



PHOTO CREDIT: SAVE THE CHILDREN LEBANON

DONOR TOOLKIT: HUMANITARIAN- DEVELOPMENT COHERENCE TOOLKIT

July 2022

This publication was prepared independently by Holly-Jane Howell, Marc Sommers, Obai Ezzi on behalf of Social Impact, Inc. at the request of the United States Agency for International Development. This assessment is part of the Middle East Education, Research, Training, and Support (MEERS) activity.

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ACRONYMS

CLA	Collaborating, Learning, and Adapting
CSO	Civil Society Organization
DEC	Development Experience Clearinghouse
ECW	Education Cannot Wait
EDG	Education Donor Group
EMIS	Education Management Information System
EU	European Union
FCDO	Foreign, Commonwealth, and Development Office
GPE	Global Partnership for Education
HDC	Humanitarian-Development Coherence
LEG	Local Education Group
MEERS	Middle East Education Research, Training and Support
MENA	Middle East and North Africa
MOE	Ministry of Education
NGO	Non-Governmental Organization
NWOW	New Way of Working
QFFD	Qatar Fund for Development
UN	United Nations
USAID	United States Agency for International Development
USG	United States Government

INTRODUCTION

This toolkit has been commissioned by the United States Agency for International Development (USAID) Middle East Bureau through the Middle East Education Research, Training, and Support (MEERS) activity. MEERS is a five-year, \$6.3 million program that supports education research, data analysis, and capacity building in the region.

This toolkit draws from research that explored the topic of humanitarian-development coherence (HDC) in the education sector in the Middle East and North Africa (MENA) region, with particular focus on three cases: Lebanon, Syria, and Yemen. This research is pioneering, representing a significant milestone for the sector in taking HDC from theory to operationalization. This research was guided by these four research questions:

1. What evidence, tools, and other resources for decision-making currently exist that assist or inform coherence between humanitarian aid and development assistance actors in the MENA region?
2. What funding sources and financing models are used to increase coherence between humanitarian aid and development assistance actors in the education sector, what are the challenges, and what lessons have been learned from past crises?
3. What institutional policies and practices do humanitarian and development actors use to increase coherence with each other, and what is the most effective way to plan, sequence, and layer interventions and activities to meet collective education and protection outcomes for crisis-affected children in the MENA region?
4. What new or revised decision-making tools, institutional policies and procedures, and financing models are recommended for use by USAID education, youth, crisis and conflict, and Mission staff to support coherence between humanitarian aid and development assistance to the education sector in the MENA region?

The published companion report examines the results of this research effort (together with country-specific and regional recommendations) and pays particular attention to research questions 1-3. It is called, “Conflict and Coherence: Investigating HDC for Education in the Middle East and North Africa Region: Case Studies of Lebanon, Syria, and Yemen,” and also is available in Arabic. This toolkit is one of two that responds to research question four. The intended audience for this publication is international donors who support education work in crisis contexts. A complementary toolkit for practitioners, called “Practitioners Toolkit: Humanitarian-Development Coherence,” is available and posted on USAID’s Development Experience Clearinghouse (DEC). In addition, for those new to the field of humanitarian-development coherence, there is also a PowerPoint ‘HDC 101’ which provides a useful introduction. The HDC 101 PowerPoint can be found in Annex I.

Both toolkits, together with the “Conflict and Coherence” report, are innovative resources for the education sector. The majority of resources to date have framed HDC theory. The toolkits and “Conflict and Coherence” collectively apply HDC to country case studies and provide the basic tools needed for teams to begin to implement HDC. At the same time, HDC remains nascent and funding commitments for HDC and organizational leadership of HDC are still in their infancy. For this reason, there are few examples of applied HDC to which this toolkit can refer. Where possible, this has been done. The authors thus recommend an update of this toolkit in three to five years, to provide more illustrative examples.

