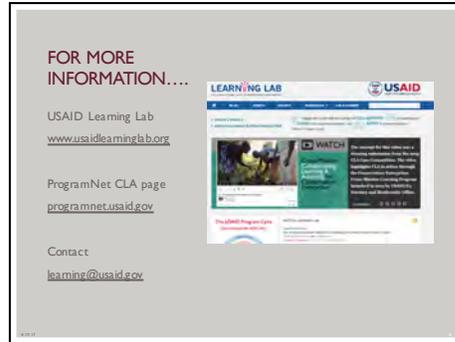
CLA MATURITY TOOL

KEY CONCEPTS

- 1. Adaptive Management
- 2. Systemic learning
- 3. Evidence-based decision-making
- 4. Focus on learning for improvement and change

CLA in ADS 201

CDCS's Monitoring, Evaluation and Learning (MEL) section should identify knowledge gaps to address via Collaborating, Learning and Adapting (CLA).
CLA plan now required in the PMP.
MEL plans now must address learning for projects and activities.
Role of the Project Manager in learning.





Although collaborating, learning, and adapting (CLA) are not new to USAID, they often do not happen regularly or systematically and are not intentionally resourced. The CLA framework above identifies components and subcomponents to help you think more deliberately about what approach to CLA might be best tailored to your organizational or project context. The framework recognizes the diversity of what CLA can look like in various organizations and projects while also giving CLA structure, clarity, and coherence across two key dimensions:

CLA in the Program Cycle: how CLA is incorporated throughout Program Cycle processes, including strategy, project, and activity design and implementation; and

Enabling Conditions: how an organization's culture, business processes, and resource allocation support CLA integration.

Organizations need both integrated CLA practices appropriate for their context and conducive enabling conditions to become stronger learning organizations capable of managing adaptively. The framework stresses the holistic and integrated nature of the various components of CLA to reinforce the principle that CLA is not a separate workstream—it should be integrated into existing processes to strengthen the discipline of development and improve aid effectiveness.



2.2 Flexible A&A Mechanisms

Session Objective:	Participants will be aware of Acquisitions & Assistance (A&A) mechanisms that can help facilitate USAID's CLA approach.
Presenter:	Stephanie Fugate and Jennifer Hanks
Estimated time:	1 hour
Resources needed:	None
Activity Description:	Specialists from USAID's A&A office will deliver a presentation on mechanisms available to USAID that are conducive to the CLA approach. Illustrative examples will be shared.



Purpose

- Provide an overview of Shock Responsive Programming
- Discuss the concept of Adaptive Management
- Identify various mechanisms that can respond to likely or emergent shocks and stressors
- Explain how Adaptive Management differs from "Crisis Modifiers"



"Shocks"

- Definition
 - external short-term deviations from long-term trends, deviations that have substantial negative effects on people's current state of well being, level of assets, livelihoods, or safety, or their ability to withstand future shocks



Shock Example

- Climate
 - Drought, flood
- Impacts
 - food price hikes, animal diseases, conflict over natural resources, food insecurity, malnutrition



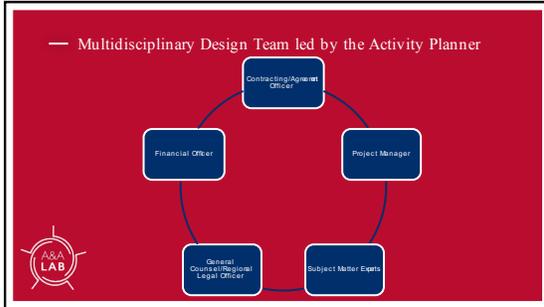

Shock Responsive Programming Terminology

- Shock Responsive Approach
 - Mitigate, Adapt To, and Recover from shocks through Flexible, Agile and Quick Response Mechanisms
- Shock Responsiveness
 - the ability to employ a full range of development and humanitarian assets in anticipation of a shock to mitigate its impact and speed recovery once conditions subside.
- Resilience
 - the ability of people, households, communities, countries and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates economic growth

Shock Response Approach Goal

The aim is to enable a seamless and integrated response from all stakeholders and funding streams where the scale and depth of the shock demand a coordinated action at scale.





— Adaptive Management

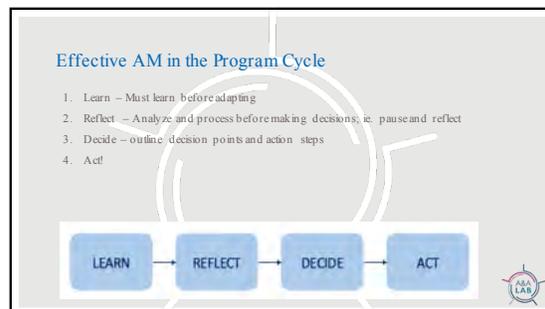


ADS 201 Program Cycle Operational Policy

Emphasizes “adaptive management” as one of the key principles of USAID’s Program Cycle.

An intentional approach to making decisions and adjustments in response to new information and changes in context (ADS 201.3.1.2)

- Why invest in Adaptive Management?
1. Project strategies and plans are static documents
 2. Lack of guidance on appropriate procurement mechanism to facilitate project success
 3. Learning and evidence are not used in a timely manner and thus less effective on ongoing implementation
 4. Continue performance monitoring for accountability purposes **AND** for learning and adaptation to make better use of data, improve impact and increase adaptability
-



Managing AM in Program Cycle

- Pause and Reflect/Refine and Implement (See Food for Peace Case)
- Formalize Process with Facilitators
- Be Flexible

Adaptive Management and CLA

- AM – most important element of CLA
- AM is the most difficult aspect of CLA
 - how do we take action/adapt?
- Set expectations
- Require AM; not an option

Shock Response vs. Crisis Modifiers

<ul style="list-style-type: none"> • Shock Response <ul style="list-style-type: none"> – respond to shocks through existing development programs that were not designed with shock responsiveness in mind – Allows for a broader set of strategies and tools – Begins in the project design phase and during implementation – Allows for quick pivots in the midst of a shock and non-emergency situations 	<ul style="list-style-type: none"> • Crisis Modifiers <ul style="list-style-type: none"> – an approach/agreement to support early responses to drought between Missions and OFDA – Funding cap of \$500,000 per event and \$1 million per year – Provide emergency funds in shock prone environments – Limited in scope and funding
--	---

Getting Started

Design and Implementation Approaches, Tools and Options:

1. Identify existing mechanisms
2. Check the language in the award
3. Review Changes Clauses
4. Modification or new activity needed
5. Begin to incorporate adaptability/flexibility in new awards
6. Flexibility may be applied at the project/component/task level

Adaptive Mechanisms & Approaches

Existing Acquisition or Assistance Mechanisms

Type: Contract, Cooperative Agreement, PIO Grants

Response Time: Could be triggered as needed and/or incorporated into the design

Appropriate: For any quick response situation

Options: Flexible Budget – Allow for authorized transfer between line items
Living Work Plan – Allow for work plan adjustments

Example: Fungible budget language modified to award

Sample language: Flexible Budget Section

"Each item is fungible and the Contracting Officer is giving authorization for transfer between line items without a formal modification. [NAME OF CONTRACTOR] will inform the COR when such a transfer occurs during the course of a tasking/assignment."



Sample language: Work Plan Section

"The work plan serves several purposes, including a guide to program implementation; a demonstration of links between activities, strategic direction, outcomes and intended results; and a basis for budget estimates. The work plans should be organized to clearly link activities to the objectives and outcomes in the Program Description. The Recipient shall ensure a collaborative process in work plan development consulting [LEAD PARTNER NAME] partners, USAID, and other relevant stakeholders in preparing the annual work plan to ensure complementarity and share ownership."



— Assistance

Response Time: Could be triggered as needed and/or incorporated into the design

Appropriate: For any quick response situation

Options: Cooperative Agreement
Phased Implementation
Single Announcement APS
Program Contribution Agreement

Example: Development Innovation Ventures (DIV) APS



— Acquisition

Response Time: Can prepare and incorporate at design phase

Appropriate: For any quick response situation

Options: - Agency-wide Blanket Purchase Agreement (BPA)
- Supplemental Technical Assistance Contract Line Item Number (CLIN)
- GSA TO - Hybrids (i.e., Time and Material/Fixed Price) with "taskings"
- Crisis Clause/Provision
DRG-LER Impact Evaluation

Example:



Acquisition

Response Time: Can prepare and incorporate at design

Appropriate: For recurrent emergencies (i.e., droughts, etc.)

Options: Recurrent Response – Fixed Price

Example: USAID/Uganda Community Connector



Acquisition

Response Time: Can be triggered in the moment or as needed and/or incorporated into your design

Appropriate: For any emergency or urgent quick response situation

Options: Verbal Request for Services Needed

Example: Oral RFPs



— Takeaways

1. Be Creative & Allow for Flexibility
2. Ask, Ask, Ask!
3. Contact the A&A Lab or Regional Hub for additional assistance



2.3 What Works? It Depends

Session Objective:	Participants will be able to access current evidence and research and practice for education in crisis and conflict, and to recognize its strengths and limitations.
Presenter:	Ash Hartwell
Activity:	Small and large group discussion
Estimated time:	1 hour 15 minutes
Resources needed:	None
Activity Description:	<p>A critical overview review of sources of current evidence on what has worked for education programming in crisis and conflict contexts.</p> <p>Participants will be introduced to bodies of knowledge and shown how to navigate them in order to most effectively use evidence in their own contexts.</p>
Treasure Hunt:	<p>In pairs, participants will search for, find, and critically review, evidence of what has been successful for:</p> <ul style="list-style-type: none">▶ Safe learning environments▶ Alternative and accelerated education programs▶ Increased equitable access for youth▶ Local institutional capacity building



EVIDENCE: WHAT WORKS? IT DEPENDS



Ash Hartwell
USAID ECCN M&E



SESSION OUTLINE

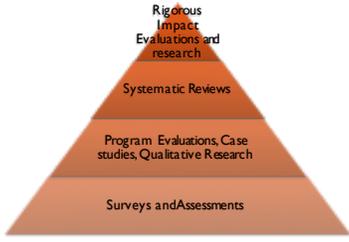
Objective: Participants will have access to current evidence and research informing good practice for education in crisis and conflict, recognizing its strengths and limitations.

Activities:

- Critical overview of current evidence on what has worked in programming for EiCC.
- Treasure Hunt: We will find and critically review evidence for what works for:
 - Safe learning environments
 - Alternative and accelerated education programs
 - Increasing equitable access for youth, and
 - Local institutional capacity building



EVIDENCE: WHAT IS IT?



Rigorous and/or Useful: two considerations



EQUITY IN EDUCATION

BACKGROUND	STUDY
<p>LAST 60 YEARS 235 CONFLICTS</p> <p>Over the last 60 years, 235 conflicts broke out (161 were extended conflicts)</p>	<p>USE OF MULTIPLE DIMENSIONS OF INEQUALITY, INCLUDING ETHNICITY AND RELIGION</p> <p>ROBE AND CURRENT DATA</p> <p>EXPANDED GEOGRAPHY</p>
<p>LAST 15 YEARS 92 CONFLICTS</p> <p>Over the last 15 years, 92 conflicts broke out in 70 countries</p>	<p>NEW CONSTRUCTION</p> <p>An index used to measure inequality, with 0 representing complete equality and 1 representing complete inequality</p>
<p>WHILE EDUCATION EXPANDED DRAMATICALLY DURING THE LAST 200 YEARS, INEQUALITY IN EDUCATION IS STILL AN ISSUE</p>	<p>0.26</p>

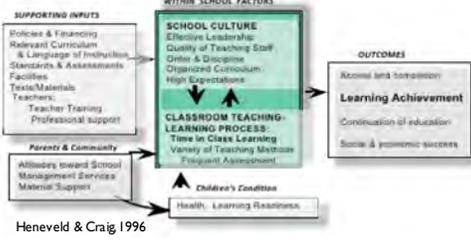
Violent conflict was doubled in countries with educational inequity (2000s)

Access to education and higher levels of educational attainment may help curb militancy and extremism (observational)

School routines improve mental health for majority of children and youth in crisis/conflict.



