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RAPID EDUCATION AND RISK ANALYSIS

DRAFT

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DISCLAIMER

The views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

ACKNOWLEDGMENTS

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PURPOSE OF THE GUIDE

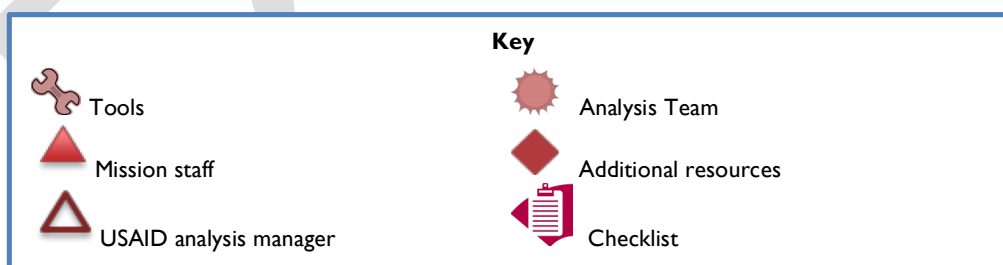
USAID's 2011 Education Strategy includes Goal 3: increased equitable access to education in crisis and conflict environments for 15 million learners by 2015.¹ In these high-risk and often unstable environments, the design and delivery of programs aiming to provide equitable access to quality education should factor in priority risks influencing equitable access, avoid worsening those risks, and mitigate them, as appropriate.

This guide supports USAID decision-making in three ways:

1. providing USAID Education Officers with a guide to **conduct** a rapid education needs and risk analysis;²
2. offering USAID Washington and USAID Missions a **managerial framework** for undertaking a rapid education needs and risk analysis; and
3. identifying **strategic opportunities** for USAID Washington and USAID Missions to leverage inter-agency partnerships, and influencing macro-level, cross-sectoral analyses.

CONTENTS OF THE GUIDE

Analysis Phase	Activity	Tools Provided*
Analysis Phase 1 Analysis Planning	<ul style="list-style-type: none"> Setting analysis parameters Selecting the tool Hiring analysis team Gathering key resources 	<ul style="list-style-type: none"> Analysis Parameters Checklist Select Analytical Tools Sample Analysis Scope of Work Key Resources Matrix
Analysis Phase 2 Data Collection and Analysis	<ul style="list-style-type: none"> Creating and implementing a data collection work plan Analyzing the data 	<ul style="list-style-type: none"> Sample Analysis Work Plan Questions, Indicator Categories, Indicators Data Analysis Matrix
Analysis Phase 3 Prioritization and Reporting	<ul style="list-style-type: none"> Prioritization Writing up the results Sharing the findings Using the data to develop programs Influencing broader analyses 	<ul style="list-style-type: none"> Sample Prioritization Matrix Sample Analysis Report Outline Action Planning Framework
Tools Annex		<i>*All tools are found in the Tools Annex</i>



1. USAID. (2011). USAID Education Strategy 2011-2014.

2. USAID Basic Education Office mandate is to support education through 2-5 year programs. Therefore, this guide targets conflict and crisis within the development continuum and not acute humanitarian emergency response. USAID Basic Education Office's primary contribution to acute emergency response is through funding of UNHCR, the UN Refugee Agency.

RAPID EDUCATION AND RISK ANALYSIS

WHAT IS A RAPID EDUCATION AND RISK ANALYSIS?


This tool guides the analysis of the **overall situation of education in a crisis or conflict-affected context**. This tool draws upon key elements of a rapid education needs analysis methodology and contextual risk analysis. This tool does not address operational risks (such as risk to programs), which can be pursued separately.

An **education needs assessment** is the systematic process of information collection and analysis regarding the type, depth, and scope of a problem. It can be rapid or in-depth.³ A “rapid” education assessment offers a snapshot of priority education-related needs in an emergency or crisis situation. It provides a preliminary understanding of the situation, and can identify issues and information needs that can be addressed by a more comprehensive education analysis.⁴ Rapid assessments can often be conducted through a data and information mapping and analysis process at the national level, taking from 4 days to 6 weeks.⁵ This rapid production of findings involves compromises and requires special attention to methodology if the findings are to be accurate and meaningful.⁶

Contextual risk analysis is a general term used for the purposes of this tool that encompasses the range of in-depth risk analyses, such as conflict analysis, disaster risk analysis, and resilience analysis. These analyses can last up to several months. Key elements of these analyses are as follows:

- **conflict** analysis examines the causes, stakeholders, dynamics and trends of a conflict, and identifies capacities for social cohesion. It is the basis for conflict sensitivity of all programs humanitarian and development programming as well as peacebuilding programming.
- **disaster risk** analysis analyzes hazards, vulnerabilities, exposure, capacities for risk reduction, and determines levels of risk.⁷ It informs preparedness and disaster risk reduction.
- analyses that focus on the **resilience** of individuals, communities and institutions examine all risks, as well as assets and opportunities for systems and communities to confront adversities.

The present tool—**Rapid Education and Risk Analysis**—integrates key elements of conflict analysis, disaster risk analysis, and resilience analysis with a rapid education analysis. It provides guidance for a national level mapping, stakeholder consultation and analysis process carried out over two (2) to three (3) weeks. It seeks a “good enough” analysis to capture general information about how education systems, learners and their communities interact with a dynamic, multiple risk environment, and how those risks interact. It is not meant to take the place of more in-depth analysis, which should be pursued if the rapid approach indicates that more information is necessary for program development.

 If the USAID Analysis Manager believes a more comprehensive analysis is warranted—either instead of or subsequent to this Rapid Education and Risk Analysis, summaries of existing USAID and partner tools are provided as Tools Annex.

3. Rossi, P. H., & Freeman, H. E. (1993). *Evaluation: A systematic approach*. Thousand Oaks, CA: Sage.

4. Global Education Cluster. (2010). *Short guide to a joint rapid needs assessment*. Geneva: Education Cluster Unit/Save the Children.

5. Bamberger, M., Rugh, J., & Mabry, L. (2012). *Real world evaluation: Working under budget, time, data, and political constraints*. Thousand Oaks, CA: Sage.

6. Bamberger, M., Rugh, J., & Mabry, L. (2012). *Real world evaluation: Working under budget, time, data, and political constraints*. Thousand Oaks, CA: Sage.

7 There are also vulnerability and risk assessments, and vulnerability and capacity assessments.

WHY CONDUCT A RAPID EDUCATION AND RISK ANALYSIS?

The purpose of this tool is to collect information quickly to inform USAID Mission decisions regarding the design, adaptation, and/or delivery of an education program so that it is sensitive to various contextual risks and does not contribute to conflict dynamics or disaster vulnerabilities, and where possible builds social cohesion and resilience. It is a first snapshot of information and, as a general rule, should be followed by a more in-depth analysis as resources permit.

This tool is not a guide for analyzing programmatic, fiduciary, or individual risk.⁸

The more specific functions of this tool are to:

- Summarize the **overall context**;
- Describe the **main risks** in the country as they relate to education systems, learners and their communities, including as relevant:
 - root causes, actors, dynamics and future scenarios of **conflict**;
 - main natural **disaster** risks;
 - main causes and dynamics of **gang violence**;
- Identify **capacities** for social cohesion and resilience;
- Describe **education sector capacities and gaps**;
- Support the **prioritization** of analysis findings and link them to program design, including theories of change;

WHEN TO USE THIS TOOL?

USAID may need a Rapid Education and Risk Analysis for **several scenarios**:

- **emergency settings**: USAID can use this tool as a basis for the rapid re-design of ongoing programming due to a sudden crisis or escalation of a conflict;
- **ongoing, chronic crisis**: USAID can use this tool due to an escalation of a conflict or crisis, and to better define education response strategies on the ground;
- **development settings**: this tool can help USAID identify latent risks for improved education strategies that involve risk prevention and mitigation to advance equitable access.
- **strategic moments in program design and implementation**: this tool can support the development of a new education strategy or program in a high-risk context, or to review an education program mid-cycle and adjust it or gauge its conflict sensitivity.

WHO SHOULD USE THIS TOOL?

This tool is oriented primarily for use by USAID Education Officers, but it is also designed for use by USAID Implementing Partners. The methodology set out in this tool should be a participatory process that involves multiple stakeholders including USAID Mission staff, consultants, and other partner or government organizations. The main roles that need to be played in the needs analysis are:

⁸ For more information on these risks, see: *Risk Management: Internal USAID Literature Review*, December 2011, available at: http://pdf.usaid.gov/pdf_docs/pnadm058.pdf.

- The **USAID Mission analysis manager**: Oversees the “big picture,” provides quality control, communicates with partner and government organizations, guides USAID staff working on the analysis, and supervises the analysis team.
- The **analysis team leader**: Develops analysis work plan; manages data collection, analysis, and report writing; supervises and trains other analysis team members; provides quality control; assures conflict sensitivity of the analysis itself; and regularly communicates with USAID Mission education analysis manager.
- The **analysis team members**: Approximately 2-5 external consultants who undertake specified analysis tasks and contribute to producing required deliverables.
- Other **USAID staff**: Assist in setting the direction of the analysis, technical support on risk-related analysis methodologies, help hire the analysis team, gather needed resources, use data to prioritize findings and develop strategy, and provide administrative and logistical support.
- **Partner organizations and government**: Provide needed documents and resources, including risk-related analysis tools and expertise, help identify key informants, and help interpret, prioritize, and use findings for strategy development.