The majority of resources to date have framed HDC *theory*; this toolkit and report apply HDC to country case studies and provide the basic tools needed for donors to begin to consider *implementing* HDC. However, HDC remains nascent and funding commitments for HDC and organizational leadership of HDC is still in its infancy. For this reason, there are few examples of *applied* HDC that this toolkit can offer, but where possible has done so. The authors would encourage this toolkit to be updated in the coming three to five years, to provide more illustrative examples.

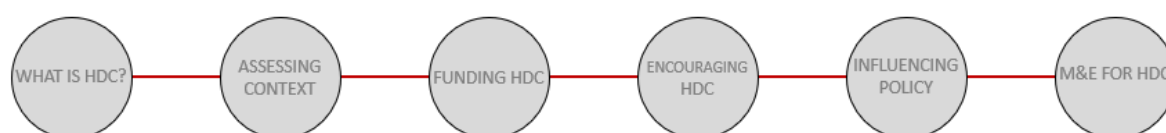
TOOLKIT OBJECTIVES

This toolkit provides a roadmap for USAID Missions and Bureaus to apply HDC throughout the life cycle of a program. This toolkit is targeted towards donors. The complementary practitioner toolkit (listed above) highlights tools that may be more useful for those directly implementing programs.

The tools featured in this toolkit have been identified through a multi-phase process. Beginning with secondary research in the form of a desk review, the research team identified concepts that have a complementary relationship with HDC and may be mutually reinforcing. Such tools included political economy analyses, systems thinking frameworks (including complexity theory), and USAID's Collaborating, Learning, and Adapting (CLA) tools. Qualitative primary research then identified a long list of over 60 tool suggestions from a variety of education stakeholders. The tool suggestions ranged from facilitatory questions to discuss long-term humanitarian-development visions in the MENA region to handouts on 'what is HDC?'. Finally, the spectrum of tools identified through the research were reflected back to an external audience during a validation workshop in mid-June 2022, soliciting feedback, suggestions, and reflections from potential toolkit end-users. Both toolkits draw from the research findings, analysis, and recommendations in the final companion report.




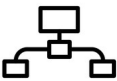



NAVIGATING THIS TOOLKIT

This toolkit separates into six sections (with a total of 13 tools). They are aligned with the key themes that informants supplied during the research interviews. The six sections are as follows:



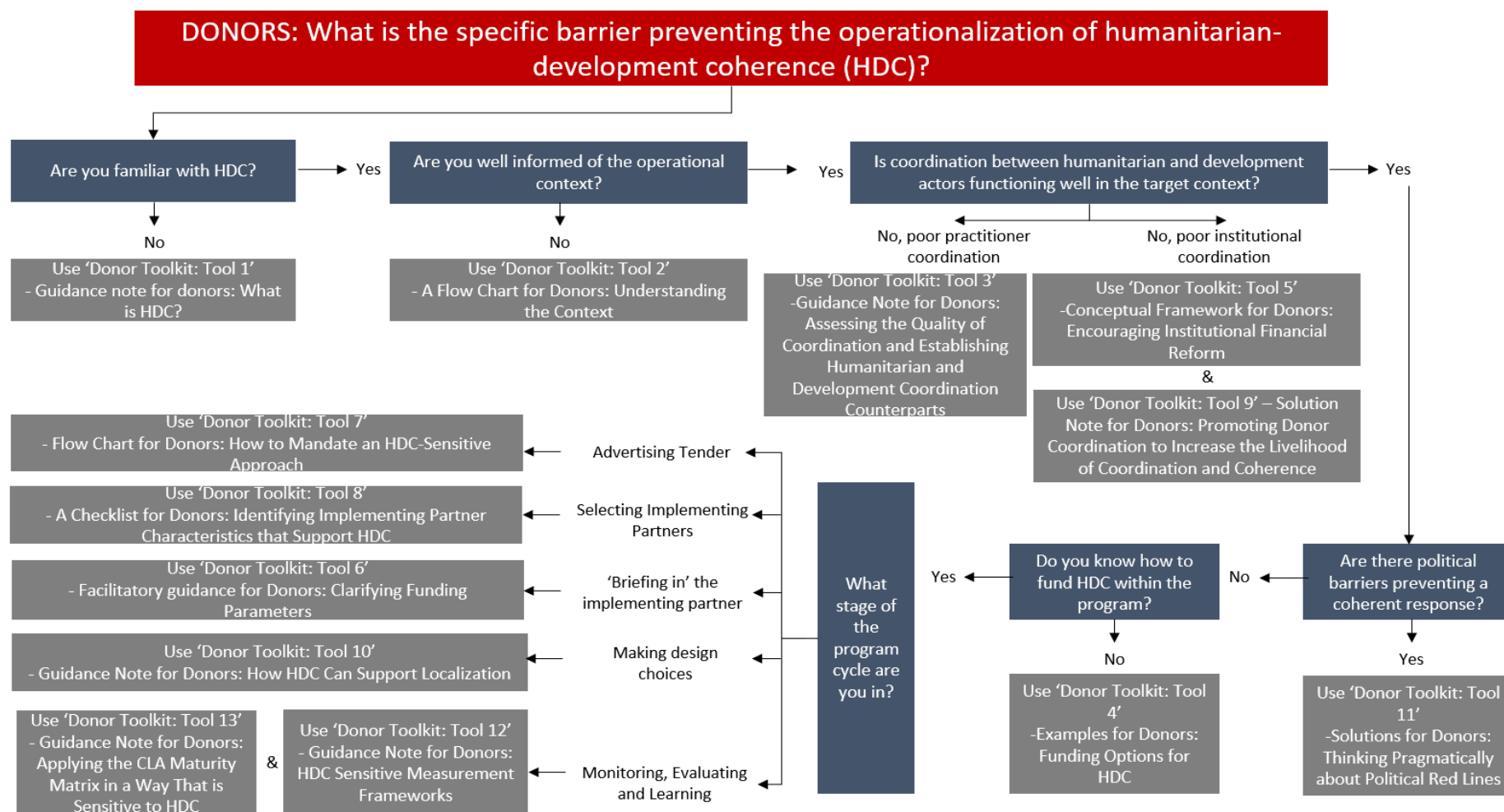
The sections broadly map to the life cycle of a program. The icons at the top of each page of the toolkit indicate the section that the reader is in, if the icon is red, the reader is within that section. Each tool begins with a problem (for example, 'What is HDC?'), together with an objective statement for that tool. At the end of each tool, there are suggestions for further reading.

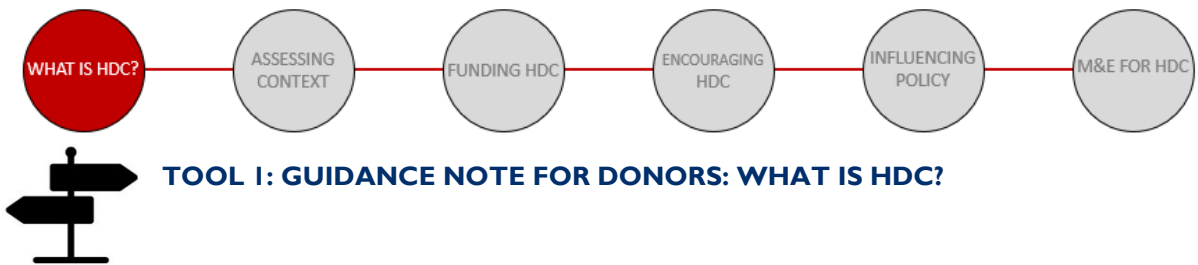
There are seven types of tools: Guidance notes, examples, facilitatory guidance, conceptual frameworks, flow charts, checklists, and solution guides. Definitions for the different tools are presented on the following page:

Icon	Tool Category	Description of Tool
	Guidance Notes	The guidance notes in this document provide a narrative introducing new technical concepts, enablers and barriers, current knowledge and thinking on key issues, as well as outlining their relevancy to HDC.
	Examples	Example guidance provides a range of different options and/or scenarios that help to establish the parameters of the system and as such practical limitations and opportunities for implementing HDC.
	Facilitatory Guidance	Facilitatory guidance is a first-person script for facilitating conversations about the operationalization of HDC.
	Conceptual Frameworks	Conceptual frameworks outline the relationship between key terms or inputs, outputs, and impact within the system of operation.
	Flow Charts	Flow charts outline the suggested sequencing for implementing HDC or improving knowledge on a key concept related to HDC.
	Checklists	Checklists are a documented process that should be completed prior to or during the operationalization of HDC.
	Solution Guides	Solutions guides start with a problem and provide pragmatic solutions to bypass the problem and reach the intended end-goal.

This toolkit provides a useful entry point to begin to explore each topic. The following Decision Tree can direct readers toward tools that promise to have the most utility:

Figure 1: A Decision Tree to Guide Donors Towards Relevant Tools





TOOL 1: GUIDANCE NOTE FOR DONORS: WHAT IS HDC?

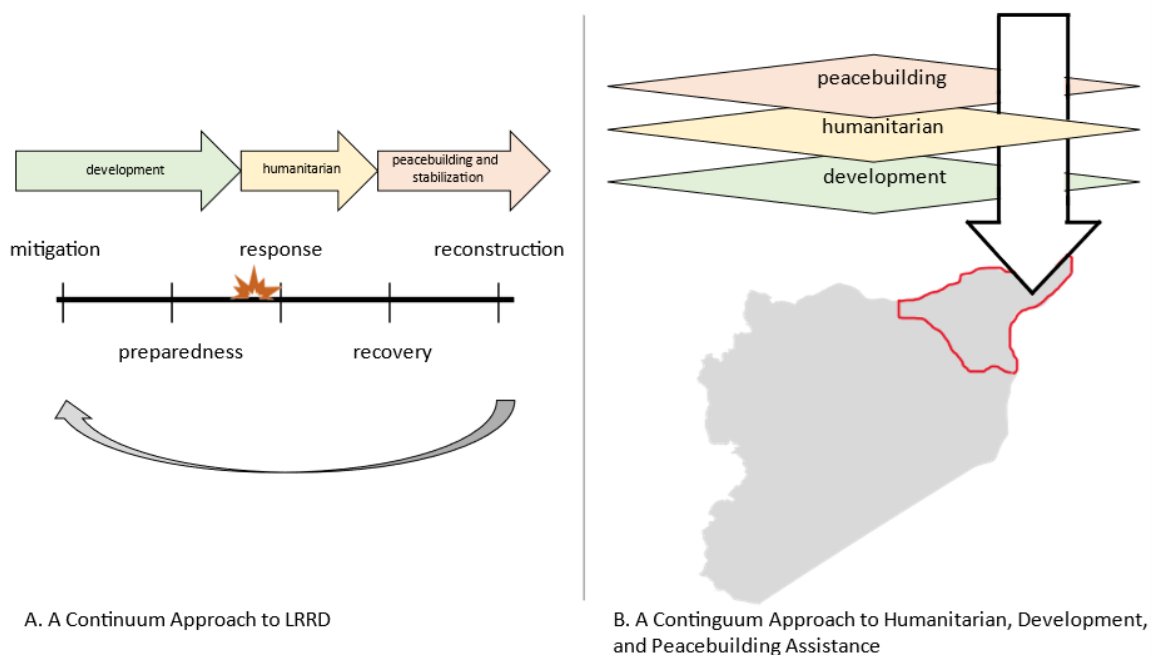
GUIDANCE NOTE OBJECTIVE:

- Understanding what HDC is and how this differs from the Triple Nexus.
- Understanding the origins of humanitarian-development coherence.
- Introducing the characteristics and benefits of HDC.