MODEL OF SCHOOL EFFECTIVENESS



Heneveld & Craig 1996

How is this model affected by EICC and LAC realities?



SOME EVIDENCE: SYSTEMATIC REVIEW INCREASING ACCESS TO QUALITY EiCC

- Absence of **robust** evidence
- Increasing Access:
 - Community-based programs increase access to education, especially for girls
 - Early childhood development programs
 - Conditional and unconditional cash transfers
 - Community monitoring and school vouchers
- Increasing quality – improving outcomes:
 - Community-based education
 - Tailored training for local untrained teachers
 - Interactive radio
 - Peace education, conflict sensitive curriculum
 - Creative arts and play therapies, early childhood development, and provision of extra services

SOME EVIDENCE: CASE STUDIES
ALTERNATIVE EDUCATION




- Small schools, classes, in or near community serviced
- Community-based management
- Locally recruited teachers with regular supervision and ongoing professional training
- Simplified curriculum focused on literacy, numeracy and life skills (SEL) in mother-tongue instruction

SOME EVIDENCE: EXPERT OPINION
ACCELERATED EDUCATION IN EICC




Principles related to learners:

- AEP is flexible for older learners
- Curriculum materials and pedagogy are genuinely accelerated in relevant language of instruction
- AE learning environment is inclusive, safe and learning-ready

Principles related to teachers:

- Teachers participate in continuous professional development
- Teachers are recruited, supervised and remunerated

Principles related to program management:

- AE Center is effectively managed
- Community is engaged and accountable
- Goals, monitoring and funding align

Principles related to alignment with policy

- AEP is a legitimate, credible education option, results in certification
- AEP is aligned with national education system

EVIDENCE: SAFE LEARNING ENVIRONMENTS



School-Related Gender Based Violence (SRGBV)
Corporal punishment, emotional, sexual and physical abuse, bullying

Evidence-Based Promising Practices re: SRGBV

- Top-down introduction of codes of conduct alone are insufficient; participatory development of codes of conduct is more effective
- Wholeschool/multi-sector/holistic approach is effective
- Gender transformative approaches are more effective than rights-based approach
- Confidentiality and reliable responses to complaints are necessary for students to utilize reporting mechanisms
- Teaching positive discipline is necessary alongside policies against CP to reduce incidence

- School Codes of Conduct
- Advocacy / Sensitization
- Child-Friendly Spaces
- Student Clubs / Committees (Girls', Boys', Mixed, Thematic)
- Psychosocial Support / Therapy

Source: ECCN SLE Gap Maps

EVIDENCE: SAFE LEARNING ENVIRONMENTS



External Threats
Recruitment into group / conflict / extortion

Promising Practices re: Youth Violence

- Safe neighborhood community policing programs raise perception of safety and improve police image
- School-based violence prevention programs are one of the most successful school-level interventions for reducing risky behavior
- Youth Service – young people who volunteer are less likely to engage in delinquent behavior, abuse drugs and alcohol
- Comprehensive job training programs
- Youth-friendly spaces (with constructive activities supported by an adult)
- Mentoring programs have reduced likelihood that young person engages in risky behavior; also increases educational attainment
- Community-wide social marketing and communication campaigns; anti-violence in media
- Remedial and second-chance education before resorting to incarceration

- Safe Passage to/from School
- School-based violence prevention programs
- Livelihood / Workforce Development Programs
- Community and family-based Violence Prevention Programs

Source: ECCN SLE Gap Maps

EVIDENCE: GENERALIZABILITY




- It's difficult to get rigorous, generalizable evidence of what works in EICC
- INEE Professional Development Guide:
 - "The real limitation of this guide rests with available research on professional development in fragile contexts. Such research is, at best, scant."

EVIDENCE: WHY THERE ARE NOT MORE SYSTEMATIC REVIEWS




- International Journal of Social Welfare:
 - "The screening of 9,271 titles resulted in the identification of zero prospective effectiveness studies with a counterfactual!" (Shepherd, 2014)

 **THE CHALLENGE OF GETTING STRONG EVIDENCE** 

- Education problems are hard to define clearly and are contested
- Education reforms require changes in existing behaviors and relationships
- Changing behavior requires multiple actors and contexts
- Institutions that deliver education services are weak and under-resourced
- Education outcomes have many causes
- Education outcomes are unpredictable, long-term and difficult to track

THE CHALLENGE OF RIGOROUS IMPACT ASSESSMENTS AND SYSTEMATIC REVIEWS

Quantitative approaches are useful for the study of relatively stable, simple relationships (Interventions → Results) that hold for large numbers of cases

Qualitative approaches are appropriate for the analysis of complex relationships (multiple interventions → Results) that change over time and location.

In complex processes, quantitative methods are less effective (*less rigorous*) because they limit possible explanations and bet that the posited explanation is the closest to the truth



 **TREASURE HUNT FOR EVIDENCE** 

1. Choose an EICC element
 - Safe Learning Environments
 - Equity: Alternative and Accelerated Ed Programs for out-of-school children/youth
 - Delivering services: Increasing access to secondary school for at-risk youth
 - Local Institutional Capacity Development
2. Choose a topic relevant to your current situation in LAC and search databases of evidence.
3. Prepare a small poster
 - Cite the source you found most useful, and where you found it
 - Describe what type of evidence it is
 - Why are the findings useful to you in particular?



 **LINK TO EXERCISE** 

- <http://eccnetwork.net/usa-id-workshops/essentials-eicc-course/>
- Resources:
 1. USAID ECCN Resource Repository and Gap Maps
 2. 3ie Reviews and Gap Maps
 3. INEE Toolkits
 4. IRC Outcomes and Evidence Framework

 **TREASURE HUNT FOR EVIDENCE** 

- Barde D, Guven O, Kelcey J, Lahmann H, Al-Abbadi K (2015) What Works to Promote Children's Educational Access, Quality of Learning, and Wellbeing in Crisis-Affected Contexts. Education Rigorous Literature Review. Department for International Development. <http://3.amr.gov.uk/ineq-111491/resources/Education-emergencies-rigorous-review-2015-10.pdf>
- Cunningham, Wendy (2008). "Youth at Risk in Latin America and the Caribbean: Understanding the Causes, Realizing the Potential." The World Bank. <http://documents.worldbank.org/curated/en/745731468276337697/Youth-at-risk-in-Latin-America-and-the-Caribbean-understanding-the-causes-realizing-the-potential>
- Yasunie, H., Poesche, L., and Peggib, R. (2013). Youth violence prevention in Latin America and the Caribbean: a scoping review of the evidence. Igarape Institute. http://www.oas.org/en/las/imas/high_schools/24_MCA%20HS%20managed_agenda/docum_ens/you_th_programs_on_and_empowerment/NOREF_evaluations_youth_violence_LAC.pdf
- NORC (2016) Accelerated Education Programs in Crisis and Conflict: Building Evidence and Learning. For USAID. http://eccnetwork.net/wp-content/uploads/IEP_Literature_Review_FINAL.pdf
- Shephard, D. (2014) Nonformal education for improving educational outcomes for street children and street youth in developing countries: a systematic review. International Journal of Social Welfare. <http://www.3ieimpact.org/en/evidence/systematic-reviews/details/652/>
- Westhorp, G., Walker, D.W., Rogers, P., Overbeek, N., Ball, D., and Brice, G. (2014) Enhancing community accountability, empowerment and education outcomes in low and middle-income countries: A realist review. EPPI-Centre, Social Science Research Unit, Institute of Education, University of London. <https://assets.publishing.service.gov.uk/media/57a089140006526d00042/Community-accountability-ty-2014-Westhorp-report.pdf>

Internal Threats SLE Gap Map

Showing Outcomes and Interventions related to SRGBV Internal Threats The circle size indicates the quantity of resources.

	CROSSCUTTING OUTCOMES					INTERNAL THREATS				
	Increased Enrollment	Increased Retention	Increased Learning	Increased Attendance	Social-Emotional Well-Being	Reduced Fear of SRGBV Generally	Reduced Incidence / Acceptance of Bullying	Reduced Incidence / Acceptance of CP	Reduced Incidence/ Acceptance of Teacher Sexual Abuse	Reduced Incidence / Acceptance of Student Sexual Abuse
School Codes of Conduct	•	•	●	•	•		●	●	●	●
Reporting and Accountability Mechanisms in school	•	•	●	●	•	•	●	●	●	●
Student Advocacy/ Sensitization	•	●	●	●	•	•	●	●	●	●
Student Clubs and Committees	•	●	●	●	•	•	●	●	●	●
Community Advocacy	•	●	●	●	•	•	●	●	●	●
Whole School Approach (contains elements of above in combination)	•	•	•	•	•	•	•	•	•	•
Psychosocial Support/ Therapy in School							•			
Girls' Latrines/Girls' Spaces	•		•							

INTERVENTIONS

External Threats SLE Gap Map

Showing outcomes and interventions related to External Threats (Gang and Militia activity in/around schools).
The circle size indicates the quantity of resources.

		CROSSCUTTING OUTCOMES					EXTERNAL THREATS							
		Increased Enrollment	Increased Retention	Increased Learning	Increased Attendance	Social-Emotional Well-Being	Reduced Fear of External Violence Generally	Reduced Student Anti-Social Behavior	Reduced Rate of Youth Violence/Joining Gangs/Groups	Reduced Targeted Recruitment of Students Within School	Reduced Attacks to/from school Targeted at students	Reduced Attacks Targeting Learning Environments	Reduced Students Caught in Crossfire at/school or at School	Reduced Rate Schools Taken Over/Occupied
INTERVENTIONS	Policing / Law Enforcement Activity Protecting Schools							•	•					
	Negotiations Between Gangs / Groups / Government Re: Use Of Schools / Student Attacks									•			•	•
	Community Watch And Security						•	•	•		●		•	
	Community / Parent Advocacy		•	•			•	●	●		•		•	
	Extended School Hours							•	•					
	Early Childhood Education							●	●					
	Community-Based Schools		•	•	•			•	•		●	•		
	Virtual / Distance Education												•	
	School-Based Life Skills Interventions							●	•					
	Alternative Education Programs for Youth (Outside Formal Schooling)						•	● ⁴	●		•		•	
	Improved Infrastructure / Community Layout						•	•	•		•		•	
	Reintegration of Gang Members / Fighters into Community / Schooling							•	•					

FURTHER READING ON EVIDENCE

- ▶ Burde D, Guven O, Kelcey J, Lahmann H, Al-Abbadi K (2015) What Works to Promote Children’s Educational Access, Quality of Learning, and Wellbeing in Crisis-Affected Contexts. Education Rigorous Literature Review. Department for International Development. <http://s3.amazonaws.com/inee-assets/resources/Education-emergencies-rigorous-review-2015-10.pdf>
- ▶ Cunningham, Wendy (2008). ‘Youth at Risk in Latin America and the Caribbean: Understanding the Causes, Realizing the Potential’. The World Bank. <http://documents.worldbank.org/curated/en/245731468276337697/Youth-at-risk-in-Latin-America-and-the-Caribbean-understanding-the-causes-realizing-the-potential>
- ▶ Moestue, H., Moestue, L., and Muggah, R. (2013). Youth violence prevention in Latin America and the Caribbean: a scoping review of the evidence. Igarape Institute. http://www.oas.org/en/asg/moas/high_schools/34_MOAS_HS/annotated_agenda/documents/youth_protection_and_empowerment/NOREF_evaluations_youth_violence_LAC.pdf
- ▶ NORC (2016) Accelerated Education Programs in Crisis and Conflict: Building Evidence and Learning. For USAID. <http://eccnetwork.net/wp-content/uploads/AEP-Literature-Review-FINAL.pdf>
- ▶ Shephard, D. (2014) Nonformal education for improving educational outcomes for street children and street youth in developing countries: a systematic review. International Journal of Social Welfare. <http://www.3ieimpact.org/en/evidence/systematic-reviews/details/652/>
- ▶ Westhorp, G., Walker, D.W., Rogers, P., Overbeeke, N., Ball, D., and Brice, G. (2014) Enhancing community accountability, empowerment and education outcomes in low and middle-income countries: A realist review. EPPI-Centre, Social Science Research Unit, Institute of Education, University of London.
- ▶ <https://assets.publishing.service.gov.uk/media/57a089f140f0b652dd0004a2/Community-accountability-2014-Westhorp-report.pdf>

2.4 Theories of Change, Evidence, and Logic Models

Session Objective:	Participants will create a project logic model and identify the rationale and assumptions for a project theory of change.
Presenter:	Ash Hartwell
Activity:	Small group discussion, text analysis of case study, creation of logic model
Estimated time:	1 hour 30 minutes
Resources needed:	El Salvador Program description, worksheets, materials for
Activity Description:	<p>An introductory presentation will describe the development of project design using a theory of change approach, illustrated with current cases.</p> <p>Participants will work in small groups on an actual case from the LAC region. They will receive a project description from which they will represent the project theory of change in the form of a logic model.</p> <p>Participants will identify and describe the rationale and assumptions implied by the project relationships in the logic model.</p>

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Education in Crisis & Conflict Network
Dedicated to Increasing Equitable Access to Education & Knowledge by Crisis-Affected Children

THEORY OF CHANGE AND LOGIC MODELS: PROJECT DESIGN FOR ECC

USAID

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SESSION GOALS

Objective: Participants will create a project logic model and identify the rationale and assumptions for a project theory of change

Activities:

- An introductory presentation will describe the development of project design using a theory of change approach, illustrated with current cases.
- Participants will work in small groups on an actual case from the LAC region. They will receive a project description from which they will represent the project theory of change in the form of a logic model.
- Participants will identify and describe the rationale and assumptions implied by the project relationships in the logic model.