HOW TO DO THIS ANALYSIS

Implementing this tool involves three phases:

1. **Planning**: Setting the parameters for the analysis (e.g., identifying education sector and geographic focus), hiring the analysis team (e.g., looking for consultants with the right competencies), and preparing for in-country work (e.g., identifying relevant documents, resources, and key informants).
2. **Data collection and analysis**: creating and implementing a data collection work plan and analyzing data.
3. **Prioritization of, buy-in to, and reporting of the findings**: actions and activities related to prioritizing analysis findings, enlisting USAID senior management engagement, reporting on the analysis, sharing findings, and using data to make decisions about strategy and programming.

ANALYSIS PHASE I: PLANNING

Timeframe: 3-5 days

SETTING THE ANALYSIS PARAMETERS

To have clear and useful analysis results, begin by determining the analysis parameters: **why, what, where, when, who and how**. This process of prioritization should be informed by the existing opportunities and constraints, such as budget, security and time. It should also be informed by any pre-existing conflict analysis and/or education assessments that have recently been (or are currently being) conducted by other donors or partners.

Analysis Parameters: General Questions


Why is the analysis being conducted? Will it inform an emergency response program that must be conflict sensitive only? Or will it lead to the design of a new education program or the adjustment of an ongoing program that will mitigate risks—such as building social cohesion and resilience? These decisions affect the methodology relating to risk and any subsequent risk analysis.


What information is essential for USAID to make decisions? This relates to whether information should be gathered on the primary, secondary, and/or tertiary education sub-sectors; whether to retrieve data from public, private and/or non-profit providers; whether to have a focus on certain learners (e.g. females, males, out-of-school youth, identity groups, most deprived groups); which risks to focus on (conflict, disaster, gangs, or several, etc.); whether it is feasible to conduct primary data collection subnationally (provincial or district level), and if so, how; and how to optimize terminology, particularly vis-à-vis local stakeholders. Some of this information may change as analysis results come in; for example, early findings may indicate that more or different groups, areas, levels or risks should be targeted. Therefore, it is important to leave room in the initial analysis parameters for changes to the scope of work and timing.


Where will the analysis be conducted? In addition to the national context analysis, which regions, provinces, or municipalities should be included? If geographic parameters are set, then analysis is only conducted covering those areas. If not, then a representative sample covering all potential program areas will be necessary. It is also important to consider how the selected analysis area overlays with various risks, such as inter-group conflict zones or high disaster risk areas, and how those areas not assessed may react to being excluded.


When will the analysis be implemented? After an acute emergency or the escalation of an ongoing conflict? During a development setting? Or to inform the design of a new program or the adjustment of an ongoing program? This tool is light and flexible, therefore the opportunities to conduct this type of analysis are greater.

Who should be consulted? In a high-risk context it is vital to gather information from as wide a range of sources as feasible. Engaging a variety of identity and vulnerable groups helps widen representation and data comparison (particularly perceptions of conflict and disaster). If time allows, a participatory process (e.g. focus groups, surveys, interviews) with stakeholders can inform this process. Also, who carries out the analysis (and with whom they interact) is important for **conflict sensitivity**. Careful composition of the analysis team and the selection of stakeholders are crucial. The analysis team must be as informed as possible about the general conflict dynamics before deciding on a methodology and approaching local stakeholders.

 The **Analysis Parameters Checklist** provides a framework for deciding on the scope of information-gathering.

 The **Sample Analysis Scope of Work (SOW)**, discussed in the next section in more detail, provides a template that includes analysis parameters.


 USAID Mission staff must complete this tool and share it with the analysis team and other stakeholders as appropriate.

 The Joint Education Needs Assessment Toolkit (Global Education Cluster, 2010) is an excellent resource for identifying additional analysis parameters (see pages 14-16 for additional topic areas of interest). A Short Guide to Rapid Joint Education Needs Assessment (Global Education Cluster, 2010) provides ideas on important questions to incorporate (see page 9).

EXISTING PARTNER EDUCATION NEEDS AND RISK ANALYSIS TOOLS

As USAID defines the parameters of the analysis, it may consider conducting a more comprehensive education and risk analysis using existing tools developed by USAID, as well as by partners. These tools include education and conflict assessment tools, conflict analysis tools, and disaster risk and disaster vulnerability analysis tools. USAID Missions may choose to use and adapt any of these tools and conduct them with partners.


 The **Key Partner Education and Risk Analysis Tools** offers a quick reference to some useful education and risk analysis tools to guide decisions by USAID staff who are considering pursuing a comprehensive analysis, and can be found in the Tools Section.

 The USAID Analysis Team Manager, with support from USAID Washington, should become generally familiar with more comprehensive analysis tools listed in the Tools Annex to support a decision to pursue a more comprehensive risk and education analysis.

THE ANALYSIS TEAM: ROLE AND RECRUITMENT

Scope of Work (SoW)

The USAID Mission should develop a SoW to support the activities and recruitment of the analysis team. Mission staff should circulate the SoW with colleagues with experience in analysis, research, or evaluation within conflict- and crisis-affected contexts to identify potential team candidates. Interviews should be team-based and use a standardized protocol of questions. Candidates' previous work samples and references should be obtained before hiring.

 The **Sample Analysis Scope of Work (SOW)** includes analysis parameters, and also provides a template to support recruitment and hiring of the analysis team.

Analysis Team Role

The generally expected role of the analysis team is:

- conducting a self-assessment for bias and conflict sensitivity
- creating and implementing a data collection and analysis work plan
- developing or recommending data collection tools or protocols
- reviewing and analyzing documents or secondary data
- interviewing key informants
- writing a report of analysis findings

- providing an in-person briefing on analysis findings.

Analysis Team Composition

The analysis team should consist of two (2) to five (5) consultants:

- team leader (required)
- one (1) to two (2) research experts (one required)
- up to two (2) local experts

It is recommended that the analysis team composition:

- consist of both male and female researchers
- reflect local ethnic/identity demographics as much as possible

Analysis Team Experience and Skills

- At least one to three team members should be experienced educationalists who understand the education system and sector, as well as the unique education-related issues in conflict and crisis environments.
- At least one to two team members should have expertise in risk analysis—conflict analysis or, as appropriate for context, resilience analysis or disaster risk analysis.
- Local experts should be experienced in the education sector, and with data gathering, and should provide important insights into the local context.
- At least one local expert should be experienced in risk analysis—conflict analysis or, as appropriate to context, resilience or disaster risk analysis.

Conflict Sensitivity

Nothing is neutral in a conflict and high-risk setting, and this includes the analysis team. Key conflict sensitivity considerations apply to the team:

- Hiring decisions about the analysis team composition should be informed by a general understanding of conflict dynamics and conflict sensitivity considerations.
- A diverse team should be selected, allowing for greatest access to data, broad analytical perspectives and skill.
- Team members must be able to collaborate under pressure and professionally solve internal differences.
- Once the team is composed—and before starting the analysis—it should inform itself generally about the conflict dynamics and self-assess for its own biases, perceptions, prejudices and approaches to data collection and confidentiality, and stakeholder engagement.

◆ **Existing guidance on recruiting and forming the analysis team** can support recruitment, including *USAID's Conflict Assessment Framework 2.0 Application Guide*, *Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack* (Conflict Sensitivity Consortium, 2004, Chapter 4, p. 8), *CDA's Conflict Sensitivity Framework*.

▲ The USAID analysis manager may want to consult **USAID's Office of Conflict Management and Mitigation** in Washington for support on the overall analysis planning and implementation, as well as recruitment of conflict specialists.

◆ **Pre-existing conflict analysis reports** can be used by the USAID Analysis Manager to inform the parameters for the analysis, the recruitment of the analysis team, and can be used by the team for its initial bias and conflict sensitivity self-analysis. These include USAID Conflict Assessments, Peacebuilding Priority Plans, UN Peacebuilding Fund project submissions, Post-Conflict Needs Assessment (PCNA),

Poverty Reduction Strategy Paper (PRSP), Fragility Assessments, UN Integrated Strategic Frameworks (ISFs), UN Strategic Assessment, and reports by UNDP, UNICEF, International Crisis Group, SaferWorld, to name a few.

▲ USAID should ensure that the planning and management of its own analysis is informed by findings from **macro-level, cross-sectoral education and/or conflict analysis**, where available.

▲ USAID Mission staff will need to take responsibility for developing and **disseminating the analysis team SOW**.

GATHERING KEY RESOURCES

In preparation for the analysis, USAID staff should gather resources from as wide a range of sources as possible. Information will be needed to describe the pre-crisis situation as well as the in-crisis situation (and in some cases, post-crisis situation).

Two **types of data** will be needed:

- Primary: information collected for this study; and
- Secondary: existing data in documents (e.g., USAID guidelines, national policies, research studies, risk related reports, and secondary data reports).

To support the collection of data, USAID staff may find it useful to contact the following **key partners**:

- ministries of education, planning, and/or finance
- local and regional governments
- national disaster management authorities
- international and local NGOs
- international and multilateral organizations (e.g. World Bank, UN, IMF, European Union)
- other bilateral development partners

ENLIST MISSION LEADERSHIP SUPPORT

The USAID Mission Director plays an important role in the analysis exercise and thereafter. The USAID Mission Director ideally should be proactively involved in promoting the analysis findings internally and externally, and instituting USAID Mission accountability mechanisms so that USAID Staff use the findings to inform program design and management. As early as possible, the USAID analysis manager should begin briefing the USAID Mission Director on the significance of the analysis exercise and keep her/him apprised of progress and to build his/her leadership buy-in.

LEVERAGE PARTNERSHIPS

Whether a USAID Mission decides to use a partner risk analysis tool or this USAID Rapid Education and Risk Analysis tool, it should maximize the involvement of partners in the exercise. Partners with mandates and expertise in education, as well as conflict, crisis and natural disasters, should be explored and possibilities for collaboration. This diversity of partnerships can augment specialist expertise in different dimensions of education in crisis and conflict, bring in additional resources for more comprehensive analysis, and enhance buy-in for findings and alliances in program design and implementation.



The **Key Stakeholders Matrix and Key Documents/Resources Matrix** provide a framework for the analysis team to identify relevant documents on a variety of topics, as well as recommendations for possible key informants from different types of organizations.

▲ USAID Mission staff will need to take responsibility for completing the Key Documents/Resources

Matrix and sharing it with the analysis team and other stakeholders as appropriate.

◆ The **INEE Guidance Note on Conflict Sensitive Education** suggests sources for reports and analyses on conflict dynamics and peacebuilding.

◆ To identify education gaps, it is important to know the capabilities and capacity of the education sector. In some conflict- or crisis-affected contexts this information may not be available in-country. **UNESCO-IIEP-Planipolis Website** includes education plans and policies from various official sources, which can be useful for both data analysis and triangulation.

◆ In crisis, secondary data for education may be found from the Ministry of Education, NGOs, and UN Agencies such as the Office for the Coordination of Humanitarian Affairs (OCHA) and UNICEF.

ANALYSIS PHASE 2: DATA COLLECTION AND ANALYSIS

Timeframe: 6-9 days

CREATING AND IMPLEMENTING A DATA COLLECTION WORK PLAN

The analysis team should carry out the following steps to develop and implement a data collection workplan in support of the needs analysis.

✂ The **Sample Analysis Work Plan** provides an outline for the types of information that should be included. These types of information are discussed in more detail below.

Analysis Data Collection Principles

- Data are **relevant** – the data to be collected are timely, focused on a set of key questions, and can easily be used to make decisions
- Inquiry is **consistent** – the content of questions and indicators should be based on core areas of inquiry
- Data collected are **not duplicative** – the analysis should build upon data that have already been collected by other actors
- Data collection tools and methods are **uncomplicated** – because of the complicated context, rapid framing of the analysis, and likely limited time to train data collectors, tools should be easy to implement
- Data collection tools and methods are **quick** – to avoid risk for the assessor and the respondent in an insecure environment, data collection protocols should be short and to the point
- Data are **easy to compile** – due to the rapid nature of the analysis, summary findings should be easy to generate
- The analysis **“Does No Harm”** – the analysis content or process should not jeopardize people’s lives, exacerbate people’s emotional and psychological vulnerabilities, or contribute to the conflict or crisis.

(Adapted from INEE 2006)

Step 1: Clearly state the **purpose** of the analysis and the **key questions** to be answered.

Step 2: Determine **what information and data analysis already exist**.

- This is a crucial step to determine the purpose, scope and methodology of the analysis.
- Existing education assessments, as well as context and risk analysis (political analysis, country risk reports, conflict analysis, disaster risk and vulnerability assessments, etc.) often exist. Sources for this information were described in the previous section.

Step 2: Determine the **method and tools** to be used.

- Both **quantitative and qualitative data** should be collected. Quantitative data provide information on the size or breadth of an issue, whereas qualitative data can provide

information on why or how the issue came to be.

- **Existing sources** can be reviewed for both types of data. Various measurement tools can be created to gather needed information. Secondary data reports (e.g., local data reports on poverty, health, education, and risk statistics) and surveys would be likely sources for quantitative information. Existing reports (e.g., USAID or other donor annual reports), and primary sources, such as key informant interviews, focus groups, and observation, are useful ways of collecting qualitative information.

Information and sources based on type of data		
Data Type	Information	Sources
Quantitative data	Size or breadth of an issue – how many are impacted	<ul style="list-style-type: none"> ▪ Secondary data reports ▪ Surveys
Qualitative data	Depth of an issue <ul style="list-style-type: none"> ▪ why or how it came to be ▪ perceptions regarding risk (causes of conflict, dividers and connectors, hazards, etc.) ▪ perceptions regarding capacities and assets 	<ul style="list-style-type: none"> ▪ Program reports or documents ▪ Key informant interviews ▪ Focus groups ▪ Observations

Step 3: Identify the appropriate questions, indicator categories, and indicators.

- These elements are crucial as they determine the overall strategy of enquiry, and form the basis for identifying patterns, trends, relationships, and key themes in the analysis (see below).
- This will lead the team in developing detailed data collection methodologies.

Step 4: Select a sampling method.

- Time limitations and geographic scope will heavily determine the choice of sampling method, and this choice should be considered carefully as it greatly influences the data collected. Several options include:
 - *purposive sampling* (non-probability), which uses the judgment of the analysis team to select representative locations and/or informants, is moderately rigorous, but vulnerable to bias.
 - *representative/probability sampling* selects informants so that they have equal probability of selection and is considered the most representative and rigorous type of sampling, but can be time consuming.
 - *convenience sampling* focuses on easily accessible locations or informants, and is not very rigorous.

Step 5: Select primary data collection methods:

- A Rapid Education and Risk Analysis exercise presents real constraints for primary data collection. However, opportunities to engage informants, such as at the national level, should always be explored. All methods must be conflict sensitive. Several methods include:
 - *Key informant interviews*: Key informant interviews are conducted for an overview of the situation within a geographic area or to probe key issues or themes more in depth. The selection of key informants should be diverse and representative (especially in terms of gender), and capture divergent views of conflict, where relevant.
 - *Focus group discussions*: Focus group discussions give in-depth understanding of a situation and verification of findings from key informant interviews, and can be pursued in limited fashion given time constraints.

- *Surveys:* Surveys use standardized questionnaires to gather information on an affected sample of people, but require preparation and time.
- When engaging informants, the team should place priority on feelings and forecasts to elicit feelings—perceptions, attitudes, and judgments—about both current conditions and future expectations. Understanding these feelings will be particularly important with respect to analyzing the role which institutions, social patterns, and key mobilizers all play.

Step 6: Develop a schedule and budget.

- Because the contexts affected by conflict and crisis can change quickly, it is useful to have contingency plans prepared that factor in the dynamic and unstable context, including key political or national events. The schedule and budget should also include enough flexibility to allow the analysis team to make last-minute adjustments to analysis parameters, in the case that early findings indicate this is necessary.

Step 7: Draft the workplan.

- The workplan, and any real-time modifications to it, should be reviewed for possible interactions with the conflict or crisis dynamics (conflict sensitivity). For example, if conflict prohibits access to an area populated by a certain identity group, how can informed estimations fill that data gap? How might omission of that group by the analysis team trigger grievance and tension? How will the team mitigate this?

Step 8: Ensure adherence to ethics and conflict sensitivity.

- Ethical considerations (see box below) demand that provisions be made for informed consent and assurance of confidentiality for analysis participants. The analysis team should adhere to a peer-reviewed code of research ethics standards as well as USAID policies.

Ethical Considerations

Analysiss are not neutral, but are ‘interventions’ in themselves. They influence local expectations, and can influence risk factors for counterparts, communities and the analysis team itself. An ethical approach to conducting analysiss demands:

- that *those affected by the crisis participate actively* in identifying their own needs and priorities.
- *good communication to ensure informed consent:* participants understand that they don’t have to participate in the analysis if they prefer not to, and they understand the purpose of the analysis and its limitations.
- that *confidentiality* is assured for participants.
- *foresight regarding any potentially negative impact of the exercise.* Don’t use methodologies that risk stigmatising children and youth, endangering them in any way, or increasing family separation. In extreme cases, analysiss may even endanger the safety of respondents, eg, by labelling children or youth and attracting the attention of groups that prey on children and youth at risk.
- *a commitment to follow-up action*, if required.
- *that we refrain from taking over* and assuming leadership if communities or governments can cope, unless the community’s response doesn’t adequately ensure the basic rights of children and youth.
- *sustained communication*, so that we keep participants informed of how the information they provided is being used and what follow-up actions are being taken.

(Adapted from the INEE [Short Guide to Rapid Joint Education Needs Assessments](#), Global Education Cluster, 2010)

- The analysis must also be **conflict sensitive**. It must be planned and implemented in away that does not worsen conflict dynamics of local stakeholders, identity groups and communities. The analysis team itself must also not be put at risk.