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UNDERSTANDING CONTEXT COMPLEXITY & PROGRAM STRATEGY

AGREEMENT

Far From

Near

Conflict
No trust or social cohesion

Socially Complicated
Build relationships, and create common vision, goals

Simple Plan Control

Technically Complicated Experiment Network expertise

ZONE OF CRISIS/CHAOS

ZONE OF COMPLEXITY

No stability Or predictable outcomes

Near Far From

TECHNICAL CERTAINTY

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UNDERSTANDING COMPLEXITY

Success

what people think it looks like

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UNDERSTANDING COMPLEXITY

Success

Success

what people think it looks like

what it really looks like

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PROJECT THEORY OF CHANGE: ELEMENTS

Problem Statement

Actors, Resources, Inputs

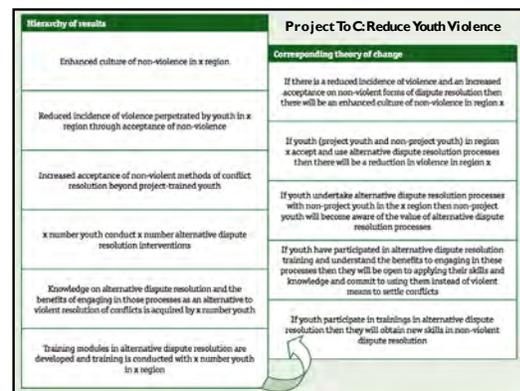
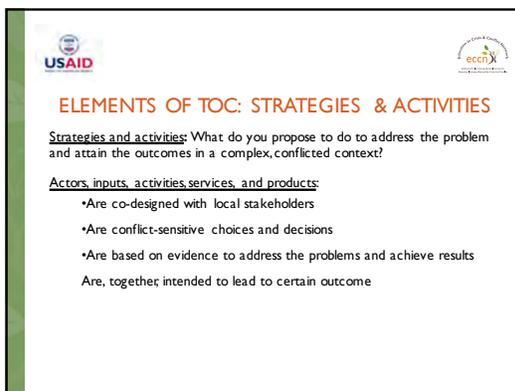
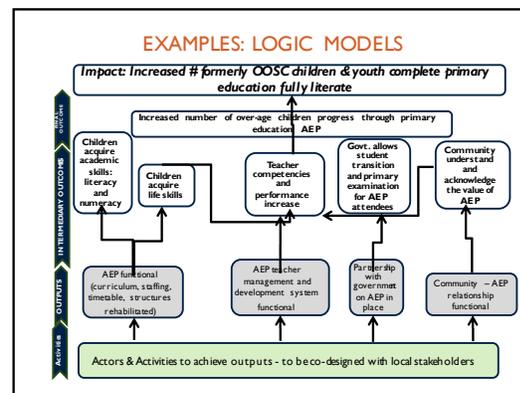
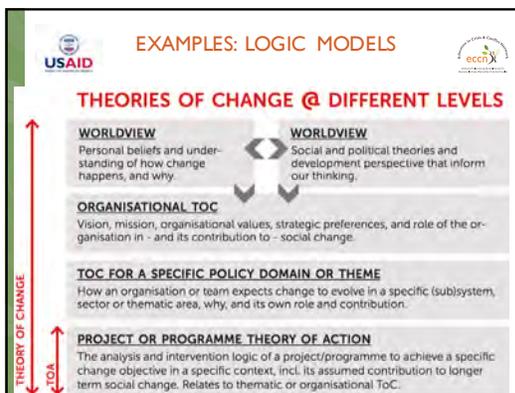
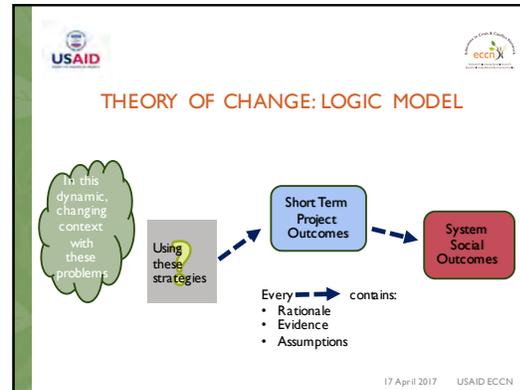
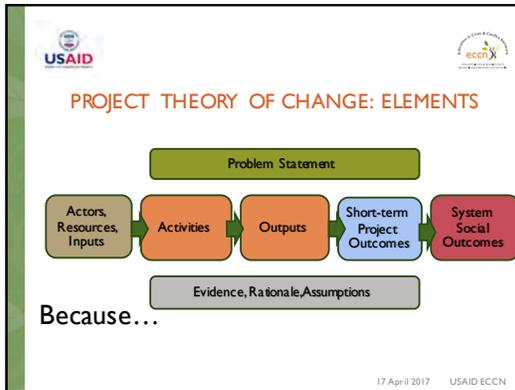
Activities

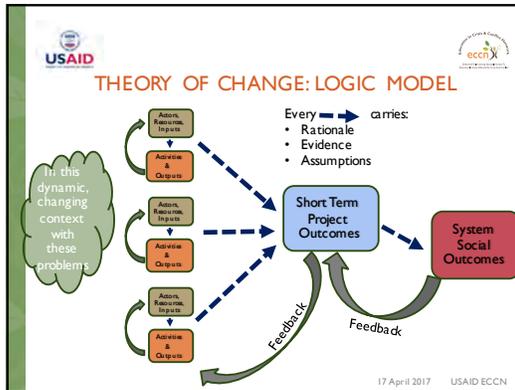
Outputs

Short-term Project Outcomes

System Social Outcomes

17 April 2017 USAID ECCN

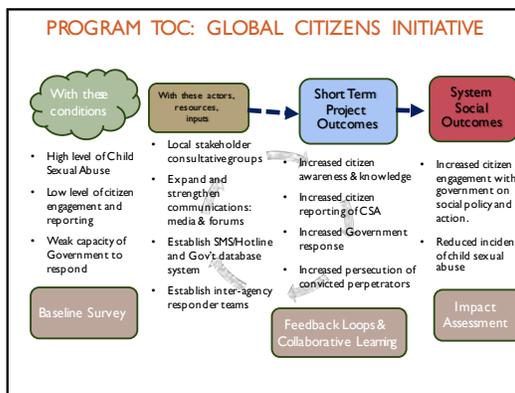




EXAMPLES OF TOC

Global Citizens' Initiative:
Liberia: Citizen-government engagement

Project Goal:
Increase citizen engagement with government to reduce incidence of child sexual abuse.



FEEDBACK LOOP PROCESS

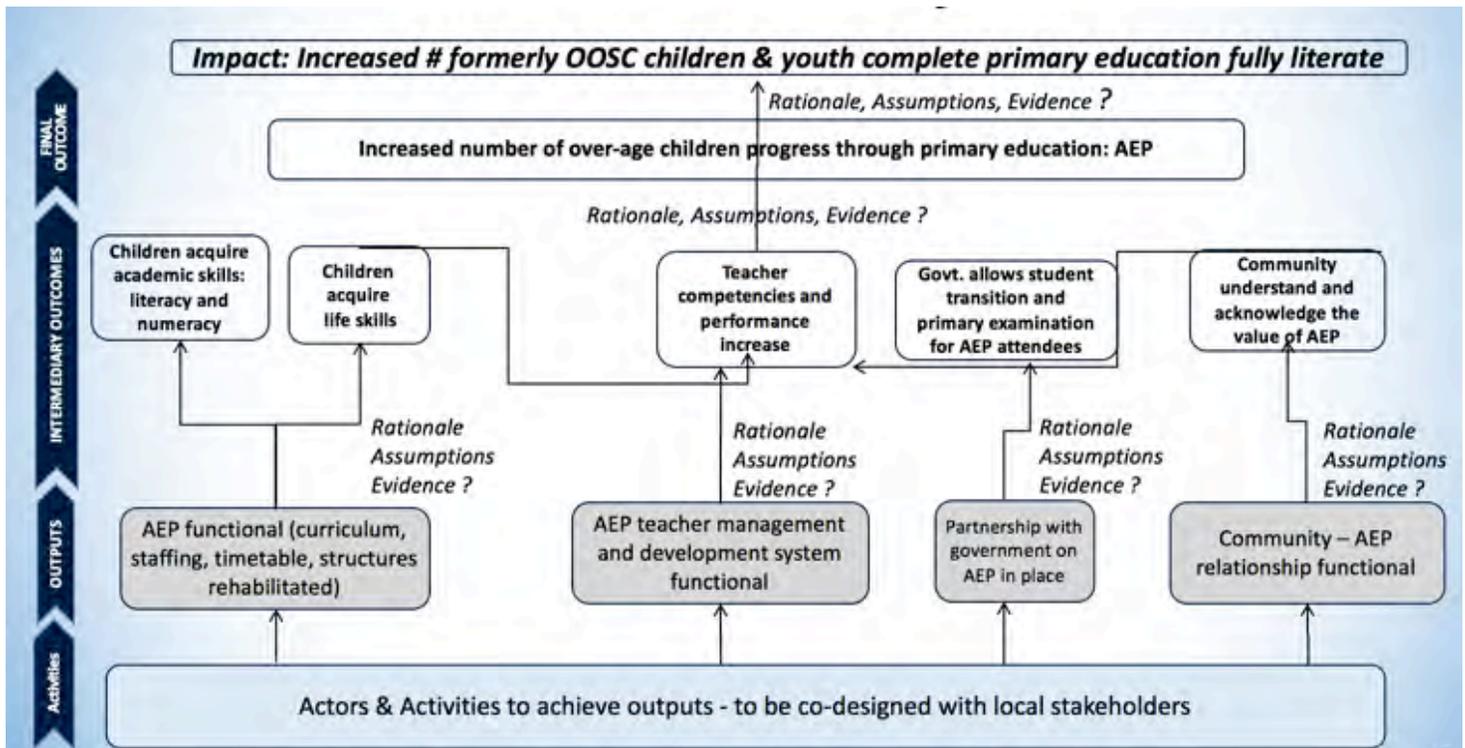
- Stakeholders: Citizens, Leaders, Government Agencies
- Baseline and Feedback surveys
- Collaborative Consultation
- Adaptation and Actions

YOUR TASK:

1. Form teams:
 - Objective 1 - Sustaining improved education outcomes for lower secondary students
 - Objective 2 - Increase Access to Educational Activities for out-of-school youth
2. As a team:
 - Review the project description of USAID El Salvador's program, Education for Children and Youth (ECY)
 - Represent the Project Theory of Change as a logic model
 - Describe the Rationale – the *because* statements implicit in each arrow
 - Identify key assumptions
 - Prepare a poster depicting the **logic model**, the **rationale**, and **assumptions**

- An Annotated Bibliography on Theories of Change & Adaptive Management on the USAID-ECCN Website
- <http://eccnnetwork.net/resources/adaptive-management-annotated-bibliography/?submit=Go&sf=Annotated+Bibliography>
- Also see (available on the ECCN Repository): <http://eccnnetwork.net/repository/>
- Andrews, M., Pritchett, Lant., & Woolcock, M. (2012). *Escaping capability traps through problem-driven iterative adaptation (PDIA)*. (Working Paper 299). Washington D.C: Center for Global Development
- James, C. (2011). *Theory of change: review a report commissioned by Comic Relief*. London, UK: Comic Relief
- Kania, J., & Kramer, M. (2013). *Embracing emergence how collective impact addresses complexity*. *Stanford Social Innovation Review*. Stanford, California: Lead Stanford Jr. University.
- MacLay, C. (2015). *Management not models: a capability, responsiveness, and a few lessons from football*. *Development in Practice*, 25:1, pp:42 – 57.
- Valters, C. (2015). *Theories of change: time for a radical approach to learning in development*. London UK: Overseas Development Institute.