Step 9: Note **methodological limitations** of the analysis.

- As mentioned early in this guide, this is a rapid analysis, therefore compromises and prioritization must be made for a “good enough” analysis. Time and security constraints may prevent field visit data collection. Therefore, creative approaches to gathering data will be needed, and limitations to the analysis methodology will need to be presented in analysis findings and reports



The analysis team will be responsible for development and implementation of the work plan and any data collection tools.



The USAID team is responsible for review and providing feedback on the workplan and ensuring partner organizations are aware of the analysis timeline. It is also responsible for developing the general schedule and budget, allowing for input from and adjustment by the analysis team.



The How to Guide to Conflict Sensitivity provides a list of considerations to ensure the analysis is conducted in a conflict sensitive way. (Conflict Sensitivity Consortium, 2012, p. 8)



The Short Guide to Rapid Joint Education Needs Assessments (Global Education Cluster, 2010) provides additional information; see pages 28-41 for key informant, focus group, and observation forms and pages 17-20 for a short discussion on data collection strategies.



Real World Evaluation: Working Under Budget, Time, Data, and Political Constraints (Bamberger, et. al., 2012)⁹ discusses issues related to data collection and time constraints; see pages 63-64 for options on reducing time required for data collection and analysis.



The Joint Education Needs Assessment Toolkit (Global Education Cluster, 2010) is an excellent resource for considering how to develop appropriate data collection tools; see pages 65-109 for sample secondary data, key informant, focus group, and observational tools. For information on sampling strategies and other methodological concerns, see pages 19-23. The Participatory Impact Assessment: A Design Guide (Feinstein Center, Tufts University, 2014) also provides detailed information on data collection and sampling methods.

ANALYZING THE DATA

For **quantitative data**, information from secondary data sources can be repurposed to answer specific needs analysis questions (see Table 3). If surveys are implemented as part of the data collection process, then data will need to be entered into a software program (e.g., Excel) and analyzed. The outputs will generally be graphs, charts, and tables.

Qualitative data can be analyzed quickly by having the team of researchers write down and discuss themes as they arise during interviews, focus groups, and observations. In rapid data collection situations, it is better for researchers to write down and organize their notes daily. Topics that arise continually can also be verified by referring to any relevant documents and reports.

Analysis strategies and outputs based on data type

Data Type	Analysis Strategies	Examples of Outputs
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14. Bamberger, J.M., Rugh, J., & Mabry, L. (2012). *Real world evaluation: Working under budget, time, data, and political constraints*. (2nd ed.). Los Angeles: CA. Sage.

Quantitative	<ul style="list-style-type: none"> ✓ Re-presentation of secondary data ✓ Data entry and formal analysis using software package 	<ul style="list-style-type: none"> ✓ Graphs ✓ Charts ✓ Tables
Qualitative	<ul style="list-style-type: none"> ✓ Rapid content analysis or theming ✓ Transcription and coding 	<ul style="list-style-type: none"> ✓ Overarching themes ✓ Quotations

Triangulation, disaggregation, and validation are critically important for data management in conflict-affected contexts.


Triangulation is comparing information gathered across different sources, methods, or data collectors to identify consistencies and inconsistencies that may require more research (Global Education Cluster, 2010, p. 21). This is very important in environments that are conflict or crisis affected, where misinformation can flow freely and data can be politically charged or biased.


Disaggregation is separating information according to different characteristics to find underlying inequities that may be masked by aggregate data. Disaggregation is critical in conflict- or crisis- affected contexts, where average indicators may mask extreme discrepancies across identity groups, age, gender or geographic regions.


Categorization or Sorting the data into key themes, issues, patterns, trends, and distilling key headlines to logically organize and begin making sense of the information.

Analysis of the data to identify patterns, trends, priority concerns, outlying issues, and relationships—particularly between risks, education systems, learners and their communities—is crucial to understand the data in terms of systems, make meaning from the data, and to add value to USAID decision-making. This tool is based upon the important assumption that the analysis team will possess the necessary experience and skill to conduct this analysis. Resources for support in this regard are included below.

Validation is the presentation of information and the overall analysis to people familiar with the issues to elicit their feedback on accuracy. This is particularly important to validate the analysis of risks. The analysis team should share findings with diverse stakeholders—local and international—before a final report is written to confirm initial impressions and highlight issues that may require more research.

 The **Questions, Indicator Categories and Indicators** tool draws upon various education and risk analysis methodologies, such as the Education System Analysis Methodological Guidelines (Volume I, 2013) and offers a general and flexible guide to support an expedited analysis of the overall country situation, prevailing risks and capacities, the education sector, and the interaction between risks and the education sector, learners and their communities. This framework can help inform a decision to pursue a more comprehensive education and risk analysis as necessary.

 The analysis team will be responsible for analyzing the data and completing the analysis framework. It is recommended that USAID staff, and as appropriate, partner and government organizations, receive a briefing on the material incorporated into the framework.

 The Joint Needs Assessment Toolkit (Global Education Cluster, 2010) can also be helpful in determining how to analyze data; see pages 32-41 for analysis strategies and pages 110-113 for suggestions on data compilation.

ANALYSIS PHASE 3: REPORTING AND APPLICATION

Timeframe: 5-7 days

WRITE UP THE RESULTS

Depending on how much time there is for writing up the results of the analysis, the report may be more or less formal. Once initial findings and conclusions are discussed, it is recommended that the analysis team develop a report outline and solicit approval from the USAID analysis team manager or USAID Mission management. The structure and length of the report should be decided on ahead of time. If there is less time to develop the report, it may mostly consist of headline findings and messages, tables, charts, and graphs. If more time is available, further analysis and narrative support should be provided to discuss findings and recommendations.



The **Sample Analysis Report Outline** offers an outline that can be used to report on the analysis findings.



The analysis team will be responsible for writing the analysis report. Feedback should be gathered from USAID staff and, as appropriate, partner and government organizations.



The Joint Needs Assessment Toolkit (Global Education Cluster, 2010) has some ideas on various ways to report information; see pages 42-45 for information on verbal reports, executive summaries, and full reports.



The findings presentation can be done either by the analysis team or the USAID analysis manager.

PRIORITIZE FINDINGS

The prioritization of analysis findings is important to maximize results within USAID and host country strategies, given limited resources. It is recommended that the prioritization of analysis findings be done in consultation with key USAID and partner stakeholders. Often, a validation or prioritization meeting is useful in this regard. This step is important as the prioritization of findings is featured in the analysis report and external messaging, and underpins the development of theories of change for strategic and/or program planning.



The **Sample Prioritization Matrix** offers a sample framework to prioritize findings according to certain criteria and numbered ranking.

SHARE FINDINGS INTERNALLY AND EXTERNALLY

Once the analysis is complete and simultaneous to the writing of the report, the USAID Analysis Manager should share key findings of the analysis with the USAID Mission Director and enlist his/her support in promoting findings internally and externally. The USAID Mission may find it useful to share the findings of the needs analysis with other staff in the Mission or in Washington or, externally, with international and national partners. A verbal presentation may be sufficient. If a deeper discussion is needed about the findings or methodology, it may be advisable to include this step in the analysis team's scope of work. As mentioned earlier, findings from the analysis can be used to leverage partnerships for advocacy and joint planning and action.

LINK FINDINGS TO STRATEGIC PLANNING

The analysis should lead to action. Analysis findings offer an essential building block to inform conflict sensitive strategic planning, management decisions, and program planning—which involves consequential

choices that can include theories of change, target groups, allocation of resources, and partners. Pertinent USAID staff and valued partner and government organizations should be invited to a half- or full-day workshop to discuss analysis findings and plan the education response.

Various approaches can be used to solicit discussion and promote decision-making. Simple brainstorming can be used in large or small group settings based on a set of key questions to be answered. Other techniques include SWOT (strengths, weaknesses, opportunities, threats) analysis, problem/objective trees, and force field analysis (which looks at facilitators and barriers to help identify actions or strategies).



The **Action Planning Framework** is designed to enable the development of strategic goals based on the needs analysis findings. For each goal, specific actions can be chosen that include a provision for thinking through needed resources, personnel, and time. It also encourages considering expected outcomes of each action.



The USAID analysis manager should be in charge of creating the agenda for the strategic planning workshop. Depending on level of comfort and skill, he/she may or may not facilitate the session. Important skills for a facilitator to have are: listening, repeating, and summarizing; managing group involvement; and catalyzing group decision-making.

INFLUENCE BROADER RISK ANALYSIS

USAID Missions should use analysis findings to influence macro-level, cross-sectoral risk analysis where these are planned or underway. These analyses typically form part of important national planning frameworks.¹⁰ Too often, the education sector receives insufficient priority in these analysis exercises. Consequently, national and international partner policies, plans, and financing undervalue investments in education and the contributions education makes to equity, peace, and resilience.



USAID Mission staff should broadly leverage partnerships to identify when macro level analyses are planned in order to engage them early. Typically, all sectors will be involved, and support from Washington, including Education and CMM, is highly valuable.

REQUIRE USE OF A RAPID EDUCATION AND RISK ANALYSIS

USAID should require that all Implementing Partners in conflict and crisis contexts conduct either a USAID education needs and risk analysis or utilize a partner risk analysis methodology as the basis for their programming. The following standard language should be included into all SOWs.

¹⁰ These include the Poverty Reduction Strategy process, Common Country Analysis/UN Development Assistance Framework (UNDAF), Consolidated Appeals Process, Post-Conflict and Post-Disaster Needs Assessments, UN Peacebuilding Priority Plans

TOOLS ANNEX

TOOL 1: KEY PARTNER EDUCATION AND RISK ANALYSIS TOOLS¹¹

Organization	Tool	Description/Link	Duration	Link
USAID	Conflict Assessment Framework 2.0 (2012)	Updated version of USAID's conflict analysis methodology. Accompanied by an Application Guide to support planning and management of the analysis. Can be adapted for any sectoral planning exercise.	2-3 months	http://www.usaid.gov/what-we-do/working-crises-and-conflict/technical-publications
USAID-Global Partnership for Education	Integrating Conflict and Fragility Analysis into the Education System Analysis Guidelines (2013)	<ul style="list-style-type: none"> - Reviews existing approaches, methodologies and tools for analyzing conflict and fragility in the social sectors, including education; - Proposes a methodology to integrate conflict and fragility analysis into comprehensive Education System Analysis Methodological Guidelines Volume I. 	Several months (est.)	http://pdf.usaid.gov/pdf_docs/P A00JW1Z.pdf
World Bank	Resilience in Education Systems (RES360) Rapid Assessment Manual (2013)	Ascertains risks, education community assets and potentially relevant education programs in a country. The tool can be made shorter (2-4 weeks) and longer (2-4 months). The shorter assessment involves national level data review of key risks faced by students and schools, education responses that mitigate risks, and legal and regulatory framework. Limited school assessment possible. Longer phase involves detailed quantitative phase of school-level assessment using detailed questionnaire.	2-4 weeks or 2-4 months	http://documents.worldbank.org/curated/en/2013/01/17708055/resilience-education-system-res-360-degree-rapid-analysis-manual
CDA Collaborative Learning Projects	Conflict Analysis Framework (2012)	A detailed framework and practical guidelines on conflict analysis methodologies, including various primary data collection and analysis tools, which can be adapted to various sectors.	N/A	http://www.cdacollaborative.org/media/102115/conflict-analysis-framework-field-guidelines.pdf
INEE	Guidance Note on Conflict Sensitive Education (2013): Conflict Analysis	Supports and expands on INEE Minimum Standards content to provide a reference tool for conflict sensitive education strategies and resources. Includes section on conflict analysis.	N/A	http://www.ineesite.org/uploads/files/resources/INEE_GN_on_Conflict_Sensitive_Education.pdf
Conflict Sensitivity Consortium/ Saferworld	How to Guide to Conflict Sensitivity (2012): Conflict Analysis	Illustrates real examples of applying conflict sensitivity, and provides practical advice at project or at organization-wide level on all aspects of conflict sensitivity,	N/A	http://www.conflictsensitivity.org/sites/default/files/1/6602_

¹¹ This is a prioritized list. For more references of conflict and education analyses and reports, see Annex I and Annex 2 of *Integrating Conflict and Fragility Analysis into the Education System Analysis Guidelines*, USAID-Global Partnership for Education (2013), http://pdf.usaid.gov/pdf_docs/PA00JW1Z.pdf.

		from analysis to self-analysis.		HowToGuide_CSF_WEB_3.pdf
OECD	Guidelines for Resilience Systems Analysis (2014)	Provides conceptual background to resilience and systems analysis in a multiple risk landscape. Analyzes how risks affect key components of a well-being system, power dynamic, and leads to what needs to be done to boost resilience in the system.	3-4 months	http://www.oecd.org/dac/Resilience%20Systems%20Analysis%20FINAL.pdf
IFRC	Vulnerability and Capacity Analysis Guidelines	Uses various participatory tools to gauge people's exposure to and capacity to resist natural hazards. Cross-sectoral application, serves as an integral part of disaster preparedness and contributes to the creation of community-based disaster preparedness programs at the rural and urban grass-roots level.	6 months (est.)	http://www.ifrc.org/Global/Publications/disasters/vca/Vca_en.pdf

TOOL 2: ANALYSIS PARAMETERS CHECKLIST

This tool guides USAID staff through specific questions to help shape information-related parameters of the analysis.

Question	Yes	No	Maybe	Why or why not?
Will the analysis analyze the overall context?				
General (social, economic, political)				
Risks (conflict, disaster, violence, etc.)				
Will the analysis analyze risks and their interaction with education?				
Conflict and fragility				
Natural disasters				
Violence, crime, gangs				
Do risks interact at the school level?				
Will the analysis analyze capacities and assets for resilience to risks?				
In the education system				
In school communities				
Will the analysis take into account the following education levels?				
Primary education ¹²				
Secondary education				
Higher education				
Will the analysis take into account the following education type?				
Formal education system?				
Non-formal education system				
Technical/vocational				
Will the analysis take into account education provided by:				
Government public agencies				
Private organizations				
Faith-based groups				
Community groups				
Parallel education system (e.g., that which is delivered in separatist regions)				
Other (e.g., World Bank, Global Partnership for Education, UNHCR, INGO, or LNGO)				
Do these categories overlap?				How? For example, 90% of community-based schools are also faith-based institutions or schools.
Will the analysis take into account the following learners?				
Males				
Females				
Learners of a specific age range				
Out-of-school learners				
Learners with specific group identity characteristics (e.g., disabilities, minority language speakers, displaced).				List the specific group identity characteristics separately.
Orphans and vulnerable children				

10. The Early Childhood Development and Education level is not a priority of USAID under the current strategy.

The most marginalized, deprived, and hard to reach learners, parents and communities				List the specific group or geographic characteristics separately.
Which geographic/administrative areas will be included in the analysis?				
(Use local terminology)	Which?		Why?	
Regions				
States or Provinces				
Districts				
Municipalities				

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TOOL 3: SAMPLE SCOPE OF WORK

1. USAID Cover Sheet Most USAID reports begin with a summary cover sheet. The model below can be replicated and adapted for the respective context.	
USAID Mission	USAID/South Sudan
Region/Country	Africa/South Sudan (Geographic Area 650)
Program	Bi-lateral under Strategic Objective A12/A055
Government of South Sudan Counterpart	Ministry of Education, Science and Technology (MoEST)
Funder	United States Agency for International Development (USAID)
USAID Mission Analysis Manager	
Agreement Information	Leader Cooperative Agreement No. Associate Cooperative Agreement No. Modification #01 Associate Cooperative Agreement No.
USAID/South Sudan Education Budget	US\$
Important Partners	Government Partners Donor/Development Partners Civil Society Organization Partners Child/Youth Partners
Analysis Target Locations	Nationwide or Region X or States/Provinces A, B, C, or Districts/Counties D, E, F
2. Background a. Brief Description of the Context b. Main risks (conflict and crisis) c. Description of the Education Sector d. USAID/Mission Direction e. Rationale for the Scope of Work f. Pre-existing parameters (e.g., timing)	
3. Experience, Required and Preferred For USAID, a team of three to five analysis experts, including up to two local experts, is required to carry out an Rapid Education and Risk Analysis. Qualifications will vary with the type, scale and scope of the analysis. The list below is illustrative, not prescriptive; it should be adapted to the local context and the purpose of the analysis. Priority qualifications include experience with the following: <ul style="list-style-type: none"> • Education systems in conflict and crisis environments (including natural disasters as appropriate), including both the supply and demand issues in these contexts¹³ • Knowledge of the evidence base on effective approaches to increasing access and improving learning in conflict and crisis contexts, including contexts of high levels of gang violence. • Sampling methods (e.g., representative, snowball, stratified, and purposive) • Qualitative research (e.g., interviews, focus groups, content analysis, and measurements of perceptions and attitudes) • Quantitative research (e.g., secondary data analysis, survey design, and statistics) • Conflict sensitivity (i.e., analyzing education's interaction, both positive and negative, with conflict dynamics) • Risk analysis, primarily conflict analysis, but also disaster risk and resilience analysis. • Data analysis, including triangulation, validation and disaggregation of data for specific identity group characteristics (e.g., gender, disabled, ethnic, religious) • Management of local research teams • Research project management in challenging post-conflict and post-crisis contexts 	

11. Depending on the context, these may include: development and maintenance of Education Management Information Systems, Human Resource Management Systems, school safety, gender barriers, teacher professional development and accreditation, accelerated learning, equity promotion in education, or other local issues.