SAMPLE THEORIES OF CHANGE:



Hierarchy of results	Corresponding theory of change
Enhanced culture of non-violence in x region	If there is a reduced incidence of violence and an increased acceptance on non-violent forms of dispute resolution then there will be an enhanced culture of non-violence in region x
Reduced incidence of violence perpetrated by youth in x region through acceptance of non-violence	If youth (project youth and non-project youth) in region x accept and use alternative dispute resolution processes then there will be a reduction in violence in region x
Increased acceptance of non-violent methods of conflict resolution beyond project-trained youth	If youth undertake alternative dispute resolution processes with non-project youth in the x region then non-project youth will become aware of the value of alternative dispute resolution processes
x number youth conduct x number alternative dispute resolution interventions	If youth have participated in alternative dispute resolution training and understand the benefits to engaging in these processes then they will be open to applying their skills and knowledge and commit to using them instead of violent means to settle conflicts
Knowledge on alternative dispute resolution and the benefits of engaging in those processes as an alternative to violent resolution of conflicts is acquired by x number youth	If youth participate in trainings in alternative dispute resolution then they will obtain new skills in non-violent dispute resolution
Training modules in alternative dispute resolution are developed and training is conducted with x number youth in x region	

FURTHER READING ON THEORIES OF CHANGE

- ▶ An Annotated Bibliography on Theories of Change & Adaptive Management on the USAID-ECCN Website
- ▶ http://eccnetwork.net/resources/adaptive-management-annotated-bibliography/?submit=Go&_sf_s=Annotated+bibliography Also see (available on the ECCN Repository): <http://eccnetwork.net/repository/>
- ▶ Andrews, M., Pritchett, Lant., & Woolcock, M. (2012). Escaping capability traps through problem-driven iterative adaptation (PDIA). (Working Paper 299). Washington D.C: Center for Global Development
- ▶ James, C. (2011). Theory of change review: a report commissioned by Comic Relief. London, UK: Comic Relief
- ▶ Kania, J., & Kramer, M. (2013). Embracing emergence: how collective impact addresses complexity. Stanford Social Innovation Review. Stanford, California: Leland Stanford Jr. University.
- ▶ Maclay, C. (2015). Management not models: adaptability, responsiveness, and a few lessons from football. *Development in Practice*, 25:1, pp: 42 – 57.
- ▶ Valters, C. (2015). Theories of change: time for a radical approach to learning in development. London, UK: Overseas Development Institute.

2.5 Using Evidence to Assess a Project Theory of Change

Session Objective:	Participants will be able to identify evidence from research and other sources to support, modify or reject assertions and assumptions made for the elements in a specific intervention.
Presenter:	Ash Hartwell
Activity:	Small group work
Estimated time:	2 hours
Resources needed:	Materials on the Full-Time Inclusive School (FTIS) model and evidence
Activity Description:	<p>Presenters will review collections of evidence, and criteria for good evidence as well as considerations about how to use evidence in a way that is relevant to a given context. Presenters will also show participants how to access relevant information for the purposes of informing program design in EiCC.</p> <ol style="list-style-type: none">1) Identify evidence to support, modify or reject elements in the FTIS model theory of change (30 min)2) Describe the learning agenda for project implementation (15 min)3) Prepare and present your findings (15 min)




USING EVIDENCE TO ASSESS A PROJECT THEORY OF CHANGE IN ECC






SESSION GOALS

Objective: Participants will be able to identify evidence from research and other sources to support, modify or reject assertions and assumptions made for the elements in the ECY project's theory of change: the Full-Time Inclusive School (SI-EITP in Spanish) Model.

Activities Groups will:

1. Identify evidence to support, modify or reject elements in the Full-Time Inclusive School Model theory of change (30 min)
2. Describe the learning agenda for project implementation (15 min)
3. Prepare and present your findings (15 min)




FULLTIME INCLUSIVE SCHOOL MODEL: PROJECT THEORY OF CHANGE

Community & System

SHORT TERM OUTCOME

- Alliances with the community provide resources to schools
- Joint decision making across schools on issues related to implementing the pedagogical proposal
- Increased parental and community involvement

School-based

Teacher-based

SHORT TERM OUTCOME

- Teachers apply new teaching skills and content knowledge (TBD)
- Improve instructional practices (TBD)
- Teachers will teach the area or subject they were trained

→

MEDIUM TERM OUTCOME

- Less grade repetition
- Fewer dropouts
- More grade progression
- Better student academic achievement
- More access (enrollment) to grades 7-9 and secondary grades 10-12
- Greater attendance

↓

LONG TERM OUTCOME

- Smaller access gap in grades 7-12
- Improved competencies that can lead to higher productivity, employment, and income




FULLTIME INCLUSIVE SCHOOL MODEL: SYSTEM & COMMUNITY INTERVENTIONS

ACTIVITIES

- Conduct induction training on the SI-EIT model for school staff and community members
- Develop the pedagogical plan in coordination with all schools in the system
- Establish a management structure for the system consistent with the SI-EIT model (School Council)
- Establish alliances with local entities

→

SHORT TERM OUTCOME

- Alliances with the community provide resources to schools
- Joint decision making across schools on issues related to implementing the pedagogical proposal
- Increased parental and community involvement




FULLTIME INCLUSIVE SCHOOL MODEL: SCHOOL-BASED INTERVENTIONS

ACTIVITIES

- Each Integrated System will have a pedagogical-technical team
- Each Integrated System will have a technical pedagogy assistant and school management assistant
- Provide management training to principals and relevant staff
- Reorganize schedule/curriculum/teachers to offer extended time for grades 7-9
- Build or remodel school infrastructure for SI-EITP

→

SHORT TERM OUTCOME

- Schools share resources
- Increased time spent on academic activities
- Increased time in school for students




FULLTIME INCLUSIVE SCHOOL MODEL: TEACHER-BASED INTERVENTIONS

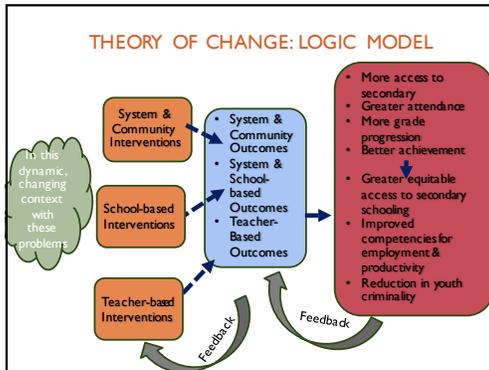
ACTIVITIES

- Promote active methodologies and improve teacher context knowledge
- Focus on competencies and implementing appropriate evaluation approaches to track student learning
- Provide teacher training in English language instruction and use of ICT. Also training in active methodologies tailored to each system
- Reassignment of teachers to teach areas that are linked to their training.

→

SHORT TERM OUTCOME

- Teachers apply new teaching skills and content knowledge (TBD)
- Improve instructional practices (TBD)
- Teachers will teach the area or subject they were trained



YOUR TASK:

Form teams:

- System & Community Interventions
- School-based Interventions
- Teacher-based Interventions

As a team, using evidence from the databases you learned about in the previous activity to support, modify, or reject the links between activities, outputs and outcomes for the FTIS model interventions:

- **Accept** and amplify elements of the ToC ★
- **Modify** elements of the ToC – with the rationale/evidence for the modifications, mark with an **M**
- **Reject** elements of the ToC and suggest an alternative, mark with **R**
- Identify elements in the ToC where there seems to be **no evidence**, mark with a **0**

YOUR TASK PART 2:

Describe the Learning Agenda for Project Implementation:

Based on the analysis of the FTIS Model theory of change, select key questions (development hypotheses) about what still needs to be known, and what needs to be learned during project implementation.

1. Prioritize elements/relationships in the project design for a learning agenda
2. Pose the key questions that need to be answered during implementation
3. Describe the project's learning agenda – as a part of the design

YOUR TASK PART 3:

Prepare and present your findings

Each Group will have a 5-10 minute presentation, with 5 minutes of critique and response.

1. Describe your (revised/expanded) FTIS project theory of change
2. Describe the evidence used to support, modify or reject elements of the project's theory of change.
3. Describe the learning agenda – what needs to be learned during implementation, and how that will be incorporated within the project design.



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Dedicated To Increasing Equitable Access To
Education In Areas Affected By Crisis And Conflict

DAY THREE



DAY 3

3.1 Feedback Loops for CLA

Session Objective:	Participants will be able to articulate the characteristics of effective feedback loops.
Presenter:	Shannon Griswold
Activity:	Small group work
Estimated time:	2 hours
Resources needed:	Worksheets
Activity Description:	<p>A local specialist from the US Global Development Lab office will explore the characteristics of effective feedback systems in program design and management.</p> <p>Real examples from the field will be given and participants will work in small groups to design feedback systems that are sensitive to the context, feasible, and based on the evidence of best practice alluded to in Days 1 and 2.</p>

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Feedback Loops for Evaluating and Implementing in Complexity

USAID internal site:
https://pages.usaid.gov/thd_db/EA/merlin-0

MERLIN Public Site:
j.mp/merlinprogram

For more, email:
MERLIN@usaid.gov
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What does it mean to operate in “complexity”?

What should we do about it?

What is the reality we are operating in?