- Other locally relevant qualifications

Preferred qualifications may include:

- Relevant language skills
- Other locally relevant qualifications

4. Purpose of the Rapid Education and Risk Analysis

To inform the USAID Mission response strategy, a Rapid Education and Risk Analysis provides information regarding:

- The causes and dynamics of key risks (conflict, natural disaster, organized/gang violence) and their impact on learners, their parents and communities, and the education system
- Sources of social cohesion and resilience in the education sector, learners and their communities.
- The education sector capacities and gaps, especially for out-of-school children
- Considerations for a program strategy that delivers access to quality education for all and does not contribute to vulnerabilities and conflict

5. Rapid Education and Risk Analysis High-level Questions

The analysis team will provide a report that answers the following primary questions (see the Questions and Indicator list for relevant secondary questions):

- What are the main risks, their causes and dynamics, and how do they affect learners, the education system, and the wider community?
- What are the sources of social cohesion and resilience among learners, out-of-school children and youth, the education system, and the wider communities?
- What are education capacities and gaps, especially those relating to out-of-school children and youth?
- What should be considered in a program strategy that delivers access to quality education for all and that does not contribute to vulnerabilities and conflict?

6. Methodology

The analysis will use a mixed methods approach to the extent possible. This means that both qualitative and quantitative data¹⁴ will be collected and analyzed. Sources of information will include secondary sources as well as primary sources, via interviews, focus groups and/or observations at the national level. Efforts to collect primary data at the subnational level shall be explored to the extent possible. It is also expected that the methods used will be sensitive to dynamics of conflict, gender, and disabilities. Team members must ensure that all fieldwork is done in an ethical manner that does not cause harm and conforms to a code of research ethics.

7. Annexes to the Scope of Work

Annex 1: Completed Checklist for Conflict Sensitivity in Education Programs

[This annex should contain the completed Checklist for Conflict Sensitivity in Education Programs produced by the USAID Mission. This annex will enable the Analysis Team to gain a clear understanding of the Mission's view on the conflict sensitivity of its education programming and the conflict sensitivity of the partner government education sector.]

Annex 2: Document and Secondary Data Sources

[This annex should contain a list of all the relevant secondary source literature deemed essential for the analysis team to examine. The Analysis Team should identify priority secondary data sources, particularly on overall context and risk, that should be reviewed during pre-analysis. It is recommended that the documents be provided electronically with clear and explicit file names (e.g., author, date, and title).]

¹⁴ Primary data are information collected for this study directly from key informants and focus group participants. Secondary data are literature and information that already exists.

TOOL 4: KEY STAKEHOLDERS MATRIX

Key Informants or Focus Group Participants					
Name	Organization	Phone	Email	Relevant Information	Documents Informant Can Share
Juan Salcedo (example)	MOE-District Education Official	234-4567	jsalcedo@MOE.org	Pre-crisis education situation Map of schools Impact of crisis on education and vice versa Education gaps/needs Conflict dynamics Disaster risk mapping	<ul style="list-style-type: none"> 2013 Education Management Information System Report 2013 Education Policy and Plan Map of schools in the affected area Names of additional informants
Also Consider:					
Children					
Civil Service Organizations					
Community Education Committees					
Donors					
Education Cluster Leads (Save the Children, UNICEF)					
Government Partners					
International NGOs					
Local NGOs					
Ministry of Education					
Ministry of Emergency (Local and Natl. Levels)					
National disaster management agency					
Private sector					
Parents					
Specific Identity groups					
Teachers					
UNESCO					
UNICEF					
Youth and youth organizations					
UN Peacekeeping, Political or Peacebuilding Missions (if present)					
UNDP					
Women and women's organizations					
World Bank					
Other					

TOOL 5: KEY DOCUMENTS/RESOURCES MATRIX

Documents/Resources for Review				
Title	Source/Hyperlink	Date	Agency/Author	Relevant Information
Education Cluster Needs Analysis Report (example)		2012	Education Cluster	<ul style="list-style-type: none"> • Education pre- or in-crisis data • List of education stakeholders • Identification of education gaps/needs
Consider:				
Academic research studies				
Ed Mgmt. Information System Reports				
Education policy and plan documents				
Education Cluster Analysis				
Maps				
Conflict analyses				
Disaster risk assessments				
Hazard maps				
Vulnerability assessments				
Political risk and political economy analyses				
International and national research/think tank political and risk analysis reports				
Post-Conflict Needs Analysis				
Post-Disaster Needs Analysis				
Teachers'/Principals' school records				
USAID education project documents				
Facebook pages of education stakeholders, teachers unions, MOE, affected populations				
Twitter feeds of education stakeholders				
Websites of education stakeholders (e.g., MOE)				
Insurance and re-insurance company analyses, reports				
Other				

TOOL 6: QUESTIONS, INDICATOR CATEGORIES, AND INDICATORS

The following framework presents the analysis team with a menu of questions considered essential to the exercise, and optional indicators and indicator categories, with illustrative data sources, which can be used and tailored to context. The list of indicator categories and indicators is inclusive and broad. Not all indicators need be included in every analysis. Rather, this list is intended to help guide the analysis team's work, and in particular to provide optional risk-specific questions and indicators depending on context.

Disaggregation of indicator data is essential. Disaggregating for geographic areas, gender, age, relevant identity groups, and level and type of schooling can help understand risks, identify inequities in supply and access to education, and the interaction between risks and education access. Mapping and charting disparities of given indicators geographically is also important.

General question	Specific analysis question	Possible indicators/indicator categories
I. What is the overall country context? (Required)	I.1 What is the general (snapshot) political, economic, social, security and environmental situation in the country? (Required)	Regime stability (Maplecroft)
		Government Effectiveness Index (World Bank)
		GDP per capita, quintile (IMF, World Bank)
		Gini coefficient (World Bank)
		Human Development Index (UNDP)
		# extrajudicial and unlawful deaths (Maplecroft)
		Demographics, ethnic composition (World Bank)
		Transparency indicators (Transparency International, Freedom House)
		Violent crime, homicide rates (UNODC)
		Perceptions of corruption by various identity groups (Transparency International, Gallup World Poll, Vera Institute of Justice)
		Access to services (education, water/sanitation, health) (World Bank, UNICEF Multiple Indicator Cluster Survey or MICS)
		# military actions (incl. cross border) (PRIO, UN)
		Humanitarian indicators (IASC)
		Infant mortality rate (UNICEF)
		Ease of Doing Business (World Bank)
		Poverty rates (people living on less than \$1/day) (World Bank)
		# IDPs, refugees (UNHCR)
		#/% school completion by gender, identity groups, region or urban/rural (World Bank, UNICEF)

		#/% school enrollment (disaggregated, incl age) (EMIS, World Bank)
		#/% out of school (World Bank, UNICEF)
		Malnutrition rates (UNICEF)
		Urbanization rate (World Bank, UNHABITAT)
		Population density (World Bank)
		Military expenditure as % of GDP (SIPRI)
	I.2 Who are the main actors in the country—individuals and organizations? (Required)	Political and civic leaders
		Military, armed groups
		Influential public institutions
		Major companies (e.g. major employers, major investors in extractive industries and agriculture) (domestic/foreign)
		Main religious institutions, leaders
		Youth groups, leaders
		Women leaders, organizations
		Private sector leaders
		Major civil society organizations
	I.3 What are the main risks in the country—conflict, natural disaster (rapid and slow-onset), organized crime and gang violence? And where? (Required)	Regime stability (Maplecroft)
		Government Effectiveness Index (World Bank)
		GDP per capita, quintile (IMF, World Bank)
		Gini coefficient (World Bank)
		Human Development Index (UNDP)
		# extrajudicial and unlawful deaths (Maplecroft)
		Demographics, ethnic composition (World Bank)
		Transparency indicators (Transparency International, Freedom House)
		Country hazard profile (EM-DAT, World Bank, UNISDR, UNEP)
		Violent crime statistics, homicide rates (World Bank, UNODC, national police)
		Access to property/land by various identity groups (IFAD, IFC)
		# natural disasters, losses (UNISDR, EM-DAT, national disaster management authority, Post-Disaster Needs Assessments, World Bank Damage and Loss Assessments)

		<p>Location of geographic zones affected by various risks (EM-DAT, UN, World Bank, UNODC, national disaster management authority)</p> <p># gangs, gang-related violence (UNODC, World Bank, WHO, national police reports)</p> <p>Urbanization rate, # informal settlements (World Bank, UNHABITAT)</p> <p># IDPs, refugees (UNHCR)</p> <p>Perceptions of safety by various identity groups</p> <p>Reports of gang violence (UNODC)</p> <p>Access to services (water, education, health) by various identity groups (UNICEF MICS, World Bank)</p> <p>Access to food by various identity groups (FAO, WFP, UNICEF)</p> <p>% women reporting physical or sexual violence (annual) (WHO, national police, Demographic and Health Surveys/WHO MSWHDV)</p> <p>Youth unemployment rate by various identity groups (ILO, FAO, World Bank)</p> <p>% seats in parliament held by women (Inter-Parliamentary Union)</p> <p>Ratio female to male students (primary, secondary) (World Bank)</p> <p>Natural hazard indices (UNISDR, UNEP-GRID Global Risk Data Platform)</p>
2. What are the causes and dynamics of the main risks? (Required)	2.1 <u>Conflict:</u> What are the root causes of conflict? (Required)	<p><i>Analysis from available reports: UN, PRIO, ICG reports; existing conflict analyses, fragility assessments, country risk analyses.</i></p> <p><i>Causes:</i></p> <p>Perceptions by various identity groups about root causes</p> <p>Regime stability (Maplecroft)</p> <p>Government Effectiveness Index (World Bank)</p> <p>GDP per capita, quintile (IMF, World Bank)</p> <p>Gini coefficient (IMF, World Bank)</p> <p>Human Development index (UNDP)</p> <p># extrajudicial and unlawful deaths (Maplecroft)</p> <p>Human rights indicators (Human Rights Watch)</p> <p>Violent crime statistics, homicide rates (UNODC, WHO)</p> <p>Demographics, ethnic composition (World Bank)</p> <p># IDPs, refugees (UNHCR)</p> <p>Access to services (MICS, World Bank)</p> <p># active insurgent groups (ICG)</p>