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<p>Simple</p> <p>The right 'recipe' or protocol is necessary, but if you follow it, you can count on the results.</p> <p><i>Baking a chocolate cake</i></p> <p><i>Vaccinating a child</i></p>	<p>Socially Complicated</p> <p>The right protocols are known, but getting agreement on who, when, and whether they should be followed is challenging.</p> <p><i>Water conservation</i></p> <p><i>Vaccinating to herd immunity</i></p>	<p>Technically Complicated</p> <p>The right protocols are knowable required, as is a high degree of technical experience, but can be repeated over time with the expectation of success.</p> <p><i>Launching rocket into space</i></p> <p><i>Surgically removing a brain tumor</i></p>	<p>Complex</p> <p>There are no right recipes or protocols that work in every situation. Every situation is unique and influenced by many outside factors. Experience helps but by no means guarantees success.</p> <p><i>Raising a child</i></p> <p><i>Containing an emergent disease epidemic</i></p>
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CONVENTIONAL DEVELOPMENT PRACTICE

Waterfall

(adapted from Thornton, 2015)

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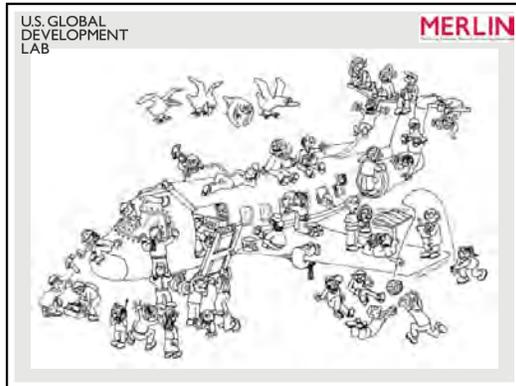
ADAPTIVE DEVELOPMENT PRACTICE

Waterfall

Agile

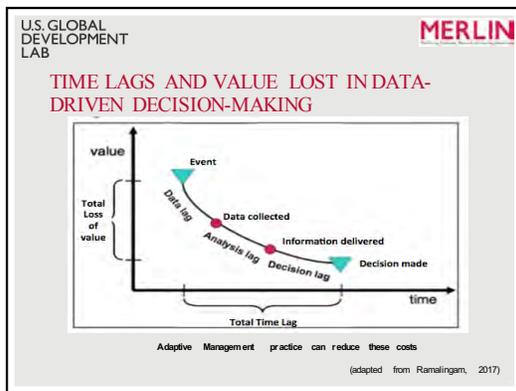
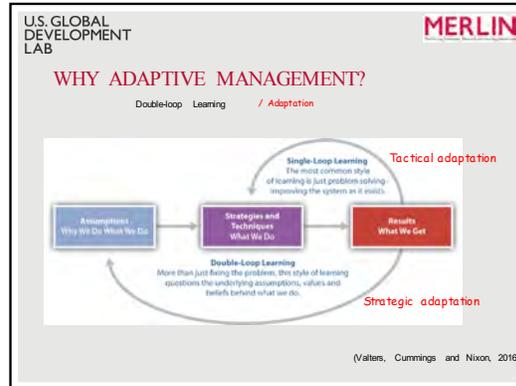
Project Timeline

(adapted from Thornton, 2015)



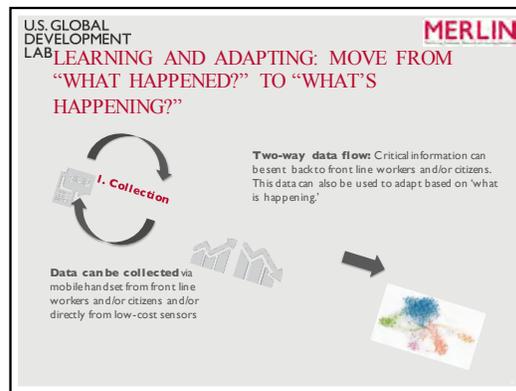
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Great! So, how do build in these “feedback loops” so I can manage my program adaptively?

- Build in checkpoints for reflection and learning to project timeline
 - Monthly or quarterly reviews with IPs – should have clear **objectives going in and action plans coming out** – so you know what you want to change
- Build in checkpoints to the award itself
 - E.g., milestone award disbursements – write workplans for later milestones fairly loose; make a new, more specific workplan based on learnings from previous milestones a requirement for the next disbursement
- **Rapid Feedback-MERL:** For programs with strong Theories of Change and several options on the intervention specifics, you need feedback on different “treatment arms”
- **Developmental Evaluation (DEPA-MERL):** If you’re operating in a high degree of complexity and you really want to go “all-in”:

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Rapid Feedback-MERL: for when you know where you’re going, but there are many paths to get there

- Improve rapid learning and adaptive management in the design and implementation of programs/projects funded by USAID
- Address the lack of formative research, systematic testing, and availability of timely evidence to inform ongoing program refinement and improvement
- Embed rigorous MERL into project design and implementation
- Repurpose traditional M&E methods as formative learning tools instead of summative accountability tools
- Compress feedback loops to promote adaptive program management and iteration
- Iterative, side-by-side testing of possible treatment arms – typically less statistically rigorous than a full-blown impact evaluation; designed to give you “good enough” information to make an evidence-based decision about how to move forward

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“Organizations are strongest when they employ cycles of venturing, learning, and visioning as part and parcel of how strategy is approached”
 - Michael Quinn Patton

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Emergent Strategy
How Emergent Strategy Works

Emergent strategy accepts that a realized strategy emerges over time as the initial intentions collide with, and accommodate to, a changing reality.

Source: Henry Mintzberg, Sumitra Ghoshal, and James B. Quinn, *The Strategy Process*, Prentice Hall, 1998

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Accountability v. Adaptive Program Management

Intended Strategy

Unrealized Strategy = Failure

Deliberate Strategy

Realized Strategy

Emergent Strategy = Mission drift

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How developmental outcomes evaluation works

Intended Outcomes

Unrealized Outcomes

Implemented Outcomes

Emergent Outcomes

Realized Outcomes

Source: Henry Mintzberg, Sumitra Ghoshal, and James B. Quinn, *The Strategy Process*, Prentice Hall.

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The Developmental Evaluator

- **Tracks, documents,** and helps **interpret** the nature and implications of innovations and adaptations as they unfold
- **Facilitates** ongoing, real-time, data-driven decision-making in the developmental process
- Provides **accountability** for funders and supporters of innovators, as well as helping to refine their contributions to solutions as they evolve, by documenting decisions made during implementation
- **Extracts lessons and insights** from processes and outcomes to inform ongoing adaptive innovation process

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Questions the Developmental Evaluator poses to the implementers

	Examples
Q1: What?	<ul style="list-style-type: none"> • What do we see? • What do the data tell us? • What are the indicators of change or stability? • What cues can we capture to see changing patterns as they emerge?
Q2: So what?	<ul style="list-style-type: none"> • So, what sense can we make of emerging data? • What does it mean to us in this moment and in the future? • What effect are current changes likely to have on us, our clients, our extended network and our field of inquiry and action?
Q3: Now what?	<ul style="list-style-type: none"> • What are our options? • What are our resources? • When and how can we act – individually or collectively – to optimize opportunities in this moment and the next? • What’s emerging? What does it mean? • What should we be watching for? • What’s being learned?

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DE Bonus Round! Foundations for a Learning Agenda

- In the course of arriving at a shared initial question for the DE, a group of stakeholders will usually generate a long list of questions in which these are interested, and these should be prioritized.
- Some can be addressed later, as the DE progresses and adapts.
- Others can become the foundations for a program's Learning Agenda, and "farmed out" to other evaluation, research, and learning activities as appropriate.

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Discussion

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What's the difference between Developmental Evaluation and Rapid Feedback-MERL?

DE: What are the roles and responsibilities of the core CPP members to facilitate the Collective Impact Model? How effective are the organizations in executing those roles and responsibilities? What actions can be taken to improve? (And what are the implications of those actions?)

Rapid Feedback-MERL: Of several potential "treatment arms" or types of interventions, which is most likely to result in the desired behavior change among community members? Among donors?

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Interactive Exercise

- After the break
- Please break into groups of 3

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Why Innovation in Monitoring and Evaluation?

- In order to have more adaptive programs we must expand our tool box when it comes to monitoring, evaluation, research and learning (MERL)
- Innovation in MERL means treating learning as a means of adapting during implementation rather than an add-on or reporting/accountability process
- Innovation in MERL methods means spending our limited M&E resources in a way that increases development outcomes and impacts and not simply trying to measure them
- Integrating innovation includes innovation in the processes throughout the program cycle, including all elements of MERL, that actually connect the different pieces of the cycle

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MERLIN is an endeavor led by the U.S. Global Development Lab and in partnership with the Bureau for Policy, Planning and Learning and the Bureau for Global Health. It aims to source, co-design, implement and test development solutions that innovate on traditional approaches to monitoring, evaluation, research and learning (MERL).

Through MERLIN, the Lab and its partners aim to address the following challenges:

- How might we foster increased development impact through improved and innovative tools for monitoring, evaluation, research, and learning?
- What are the cutting edge approaches to measuring impact, understanding complex development challenges and solutions, and using evidence to drive smart decision-making and policy?
- How might we test and provide evidence to demonstrate the value add of this new STIP model of development, given that the impacts of many such programs are only discernible over the long term?

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Expanding the Reach of Impact Evaluations (ERIE-MERL)

Rapid Feedback MERL

Developmental Evaluation Pilot Activity (DEPA-MERL)

Balanced-MERL

Strategic Program for Analyzing Complexity and Evaluating Systems (SPACES MERL)

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Rapid Feedback Monitoring, Evaluation, Research and Learning (Rapid Feedback MERL)

The Innovation: *Rapid Feedback MERL brings learning to the early stages of project implementation in a rigorous, empowering and flexible way. It applies proven evaluation methods to increase project effectiveness throughout implementation. Rapid Feedback can lead to quicker and less expensive learning by focusing rapid experimentation on specific aspects of a project and adapting activities through formative research and analysis of short-term*



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Rapid Feedback MERL

Is Rapid Feedback MERL for me? It is well-suited for:

- Early-stage projects and activities with uncertainty about specific intervention options
- Projects working to improve a specific activity where they have not yet achieved the intended results
- Projects being tailored or adapted to a new setting, moving from a pilot to scale-up phase or considering alternative strategies to promote greater engagement or participation.
- Project teams interested in "unpacking" programs to identify the most effective elements

Tools: Formative research, rapid RCT, mixed-methods designs, small-sample analytic methods

Period of Performance: 10/01/2015 – 9/30/2019 (Cooperative Agreement)

POC: Sophia van der Bijl, svandebijl@usaid.gov

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How Does Rapid Feedback MERL contribute to adaptive management?

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Developmental Evaluation Pilot Activity (DEPA-MERL)

The Innovation: *DE provides an approach to evaluation that is quick, ongoing, and takes an iterative approach to data collection, analysis and feedback that contributes to timely changes throughout the project cycle and allows for system changes as well as changes in targeted outcomes.*



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DEPA-MERL

Is DE for me? DE is well-suited for:

- Projects under flexible procurement mechanisms
- Implementation is likely to change in response to emerging conditions on the ground
- Untested or incomplete theories of change
- Implementers and/or program managers are "building the plane in the air"

Tools: Embedded evaluators, tailoring to emerging needs, network and outcome mapping, contribution analysis

Period of Performance: 10/01/2015 – 9/30/2019 (Contract)

POC: Shannon Griswold, sgriswold@usaid.gov

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How Does DEPA-MERL contribute to adaptive management?

- Takes into account the **complex dynamic system** in which activities take place.
- Relationship between implementer and evaluator is **collaborative**
- Developmental evaluation is well established in other fields but has been used only infrequently in international development
- Allows for **evolution of the program's theory of change, and adjustments to implementation** that respond to changing circumstances



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Partner with us?

For Every Team

- Share within your Mission or Office
- Let us know if someone from your team would like to be on our MERLIN information distribution list. Just email MERLIN@usaid.gov

Become a MERLIN Pilot

- Express interest to apply MERLIN tools within your program(s) and/or Mission
- Contact the MERLIN Team to discuss whether any of the mechanisms might be right for you and your team

For more, email MERLIN@usaid.gov
 Sophia van der Bijl, svanderbijl@usaid.gov
 Shannon Griswold, sgriswold@usaid.gov

USAID internal site: <https://pages.usaid.gov/theLab/EIA/mefm/>
 MERLIN Public Site: mefmforprogram.org

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BLANK SLIDE TEMPLATE FOR INTERNAL AUDIENCES

USAID **MERLIN**

Why Innovation in Monitoring and Evaluation?

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DEPA-MERL



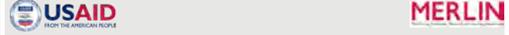
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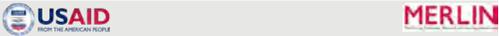
Period of Performance: 10/01/2015 – 9/30/2019 (Contract)

POC: Shannon Griswold, sgriswold@usaid.gov



How Does DEPA-MERL contribute to adaptive management?

- Takes into account the complex dynamic system in which activities take place.
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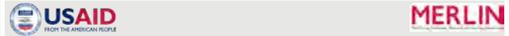
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USAID internal site: <https://pages.usaid.gov/the-lab/fia-media>
MERLIN Public Site: m.merlinproject.org



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DEVELOPMENTAL EVALUATION FOR

USAID

Presented on behalf of the Developmental Evaluation Pilot Activity (DEPA) under the Global Development Lab's Monitoring, Evaluation, Research, and Learning Innovations (MERLIN) program

QUICK FACTS

Tools: Embedded evaluators, emerging needs tailoring, network mapping, outcome mapping, contribution analysis

Funding mechanism: Contract (buy-in option for USAID operating units)

Partners: Social Impact (prime), Search for Common Ground, The William Davidson Institute at the University of Michigan

Period of Performance: 10/01/2015 – 9/30/2019

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MONITORING, EVALUATION RESEARCH AND LEARNING INNOVATIONS PROGRAM (MERLIN) DEVELOPMENTAL EVALUATION PILOT ACTIVITY (DEPA-MERL)

The Developmental Evaluation Pilot Activity (DEPA-MERL) will test the effectiveness of a developmental evaluation (DE) approach, as well as accompanying monitoring and evaluation tools and flexible contracting mechanisms, in achieving effective programming for innovative interventions, untested theories of change, and/or implementation in complex contexts.

THE CHALLENGE

For complex interventions or new innovations, traditional midterm and end line evaluations can occur too late to aid in programmatic fine tuning; and often help interventions reach their pre-defined outcomes, rather than work on systems change that may require the redefinition of outputs and outcomes.

THE INNOVATION

Traditional approaches to monitoring and evaluation focus on making existing processes, structures and systems more effective. DE seeks to improve not only program design, but takes into account the entire complex dynamic system in which the program, project or activity is taking place. DE provides an approach to evaluation that is quick, ongoing, and takes an iterative approach to data collection, analysis and feedback that contributes to timely changes throughout the project cycle and allows for system changes as well as changes in targeted outcomes.

GCFSI PHOTO LIN LIN LIANG



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THE APPROACH

DE evaluators are “embedded” within the program, project or activity to contribute to modifications in program design and targeted outcomes throughout implementation. DE does not prescribe a single methodological design, tool, or framework – the evaluation approach taken is based on emerging needs. Methods might include network and outcome mapping, contribution analysis, or other approaches based on information needs.

DE is a highly flexible approach and is well-suited for projects under flexible contracting mechanisms in which implementation is likely to change in response to emerging conditions on the ground. DE is particularly useful in projects with untested or incomplete theories of change and where implementers and/or program managers are “building the plane in the air.”

QUICK FACTS

- **Tools:** Embedded evaluators, emerging needs tailoring, network mapping, outcome mapping, contribution analysis
- **Funding mechanism:** Contract (buy-in option for USAID operating units)
- **Partners:** Social Impact (prime), Search for Common Ground, The William Davidson Institute at the University of Michigan
- **Period of Performance:** 10/01/2015 – 9/30/2019

LAB CONTACT: Shannon Griswold, sgriswold@usaid.gov

The DEPA-MERL mechanism is designed for relatively quick and easy buy-in and functions much like a Field Support Mechanism. The award is pre-competed, and thus requires NO Technical Evaluation Committee for Operating Units buying in. This feature also contributes to a low procurement action lead time (PALT), so obligation of funds and work can proceed as soon as there is agreement between the OU and the DEPA team on scope and budget for the engagement.



DECIDING ON DE

DEVELOPMENTAL
EVALUATION **FAQ**

WHAT IS DEVELOPMENTAL EVALUATION (DE)?

DE is an approach to evaluation that supports the continuous adaptation of development interventions. As a part of a DE, an evaluator or team is embedded within the program, project, or activity to contribute to modifications in program design and targeted outcomes and to document both these modifications as well as the decision-making process. Deploying various data collection activities and methods on an as-needed basis, the evaluator enables real-time, evidence-based reflection and decision-making consistent with a Collaboration, Learning, and Adaptation (CLA) approach.

TRADITIONAL EVALUATION	DEVELOPMENTAL EVALUATION
Render definitive judgments of success or failure.	Provide feedback, generate learnings, support changes in direction.
Measure success against predetermined goals.	Develop new measures and monitoring mechanisms as goals emerge and evolve.
Position the evaluator outside to assure independence and objectivity.	Position evaluation as internal, team function integrated into action and ongoing interpretive processes.
Design the evaluation based on linear cause-and-effect logic models.	Design the evaluation to capture system dynamics, interdependencies, models and emergent interconnections.
Aim to produce generalizable findings across time and space.	Aim to produce context-specific understandings that inform ongoing innovation.
Accountability focused on and directed to external authorities, stakeholders and funders.	Accountability centered on the innovators' deep sense of fundamental values and commitment.
Accountability to control and locate responsibility.	Learning to respond to lack of control and stay in touch with what's unfolding and thereby respond strategically.
Evaluator determines the design based on the evaluator's perspective about what is important. The evaluator controls the evaluation.	Evaluator collaborates with those engaged in the change effort to design an evaluation process that matches philosophically with an organization's principles and objectives.
Evaluation results in opinion of success or failure, which creates anxiety in those evaluated.	Evaluation supports ongoing learning.

(Table originally appeared in "[A Developmental Evaluation Primer](#)," see hyperlink for more information.)



DEVELOPMENTAL EVALUATION IN DETAIL

WHY SHOULD I CONSIDER DE?

DE—designed to support innovative, complex programming—offers unique advantages that are highly applicable to USAID’s priorities. As the new ADS 200 revisions (2016) require the use continuous learning for adaptive management, DE is a more appropriate option than ever.

- *DE enables timely, data-based decision making and adaptation:* DE makes evaluation quick, ongoing, and iterative in its approach to data collection, analysis, and feedback. This contributes to timely changes throughout the project cycle and allows for system changes in program design and modifications of outputs and outcomes as unintended results make themselves visible.
- *DE is designed to support innovative, complex programming:* USAID and other donors frequently operate in rapidly changing environments that require innovative and dynamic programming, which by nature is often unrefined and operating on untested theories of change. Traditional methods of evaluation are often not well-suited to measuring changes when environments, activities, or objectives are rapidly changing. DE assumes that such changes will necessarily occur.
- *DE focuses on learning:* DE provides an opportunity to systematically document decision-making processes and how a program, project or activity evolves over time. This documentation in and of itself is innovative and allows key policy and decision makers to create new policies and practices that draw from past experiences as they have been documented rather than relying on fading memories and “institutional knowledge.”

IS DE RIGHT FOR MY PROGRAM?

Do one of the following criteria apply? My project/program/activity is...

- Operating in a rapidly changing or otherwise complex environment
- Operating with an undefined or untested theory of change
- Piloting highly innovative approaches that need further refinement
- Seeking to achieve complex outcomes that may need to change over time
- Likely to require potentially drastic modifications to its approach

If so, DE could be for you.



DEVELOPMENTAL EVALUATION IN DETAIL

WHEN IS DE APPROPRIATE?

DE was created for programs that are not well-served by traditional evaluations due to changing interventions, outcomes, or environments. Favorable conditions for DE include:

- “Highly emergent and volatile situations
- Situations that are difficult to plan or predict because of interdependent or non-linear variables
- Situations where there are no known solutions to issues, new issues entirely, and/or no certain ways forward
- Situations where multiple pathways forward are possible and thus there is a need for innovation and exploration
- Socially complex situations, requiring collaboration among stakeholders
- Situations with unknown outcomes, so vision and values drive processes” (Patton et al, 2015).

WHEN IS DE NOT APPROPRIATE?

DE is not right for all situations. The success of DE depends on the conditions surrounding the program. Specifically, DE is unlikely to serve its intended purposes if key stakeholders:

- Lack time or willingness to participate in routine discussions with evaluators
- “Require high levels of certainty”
- Are not amenable to experimentation and/or reflection
- Have limited capacity to adapt
- Are averse to failure or negative findings
- Have low levels of trust or poor relationships between staff and the evaluator (Patton et al, 2015).

HOW DO DEs ASSURE OBJECTIVITY?

Because the evaluator(s) are not part of the implementing organization and are trained evaluators, they work to maintain objectivity through clear lines of communication, specifically designated M&E roles, and firewalls if necessary. Through DEPA-MERL, the consortium will vet and deploy evaluators and will provide them with technical assistance throughout the course of their assignment. The evaluators will be managed by the consortium and will not have any fiduciary relationship with the programs they evaluate.

HOW IS DE DIFFERENT FROM RAPID FEEDBACK EVALUATION?

Both of these approaches can contribute to real-time learning for adaptive programming. The key difference pertains to the pilot program’s theory of change (ToC). Rapid is best for programs in which the ToC is clear, but for which there are two or more specific implementation modalities that could achieve the desired results. DE on the other hand, is best suited for situations in which the ToC is unclear, untested, or subject to change with the changing environment on in response to new learnings as the program evolves.



DEVELOPMENTAL EVALUATION COST

How much does DE cost?

The cost of DEs vary greatly depending on the program and the research questions. Pilots under DEPA-MERL have a range of \$600K-\$1.7M over two years. Key factors to consider when estimating the budget include:

- Length and complexity of the DE;
- Budget for full-time evaluator for the entire duration of the DE;
- Necessary travel expenses or allowances; and
- Technical assistance from DEPA-MERL consortium.

Wow, that seems expensive...why so much?

The cost of embedding a full-time highly skilled evaluator into the implementation team is necessarily more expensive than conducting conventional evaluations, but the benefits also reflect that cost. DE is as much program design and implementation as it is evaluation, and the cost reflects the value it provides to iterative design and implementation.

Ultimately, the outcome of DE is more responsive and hence is more effective programming. DE works through issues, even potentially misaligned activities, or incorrect theories of change, to make course corrections that ensure programs are responsive to and appropriate for their contexts. Instead of waiting for an endline to furnish evidence of an ineffective program, DEs proactively identify how programs can adapt to maximize their intended outcomes.

- ❑ Other benefits include:
 - Evidence-supported theory of change;
 - Continuous, evidence-based learning;
 - Evaluation methodology that fits the program's need at that time;
 - Recommendations for adaptive programming in response to changing circumstances; and
 - Improved capacity to contribute to M&E and evidence-based learning.

In addition, DE itself is a relatively new and untested approach to M&E. Relatively few DEs have been conducted, especially at USAID. As such, the Developmental Evaluators conducting them through DEPA-MERL will be supported by the DEPA-MERL consortium with technical assistance and as part of evaluations that will assess the feasibility and outcomes of DEs within the USAID context.

NEXT STEPS

I'm interested in DE for my project, program, or activity. What are my next steps?

Please contact DEPA-MERL COR Shannon Griswold (sgriswold@usaid.gov) or ACOR Sophia van der Bijl (svanderbijl@usaid.gov) to set up a pre-screening call to see if DE might be a good fit. If it is, the DEPA team will walk you through the process of completing an Expression of Interest form. As the success of DE is contingent on the participation and buy-in of all relevant stakeholders, we encourage you to engage various OU and IP staff as early as possible. The process map on the following page details the process by which OUs work collaboratively with the DEPA-MERL consortium to determine if DE is a good fit, and if so, procure and launch the DE.