		Violence against women (% women reporting physical or sexual violence) (WHO, UNODC, Demographic and Health Surveys/WHO MSWHDV)
		Out of school youth (World Bank)
		Youth unemployment rate (ILO, World Bank, FAO)
	2.2 What are the main sources of division and cohesion? (Required)	<i>Division: Perceptions by various identity groups about sources of division</i>
		<i>Analysis of root causes per reports, indicators cited above</i>
		<i>Cohesion: Perceptions by various identity groups about sources of cohesion</i>
		<i>Analysis of sources of cohesion per reports, indicators cited above</i>
		National laws, policies, and normative frameworks relating to peacebuilding, risk reduction, equity
		Existing peacebuilding processes (national, subnational), actors, institutions (UN, ICG)
		Perceptions of trust between identity groups (Afrobarometer, Latinobarometer, Institute for Social Studies Indices of Social Development - ISS-ISR, Gallup World Poll)
		Perceptions of extent of communication and collaboration between identity groups
	2.3 Who are the main actors involved in and affected by the conflict? (Required)	Perceptions by various identity groups about key actors (their positions, interests, issues and power)
		Analytical reports (ICG, UN, local think tank reports)
	2.4 What are future (5-year) conflict trends and triggers? (Required)	Perceptions by various identity groups about future trends and triggers
		Reports on history of conflict, recent triggers and trends (UN, ICG, PRIO)
	2.5 Natural disaster: What are the highest natural disaster risks in the country? (Required)	Disaster risk and hazard reports (UNEP-GRID Global Risk Data Platform Disaster risk profile, UNISDR Global Analysis Reports, Maplecroft indices, National Disaster Management Reports, Vulnerability and Risk Assessments)
		Country hazard profile (EM-DAT, World Bank, UNISDR, UNEP)
		# natural disasters, losses (UNISDR, EM-DAT, national disaster management authority, Post-Disaster Needs Assessment, World Bank Damage and Loss Assessment)
	2.6 Who is most affected by natural disasters? Why? (Required)	Access to services (World Bank, UNICEF Multiple Indicator Cluster Survey or MICS)
		Urbanization rate (World Bank, UNHABITAT)

		Population density (World Bank)
		Perceptions by various identity groups, communities of highest disaster risks they face
		Disaster affected populations by age, gender, geographic location, identity group (UNISDR, EM-DAT, national disaster management authority, Post-Disaster Needs Assessment, World Bank Damage and Loss Assessment)
	2.7 Gang violence: What are the dynamics of organized crime and/or gang violence related to schools? (Required)	School reports of gang violence (MoE, UNODC, WHO)
		Reports of gang violence in and around schools (MoE, UNODC, WHO)
		Student, teacher, parent perceptions of safety in and around school (MoE, UNODC, WHO)
		Gun availability in and around school (UNODC, police reports)And
		Violent crime statistics in and around schools (MoE, UNODC, WHO)
		Alcohol abuse and consumption rates in and around schools (WHO, MoE)
		Incidence of extortion of teachers and school staff by gangs (interviews, police reports, MoE)
		Incidence of relationships to gangs by teachers, school staff, students (interviews)
General question	Specific analysis question	Possible indicators/indicator categories
3. How do risks interact with education, learners and their communities? (Required)	3.1 What has been the impact of education on conflict causes and dynamics (policies, materials, school management, practice) (Required)	Perception of discriminatory or biased education policies, provision, materials (curriculum), pedagogy (interviews)
		Availability of minority group language instruction (MoE)
		Perceptions of discriminatory teaching (interviews)
		Perception by students, parents, of bias in distribution of resources (along identity group lines) (interviews)
		# incidents of violence in schools (MoE, police reports, WHO, World Bank)
		Inequalities in access for various identity groups (interviews, MoE, World Bank, MICS)
	3.2 What has been the impact of conflict on education (systems, schools, staff, learners, and communities) (Required)	Negative financial impact (education as % of government spending) (MoE, MoPlanning)
		Perception of safety among students, teachers, communities (interviews)
		Perceptions of bias in education governance along identity group lines (interviews, reports)

		Teacher and materials bias towards boys/girls, identity groups, etc (MoE)
		# attacks on schools, learners, communities (MoE, WHO)
		# schools occupied by armed groups (MoE)
		# violent incidents in/around schools (MoE, police reports, WHO, UNODC)
		# displaced learners, teachers (MoE, UNHCR)
	3.3 Where has education been impacted by conflict? (Required)	# schools affected in x locations (MoE) (national, subnational level)
		# learners affected in x locations (MoE, World Bank, WHO)
		# out of school children and youth affected in x locations (MoE, World Bank)
	3.4 Who was affected by conflict? (Required)	# learners (age, gender, identity group) (MoE, WHO, World Bank, UNHCR)
		# teachers (gender, identity group) (MoE, World Bank)
		# out of school children/youth (gender, identity group, age) (MoE, World Bank, UNHCR)
	3.5 How are schools, learners and communities exposed to disaster risk? (Required)	Extent of learning infrastructure (formal/informal) geographically exposed to hazards (UNISDR, MoE data overlaid with hazard maps)
		Extent of schools without risk analyses or preparedness plans (MoE, national disaster management authority, UNISDR, UNEP)
		Extent of learning infrastructure exposure to hazards (non-compliant with risk-informed building standards and codes) (MoE, national disaster management authority, UNISDR, UNEP)
		Extent of teachers and school staff without preparedness training or plans (MoE, national disaster management authorities, UNISDR, UNEP)
		(Inequitable) access to services (education, health, water/sanitation)
		# out of school children and youth (lack of access to risk education and preparedness planning)
		#/% households with unstable livelihoods/assets (MICS, FAO, ILO)
		#/% food insecure (FAO, WFP)
		# displaced (UNHCR)
	3.6 What has been the impact of <u>natural disasters</u> on	# disaster events affecting schools, learners, communities (MoE, national disaster management authority, World Bank)

	education--schools, staff, learners, and communities? Where? (Required)	# disaster impacts and losses (infrastructure/schools, teachers, learners and communities, loss of schooling) (MoE, national disaster management authority, World Bank) # displaced learners, teachers (MoE, UNHCR, World Bank) # household with reduced access to services (MICS) # schools affected in x locations (national, subnational level institutions, staff)? # learners (age, gender, identity group, location) (MoE, national disaster management authority, World Bank) # teachers (gender, identity group, location) (MoE, national disaster management authority, World Bank) # households with reduced access to services (MICS)
	3.7 What are the <u>barriers to access</u> and how are they affected by <u>various risks</u> (Required)	% out of school youth and children in high disaster and high conflict risk areas (MoE, national disaster management authority, World Bank) % schools in areas at high risk of disaster, and affected conflict and/or gang/criminal violence (MoE, national disaster management authority, World Bank, UNODC, UNISDR) % and number of schools in high risk zones without parent-teacher associations (MoE, World Bank, UNISDR, UNODCz0) # schools with discriminatory or biased materials in high disaster risk zones (MoE, national disaster management authority, UNISDR, World Bank) Perceptions of students about safety in and around school in high disaster zone (interviews) Incidence of violence in/around schools in high disaster risk zones (MoE, WHO, UNISDR, UNODC, national disaster management authority) Absolute gap in performance rate between two groups across a chosen performance indicator (e.g., access rate for wealthy urban Latinos compared with poor rural Mayans in Guatemala, through the primary cycle) Share of public education resources consumed by the 10% most educated Social distribution (household wealth, area of residence, gender, and other) of school-aged population among education levels and administrative districts Scattercharts of supply and demand comparisons (e.g., basic education enrollment compared with supply of teachers per pupil ratio across administrative districts) Safe access to education by group X in region Y
	3.8 What are the sources of cohesion and resilience in education systems, schools, learners, and their communities? (Required)	Existing Education Sector Disaster Management and Contingency Plan (MoE, national disaster management authority) Existence of a education policies, standards, and guidelines regarding safe school construction, including risk analysis during site selection, and hazard-resistant building designs (MoE, national disaster management authority)