DEPA-MERL PROCESS

LEGEND

- More information needed
- DEPA team action items
- DE stopping points
- DE go points

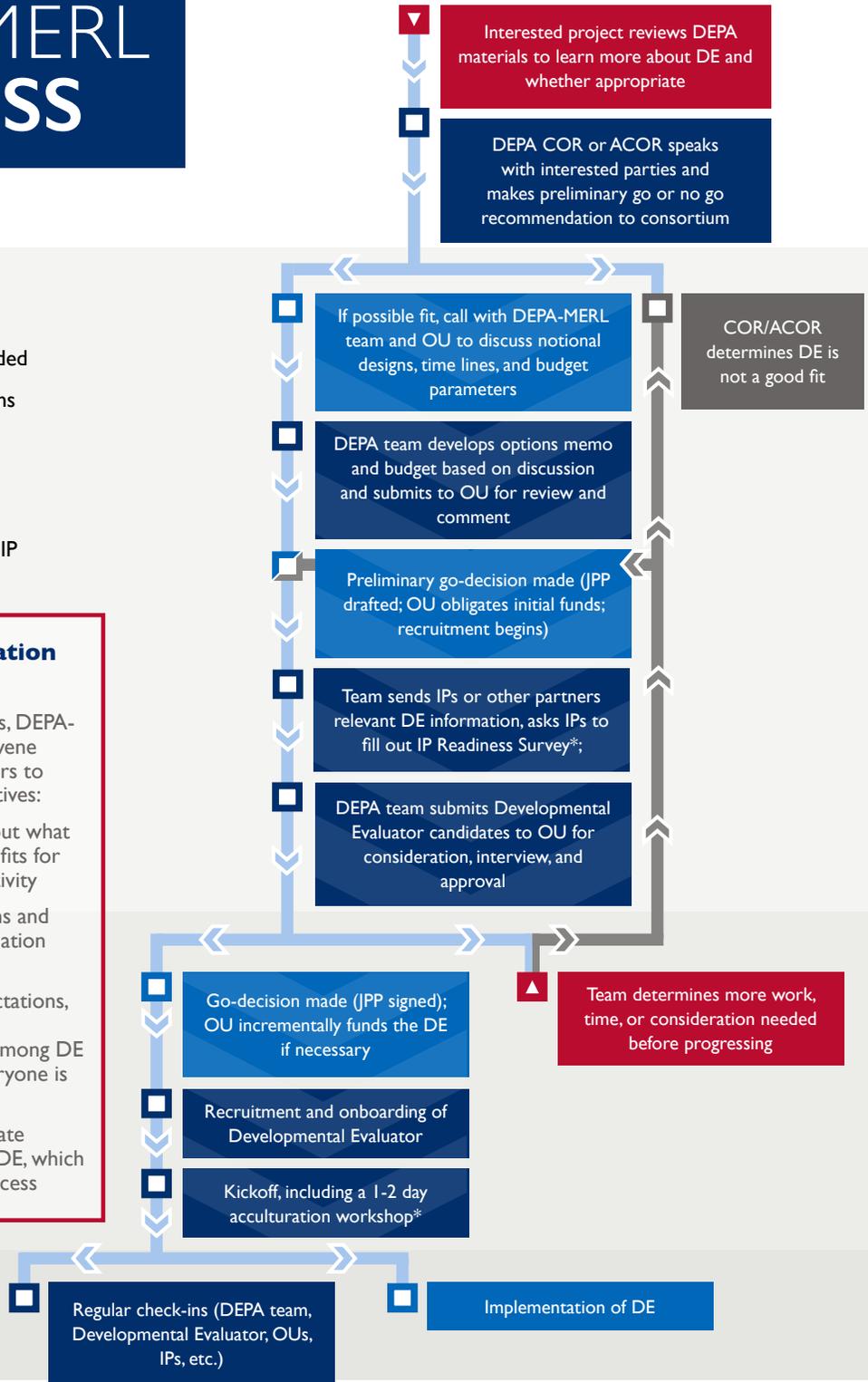
* Occurs on case by case basis (i.e. will occur later if IP not yet in place)

What is an acculturation workshop?

Over the course of 1-2 days, DEPA-MERL and the OU will convene a meeting of DE stakeholders to achieve the following objectives:

- 1) Educate participants about what DE is and its potential benefits for the project, program, or activity
- 2) Refine research questions and begin development an evaluation workplan
- 3) Establish common expectations, roles, responsibilities, and communication protocols among DE stakeholders to ensure everyone is on the same page

Thus, the workshops generate interest and buy-in for the DE, which is critical to its ultimate success



EXAMPLES OF DE IN DEVELOPMENT

DE is a highly innovative approach to evaluation and relatively few have been done, particularly in the international development space. However, many of the DEs undertaken to date have been on human development programs. The following cases from [Developmental Evaluation Exemplars: Principles in Practice](#) (2015) describe various social programs and how DEs have benefited them.

THE PROGRAM	The Grand Rapids Community Foundation's Challenge Scholars Program (USA)	McKnight Foundation's Collaborative Crop Research Program (South America and Africa)	The Inala Indigenous Health Service's Home-based Outreach Chronic Disease Management Exploratory Study (Australia)
THE RATIONALE	<ul style="list-style-type: none"> The Foundation sought to improve school systems and student achievement, but indicators revealed little progress. DE was appropriate for highlighting what was and was not working in order to refine program design. 	<ul style="list-style-type: none"> The CCRP aimed to promote access to sustainably produced, nutritious food; however, its scope expanded significantly and thus became far more complex. DE needed to improve understanding of interrelatedness of systems and synthesize evaluation findings, conclusions, and recommendations. 	<ul style="list-style-type: none"> The study examined whether a patient-centered outreach model of chronic disease appropriate for Aboriginal and Torres Strait Islander people. Competing priorities between the research and service delivery side of the program demonstrated a need for better collaboration and learning between stakeholders, necessitating a responsive, adaptive evaluation and feedback process.
THE ROLE OF THE DEVELOPMENTAL EVALUATOR	<ul style="list-style-type: none"> Developmental Evaluators worked closely with program leaders to provide timely, contextually-relevant information, especially as decisions were made and shared. Developmental Evaluators then created memos around the six key learning questions with information about what was working well, what needed attention, as well as program implementation. 	<ul style="list-style-type: none"> The Developmental Evaluator worked with the team from the initial buy-in conversation, to the development of the ToC, and throughout implementation. The Developmental Evaluator communicated evaluation findings, conclusions, and recommendations to stakeholders as they arose. 	<ul style="list-style-type: none"> The Developmental Evaluator became intimately acquainted with both the outreach model and the operating context, as well as the visions and values of the various stakeholders. The Developmental Evaluator was also able to serve as a "trusted outsider...and informed facilitator" to reconcile these differences.
THE RESULT	<ul style="list-style-type: none"> The DE honed in on one of the issues preventing the success of the program, which was the lack of parental awareness of the program. Accordingly, Foundation directed their attention and resources on helping a particular profile of students, leading to the establishment of an initiative that widened the focus on students to their families. Ultimately, the DE enabled greater understanding of the needs and a more responsive and flexible program design. 	<ul style="list-style-type: none"> DE helped the program them move from developing a ToC to testing the hypothesis and its assumptions. The DE helped identify, articulate, and reinforce the scope and boundaries of the project, making the work more targeted and effective. The cross-sectional nature of the Developmental Evaluator's involvement in CCRP helped encourage consistent communication and partnerships. 	<ul style="list-style-type: none"> The Developmental Evaluator's involvement built trust among stakeholders, enabling increased engagement, understanding, and ultimately, uptake of the program model. The DE tested the study's framework and model of care, providing a systematic process for sensemaking in order to inform and iterate on the model and ultimately, to improve the quality of care.



MONITORING, EVALUATION RESEARCH AND LEARNING INNOVATIONS PROGRAM (MERLIN) DEVELOPMENTAL EVALUATION PILOT ACTIVITY (DEPA-MERL)

The Developmental Evaluation Pilot Activity (DEPA-MERL) will test the effectiveness of a developmental evaluation (DE) approach, as well as accompanying monitoring and evaluation tools and flexible contracting mechanisms, in achieving effective programming for innovative interventions, untested theories of change, and/or implementation in complex contexts.

THE CHALLENGE

For complex interventions or new innovations, traditional midterm and end line evaluations can occur too late to aid in programmatic fine tuning; and often help interventions reach their pre-defined outcomes, rather than work on systems change that may require the redefinition of outputs and outcomes.

THE INNOVATION

Traditional approaches to monitoring and evaluation focus on making existing processes, structures and systems more effective. DE seeks to improve not only program design, but takes into account the entire complex dynamic system in which the program, project or activity is taking place. DE provides an approach to evaluation that is quick, ongoing, and takes an iterative approach to data collection, analysis and feedback that contributes to timely changes throughout the project cycle and allows for system changes as well as changes in targeted outcomes.

THE APPROACH

DE evaluators are “embedded” within the program, project or activity to contribute to modifications in program design and targeted outcomes throughout implementation. DE does not prescribe a single methodological design, tool, or framework – the evaluation approach taken is based on emerging needs. Methods might include network and outcome mapping, contribution analysis, or other approaches based on information needs.



DE is a highly flexible approach and is well-suited for projects under flexible contracting mechanisms in which implementation is likely to change in response to emerging conditions on the ground. DE is particularly useful in projects with untested or incomplete theories of change and where implementers and/or program managers are "building the plane in the air."

QUICK FACTS

- **Tools:** Embedded evaluators, emerging needs tailoring, network mapping, outcome mapping, contribution analysis
- **Funding mechanism:** Contract (buy-in option for USAID operating units)
- **Partners:** Social Impact (prime), Search for Common Ground, The William Davidson Institute at the University
- **Period of Performance:** 10/01/2015 – 9/30/2019

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MONITORING, EVALUATION RESEARCH AND LEARNING INNOVATIONS PROGRAM (MERLIN)

MERLIN is a USAID endeavor led by the U.S. Global Development Lab and in partnership with the Bureau for Policy, Planning and Learning and the Bureau for Global Health. It aims to source, co-create and co-design development solutions that innovate on traditional approaches to monitoring, evaluation, research and learning (MERL). The MERLIN Program was announced on March 27, 2015 and is structured to allow USAID to work with partners to collaboratively identify, design, and test cutting-edge solutions to more effectively understand and measure the impacts of development programs. This is a radically different approach to program design for USAID and its partners

PHOTO: SOPHIA VAN DER BIJ/USAID

THE CHALLENGE

While standard approaches to MERL work well for many USAID projects, when specific outputs and outcomes are not as easily identifiable up front, and where change might happen in a non-linear manner, these standard tools can fall short. This is especially true for projects operating in highly complex environments, where the best approach to the development problem is not well recognized, and project managers must adapt the project design over the course of the project.

THROUGH MERLIN, THE LAB AND ITS PARTNERS AIM TO ADDRESS THE FOLLOWING CHALLENGES:

- How might we foster increased development impact through improved and innovative tools for monitoring, evaluation, research, and learning?
- What are the cutting edge approaches to measuring impact, understanding complex development challenges and solutions, and using evidence to drive smart decision-making and policy?
- How might we test and provide evidence to demonstrate the value add of this new STIP model of development, given that the impacts of many such programs are only discernible over the long term?

THE PARTNERS

The MERLIN partner consortium is growing. Over 30 implementing partners have contributed to the design of concepts and to date, 17 organizations are taking part in implementing the first set of activities under MERLIN. These partners include domestic and international universities, private sector, institutes, innovation Labs, and non-governmental organizations.



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PEARSON EDUCATION

MONITORING, EVALUATION RESEARCH AND LEARNING INNOVATIONS PROGRAM (MERLIN)

RAPID FEEDBACK MONITORING, EVALUATION, RESEARCH AND LEARNING (RAPID FEEDBACK MERL)

Rapid Feedback MERL is a collaborative approach to learning and adapting. Improved data capture and compressed feedback loops provide decision-makers with timely, actionable evidence. Design and implementation decisions can be optimized to maximize chances of impact and improve prospects for long-term success.

THE CHALLENGE

Few programs build systematic feedback loops into early stages of project implementation. Even projects with a strong evidence based design include assumptions that need to be pressure-tested in reality. M&E systems are often considered tools for accountability and therefore, learning often occurs too late in the project cycle to influence change. Many M&E activities rely on a limited, inappropriate, and inadequate set of methods.

THE INNOVATION

Rapid Feedback MERL brings learning to the early stages of project implementation in a rigorous, empowering, and flexible way. It applies proven monitoring, evaluation, and analytic techniques to increase effectiveness systematically. Rapid Feedback guides programs in testing key program adaptations to inform how best to achieve desired results – potentially at lower cost. This includes focusing feedback loops on specific aspects of the project, and may also include using advanced statistical methods to reduce required sample sizes and the use of tools that can support rapid data collection – cell phones and tablets for survey implementation, SMS and IVR technology for remote data collection, and geospatial imagery from satellites.

THE APPROACH

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QUICK FACTS

- **Tools (illustrative):** Tools will match the design questions to support timely decision making, but may include focus groups, RCTs, quasiexperimental designs, and in some cases factorial orthogonal design
- **Funding mechanism:** Cooperative Agreement (buy-in option for USAID operating units)
- **Partners:** Results for Development Institute (prime), Abt Associates Inc., Mathematica Policy Research, Notre Dame Initiative for Global Development
- **Period of Performance:** 10/01/2015 – 9/30/2019

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3.2 Implementing a Learning Agenda

Session Objective:	Participants will apply the principles of the CLA framework, indicator development, and feedback loops to the implementation of a particular intervention.
Presenter:	Ash Hartwell
Activity:	Whole group discussion
Estimated time:	1 hour 30 minutes
Resources needed:	None
Activity Description:	<p>Overview of the CLA process and feedback loop for implementation</p> <p>Groups, organized by the three intervention strategies, will:</p> <ol style="list-style-type: none">1) Review key assumptions and questions linking outputs to outcomes2) Identify key outcome indicators3) Define the feedback loop cycle for a FTIS Project Learning Agenda <p>In a panel format, group representatives will present their results for review.</p>

IMPLEMENTING A PROJECT LEARNING AGENDA: CLA, INDICATORS, AND FEEDBACK LOOPS

SESSION GOALS

Objective: Participants will apply the principles of the CLA framework and feedback loops to the implementation of the Inclusive Full-Time School Model (SI-EITP)

Activities:
Overview of the CLA process and feedback loop for implementation
Groups-organized by 3 intervention strategies will:
1. Review key assumptions and questions linking outputs to outcomes
2. Identify key outcome indicators
3. Define the feedback loop cycle for a FTIS Project Learning Agenda

In a panel format, group representatives will present their results for review.

GUIDELINES FOR EICC PROGRAMS

1. Collaboration
2. Analysis of Context
3. Analysis of Country Policy, USAID Strategy
4. Use Evidence from Research & Experience
5. Design TOC, Logic Diagram, and Results Framework
6. Establish Outcome Indicators
7. Design Feedback Loops: What, When, How
8. Manage Collaborative Consultation
9. Adapt Program and Innovate
10. Allocate Resources for M&E/R&D

Program Design

Adaptive Management

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COLLABORATING, LEARNING ADAPTING

Who

- Key stakeholders, implementers,
- Beneficiaries *agree on and support:*

Vision - Outcomes

- What are program long-term and short-term (CDCS period) outcomes?

Program Theory of Change

- How and why a desired change is expected to happen in Kampustan

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COLLABORATING, LEARNING ADAPTING

OUTCOME INDICATORS

Key outcomes

- Selected key measurable outcomes to track change

Robust Indicators

- Defined indicators for the outcomes that are valid, clear and meaningful for collaborators

Tools and Data

- Means of obtaining rapid, timely, reliable data and information – both quantitative and qualitative – on indicators

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KEY SHORT-TERM OUTCOMES
Example from Youth Quantum Opportunities Project

OUTCOMES	INDICATORS
i. Increased Attendance by age gender; family economic status	i. Samples of daily school attendance registers - monthly
ii. Increased Participation in extra-curricular activities	ii. Samples of participation in extra-curricular activities - monthly
iii. Reduced occurrence of school delinquency reports	iii. Record of school delinquency reports – monthly totals/school
iv. Reduced occurrence of risky behaviors	iv. Youth self-reporting through sampling interviews - monthly
v. Youth self-reporting on in-school: <ul style="list-style-type: none"> o Sense of safety/threat o Witness to violent acts 	v. Youth self-reporting using sampling interviews - monthly

COLLABORATING, LEARNING ADAPTING

Explicit Data

- Planned data that is:
 - Timely
 - Presented in meaningful and valid formats (both quantitative and qualitative)

Implicit Knowledge

- Unwritten experiences, insights, knowledge that people share, often through stories, that can deepen understanding of explicit data

Analysis

Organized collaborative and critical examination of what the explicit and implicit data/information reveal about program outcomes and changes.

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COLLABORATING, LEARNING ADAPTING

Creative Problem Solving

- Collaborative team review of analysis and creative options

Solutions

- No change needed
- Minor adjustments – innovations
- Major redesign needed
- Project shutdown

Adaptation and Action

- Changes within existing resources and plans
- Changes requiring modification of plans and additional resources

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Embedding diagnosis and experimentation into implementation

In this dynamic, changing context with these problems

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FULL TIME INCLUSIVE SCHOOL MODEL TOC

System & Community Interventions

- Training staff
- School councils est.

School-based Interventions

- Reformed pedagogy
- Ed center infrastructure
- Extended time g 7-9

Teacher-based Interventions

- English Language & ICT
- Evaluation of students
- Teaching subjects

System & Community Outcomes

- System & Community Outcomes
- System & School-based Outcomes
- Teacher-Based Outcomes

Outcomes

- More access to secondary
- Greater attendance
- More grade progression
- Better achievement
- Greater equitable access to secondary schooling
- Improved competencies for employment & productivity
- Reduction in youth criminality

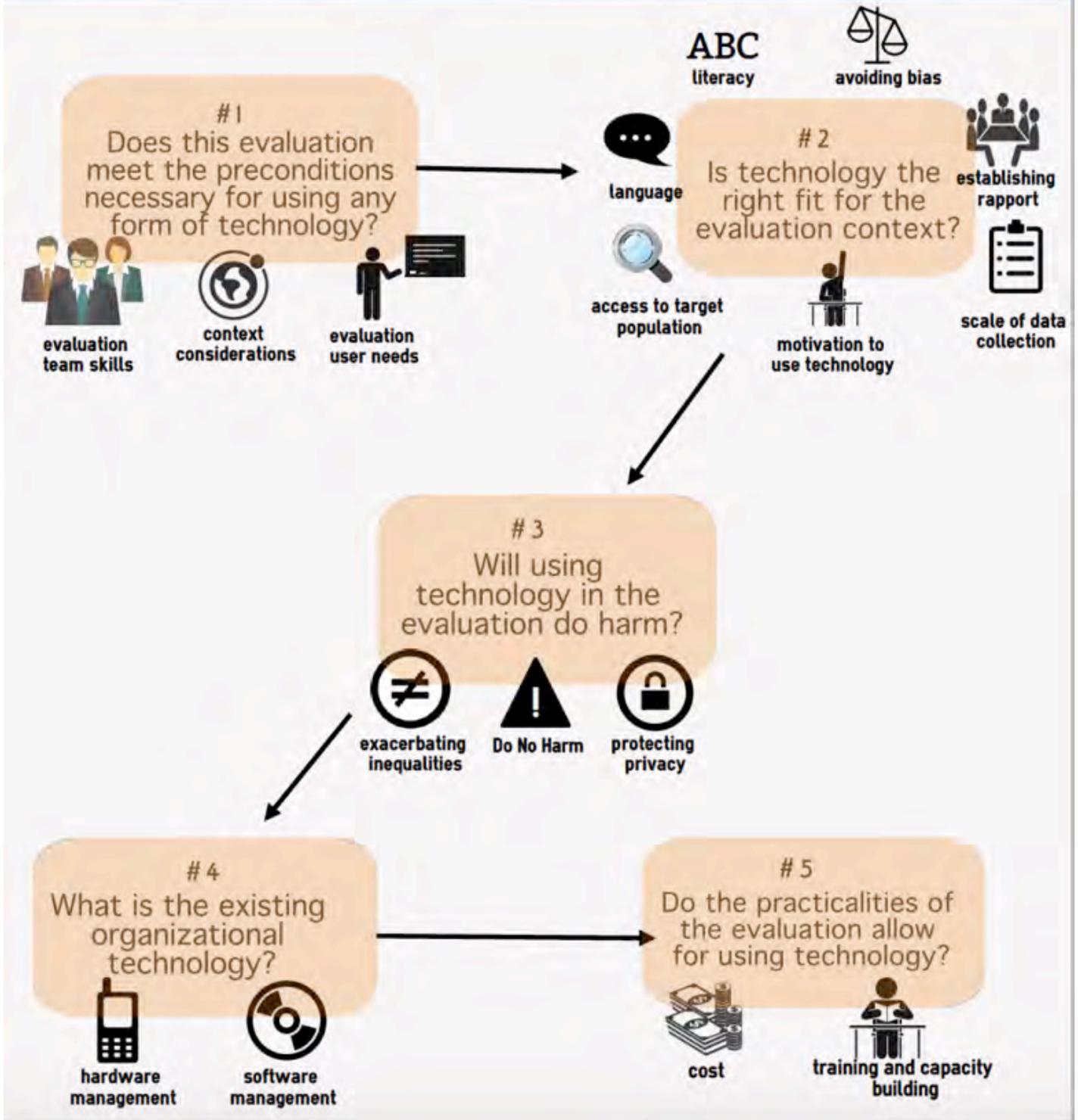
Feedback loops are shown between the intervention/outcome boxes and the final outcomes box.

3.3 ICT for M&E

Session Objective:	Participants will be aware of current strategies for monitoring and evaluation that involve ICT.
Presenter:	Tony Bloome
Activity:	Q&A
Estimated time:	1 hour 30 minutes
Resources needed:	Decision Tree and Technology Matrix
Activity Description:	Presenter will showcase innovative use of ICT and current practices in monitoring/evaluating for CLA and remote monitoring in areas that are not accessible due to crisis or security concerns.

EXECUTIVE SUMMARY

Technology offers great benefits throughout an evaluative process when integrated appropriately. This 5-step decision filter provides seasoned evaluators a process to ascertain if and when to best use technology in fragile and conflict affected states.



TECNOLOGY MATRIX

		TECNOLOGIES			
EVALUATION ASPECT	TECHNOLOGY'S ROLE	TRADITIONAL MEDIA	NEW MEDIA	SOFTWARE	HARDWARE (OTHER THAN COMPUTER LAPTOP)
Supporting Evaluation Purpose	Accountability	Videos, photos			Camera or phone ability to share or upload content
			social media	applications and services such as Facebook and Twitter	smartphone
			Blog posts		
		SMS		Bulk SMS survey software	
	Learning (e.g. Capacity Building)	Videos, photos			Camera or phone, ability to share or upload content
			Podcasts	Audio recording software; cloud service to host the audio files	Smartphone, digital recorder
			Blog posts		
				Web conferencing and screen-sharing	

		TECNOLOGIES				
EVALUATION ASPECT	TECHNOLOGY'S ROLE	TRADITIONAL MEDIA	NEW MEDIA	SOFTWARE	HARDWARE (OTHER THAN COMPUTER LAPTOP)	
2. Integrating Evaluation Design	Data Collection	SMS polling		Bulk SMS Survey software	Mobil phone	
			social media		Tablets, smart phones	
				Mobile data collection software such as digital surveys and questionnaires	Tablets, smart phones	
				GIS software	GPS units, satelites	
	Data Analysis				Interactive Voice Response (IVR) Systems	Mobile phones or smartphones depending on the service used
					Transcription software	
					Qualatative data analysis software	
	Data Visualization				Visualization software	
					Graphics software	
					Statistical software packages (SPSS, STATA)	

TECNOLOGIES

EVALUATION ASPECT	TECHNOLOGY'S ROLE	TRADITIONAL MEDIA	NEW MEDIA	SOFTWARE	HARDWARE (OTHER THAN COMPUTER LAPTOP)
3. Cataysing Evaluation Use		Audio Video			
			Podcasts	Audio recording software	
				Graphics software	
			Blog posts		
			Digital Resource Library		
			Social Media		
4. Evaluation Management				Messaging application	Smartphones
				Cloud computing services	

3.4 Applying Course Learning

Session Objective:	Participants will create a plan for implementing the learning they have done during the course.
Presenter:	Tracy Cordner
Activity:	Fill out an action plan, present
Estimated time:	1 hour
Resources needed:	None
Activity Description:	Participants will review the course principles and create a plan for applying their learning to their own duty stations. Small, achievable steps will be encouraged and facilitators will give feedback and guidance on the action plans.

ACTION PLAN

Tool or strategy I would like to apply to my context	Others I will need to include in this process	Steps I will need to take	Challenges I am likely to face, and how I plan to address them

3.5 Evaluation

Session Objective:	Participants will provide feedback on their learning and enjoyment during the course.
Presenter:	Tracy Cordner
Activity:	Evaluation of skills/competencies, instructors and course content.
Estimated time:	30 minutes
Resources needed:	None
Activity Description:	Participants will fill out evaluations on course and instructors, and they will report their confidence level on selected competencies and skillsets. There will be time for unstructured discussion with facilitators afterward.