		Perceptions of resilience by school staff, learners, communities (interviews)
		#/% Schools with risk committees and preparedness plans (MoE, national disaster management authority)
		#/% of schools with active parent-teacher associations across identity group lines (MoE)
		Active community-level family reunification systems (MoE, UNICEF, UNHCR)
		Policies and systems to establish teacher availability in displaced communities (MoE, UNHCR)
		#/% Schools with functioning mechanisms for school-community planning and organization
		#/% Communities with active community and youth centers
		#/% Communities with active religious institutions/congregations
		%/# schools with regularly updated school risk assessments and maps (MoE)
		Presence/Effectiveness of formal and informal disaster risk management mechanisms, incl. early warning (national disaster management authority, civil protection authority)
		#/% of PTA or SMC chairpersons and members who are female, minority (MoE)
		#/% of schools with a legitimate and representative community education committees (MoE)
		#/% of schools participating in community-level protection mechanisms
		#/% schools/learning spaces with life skills- based education on crisis-related issues
		#/% of schools with teachers trained in disaster preparedness and conflict resolution (MoE, national disaster management authority)
		#% of schools with psycho-social programs (MoE, WHO, UNICEF)
		Perceptions of students, teachers, communities of sources of resilience and cohesion (interviews)
		#/% school communities with early warning/prevention mechanisms (national disaster management authority, civil protection)
		#/% schools with non-violence school education programs (MoE, WHO, UNODC)

		#/% schools with disaster preparedness plans (MoE, national disaster management authority) #/% schools/communities with ALPs reaching out-of-school youth (MoE, World Bank) #/% schools conforming with disaster-sensitive building codes (MoE) #/% schools conforming to disaster-sensitive land use plans (MoE)
General question	Specific analysis question	Possible indicators/indicator categories
4. Education capacities and gaps	4.1 What were the supply and demand characteristics of the education system before the crisis or conflict?	In-take, repetition, promotion, drop-out and completion rates
		Gross enrollment rate, net enrollment rate, disaggregated (incl. age)
		Number and share of children out of school, never had and never will have access to school, un-enrolled school aged and likely to drop out
		School-aged dependency ratio
		External and domestic resources for, and expenditure on, education; total and per pupil
		Teacher to pupil ratio
		#/% teachers with secondary school completion
	4.2 What are the supply and demand characteristics of the education system now (compared to the above, and perhaps projected into the future)? (Required)	Availability of qualified teachers vs. expected increases in enrollment rates by location
		Availability of safe learning spaces vs. expected increases in enrollment rates by location
		In-take, repetition, promotion, drop-out and completion rates
		Gross enrollment rate, net enrollment rate, disagg. (incl. age)
		School-aged dependency ratio
		External and domestic resources for, and expenditure on, education; total and per pupil
		Increase/decrease in incidence of teaching of language X in schools
		Perceptions of bias in curriculum
		Ethnic identity of teachers as compared to students
	4.3 What is the impact of 2.1 through 2.3 on out-of-school children?	Increase/decrease in out-of-school children in X identity group
		#/% of children out of school, never had and never will have access to school, un-enrolled school-aged children, and likely to drop out
	4.4 What are the infrastructure, learning material, and information needs?	Ratio of schools, textbooks, didactic materials, and subsidies to enrolled students
		Percentage and number of textbooks and didactic materials that are biased
		Percentage and number of textbooks in national language and other primary languages of school-aged children
		Percentage and number of instructional days lost
		Scores on national examinations or learning assessments

		% of schools/learning spaces with access to safe drinking water
	4.5 What kinds of teachers are needed, where? What support do they need?	Ratio and numbers of teachers to students
		Rates of teacher compensation
		Level of highest training received
		Level of pedagogy based on observation

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TOOL 7: DATA ANALYSIS MATRIX

This tool assumes that the Analysis Team members possess sufficient experience and technical capacity to analyze and synthesize data—that is, to identify relationships, patterns and outlying issues across different data to articulate a holistic, comprehensive, and systematic narrative and prioritize headline messages. In line with the data collection questions, indicator categories and indicators above, the Analysis Team should focus on analyzing the relationships and dynamics between the following:

- Education systems
- Learners
- School communities
- Equitable (or inequitable) education access and quality
- Conflict (as relevant)
- Disaster (as relevant)
- Gang violence (as relevant)
- Cohesion and resilience (of education systems, learners and school communities)

◆ For support on data analysis and synthesis, the following documents offer useful guidance: USAID *Conflict Assessment Framework 2.0 Application Guide* (pages 20-23); OECD's *Guidelines for Resilience Systems Analysis*; Global Education Cluster's *Joint Education Needs Assessment Toolkit* (pages 32-41).

The following matrix is a suggested way to organize the analysis and findings according to the questions, and as they support conclusions and recommendations.

Key Questions	Highlighted Findings – Document Review	Highlighted Findings – Key Informants	Highlighted Findings – Focus Groups	Highlighted Findings – Secondary Data Reports/Surveys	Discrepancies Across: Methods, Sources or Collectors	General Conclusions	Possible Recommendations

TOOL 8: SAMPLE ANALYSIS WORK PLAN OUTLINE

1. Purpose of the Analysis
<ul style="list-style-type: none"> • Why is this analysis taking place? • Who will it inform? • How will the information be used?
2. Key Analysis Questions
<ul style="list-style-type: none"> • What are the main risks, their causes and dynamics, and how do they affect learners, the education system, and the wider community? • What are the sources of social cohesion and resilience among learners, out-of-school children and youth, the education system, and the wider communities? • What are education capacities and gaps, specifically those relating to out-of-school children and youth? • What should be considered in a program strategy that delivers access to quality education for all and that does not contribute to vulnerabilities and conflict?
3. Methodology
<ul style="list-style-type: none"> • Will qualitative and/or quantitative methods be used? • What data collection tools will be developed? • What indicators and questions will be used? • What sampling method will be used? Why? • What is the data analysis strategy? • How will the data be triangulated, validated, and disaggregated? • What are the limitations of this methodology? • What actions will be taken to ensure the analysis does not contribute to conflict (conflict sensitivity)? • What research code of ethics will be employed? • Who will do what? • How will ethical considerations and potential bias be addressed?
4. Schedule & Deliverables
<ul style="list-style-type: none"> • What will be collected, from whom, when, and how? • How will the findings be prioritized? • With whom and how will findings be shared? • When will the final deliverable be completed? • Outline of the final report
5. Budget

TOOL 9: SAMPLE ANALYSIS REPORT OUTLINE

Cover Sheet
Table of Contents
Purpose of the Analysis <ul style="list-style-type: none"> ▪ Why did this analysis take place? ▪ Who was it conducted for? ▪ What is the expected use of the information?
Summary of Key Findings <ul style="list-style-type: none"> ▪ List prioritized analysis findings, with brief explanation ▪ List any major operational opportunities or challenges to conducting the analysis ▪ List any recommendations for further analytical work or more comprehensive analysis ▪ List any critical recommendations for program strategy or design
Situation Analysis <ul style="list-style-type: none"> ▪ Map of country and affected area ▪ Snapshot analysis of country situation <ul style="list-style-type: none"> ➢ What is the general political, social, economic and security situation? ➢ Who are the main actors? ➢ What are the main risks? ▪ Analysis of the causes and dynamics of the main risks, including key actors, and how do they interact with learners, the education system, and the wider community <ul style="list-style-type: none"> ➢ Conflict ➢ Natural disaster ➢ Gang violence ➢ How different risks interact with school level, community, learners ▪ Analysis of the sources of social cohesion and resilience among learners, out-of-school children and youth, the education system, and the wider communities
Findings <ul style="list-style-type: none"> ▪ What are the main causes of risk—conflict, disaster, organized crime and/or gang violence? ▪ How do the main risks interact with the education system, schools, learners and communities? ▪ How are various risks interacting at the school and community level? ▪ What are the sources of resilience and cohesion at the school and community levels? ▪ What are the education capacities and gaps, particularly for out-of-school children?
Recommendations for the USAID education response strategy <ul style="list-style-type: none"> • What is the overall strategy? • What are the recommended interventions? • Who is/are the target group/s? • Who would be key strategic and/or implementation partners? • To what degree have local counterparts and stakeholders been involved in developing the strategy and interventions? • What are some key metrics to be utilized by the interventions? • What is the timeframe? • What are the assumptions and theories of change underpinning the strategy and interventions? • What would be the mechanisms by which the strategy and interventions would be conflict sensitive? • How would the strategy and interventions build resilience to natural disasters and violence? • How can the response strategy support cohesion and resilience at the school and community level in order to advance equitable access? • How might the USAID/Mission underpin its response to immediate and pressing needs with a “development not dependency” lens?

Annexes

- Data tables
- Methodology of analysis
- List of documents reviewed
- List of types of informants (do not include real names, unless safe to do so)
- Other

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TOOL 10: SAMPLE PRIORITIZATION RANKING MATRIX

The following matrix offers an illustrative framework to rank key findings according to select criteria. Criteria weights and prioritization values can be modified, and the determination of “high,” “medium,” and “low” priority can be adjusted. The matrix is Excel-based and simple formulas can be used.

Finding / Criteria	Assigned Weight	Prioritization Value (1-3)	Total Score by Criteria	
Finding:				
Critical to USAID Education Strategy/Goals	4		0	
Critical to Host Country Goals and Priorities	3		0	
Supports conflict sensitivity, risk reduction	3		0	
Probable high impact	3		0	Prioritization
Cost Effective	2		0	
		Total Score	0	High/Med/Low

U.S. Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20523
Tel: (202) 712 – 0000
Fax: (202) 216 – 3524
www.usaid.gov