To accompany this tool a companion HDCIOI PowerPoint presentation is available. This presentation is available in English and Arabic.

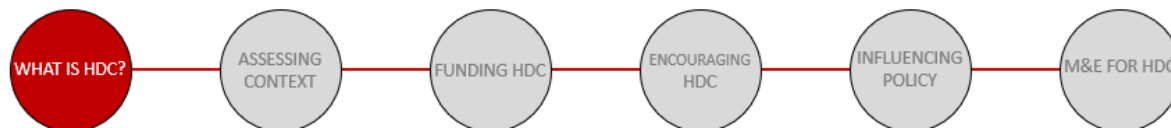
The premise that humanitarian aid and development assistance should be linked has been echoed in global narratives since the 1980s. First described as ‘linking relief, rehabilitation, and development’, the European Union (EU) promoted the idea of a ‘continuum’, meaning that aid should be delivered in a sequential way. This approach faced criticism that it was unrealistically linear. This led to a reframing that promoted a ‘continguum’ of aid (European Parliament, 2012), a framing that saw the two pillars of humanitarian and development assistance (with a third pillar – peacebuilding – added later) as needing to be applied simultaneously in a particular geography for maximum impact.

Figure 2: Illustrating the Continuum (A) and the Continguum (B) Framing for Coherent Aid Delivery



Layering in the ‘continguum’ is of critical importance. *Layering implies that the principles of humanitarian and development programming are not compromised, and that the humanitarian and development activities align with each other.* The concept is distinct from integration, which is a critical concern for humanitarian actors, who are typically afforded safe operating space as a consequence of upholding humanitarian principles. Layering takes the system that we are in and encourages coordination between actors to deliver against common outcomes that tackle the root causes of conflict, fragility, and vulnerability, in the same location.

In 2016 the continguum framing achieved renewed interest at the World Humanitarian Summit under a new moniker: ‘Humanitarian-Development Coherence’ which later, with the addition of peacebuilding, became known as ‘The Triple Nexus’. The Summit also called for humanitarian and

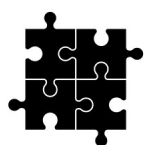


development actors to move to a ‘New Way of Working’ (NWOW)¹ to more effectively respond to protracted crises.² The NWOW has three objectives (Center on International Cooperation, 2019):



Reinforce—do not replace—national and local systems.³

Humanitarian and development actors bring a range of diverse mandates and expertise to the education field. HDC does not mean that humanitarian actors need to do development work, or vice versa. On the contrary, it means that each actor is able to contribute to collective outcomes by leveraging their particular specialization, expertise, and strengths before, during, and after a crisis.



Transcend the humanitarian–development divide by working toward collective outcomes, based on comparative advantage and over multi-year timelines.

Collective outcomes are “commonly agreed quantifiable and measurable results or impact that can contribute to reducing people’s needs, risks and vulnerabilities and increasing their resilience, requiring the combined effort of different actors” (OCHA, 2017, p. 7). Collective outcomes are the result of multi-stakeholder dialogue, which brings decision-makers, humanitarian and development actors, local communities, and other beneficiaries together to conduct a joint analysis of children’s and youth’s educational needs and to identify the suite of outcomes that actors will work to achieve.



Anticipate—do not wait for—crises.

The NWOW promotes using multi-year timeframes to “analyze, strategize, plan, and finance operations that build over several years to achieve context-specific and, at times, dynamic targets”. Multi-year planning can enable smooth transitions, which will allow programs and actors to be sequenced so that their comparative advantages are used appropriately.

An education system that promotes coherence is one in which humanitarian and development actors intentionally try to achieve complementarity in design choices, strategy and vision for the sector, ongoing coordination, and complementary funding streams.

FURTHER READING

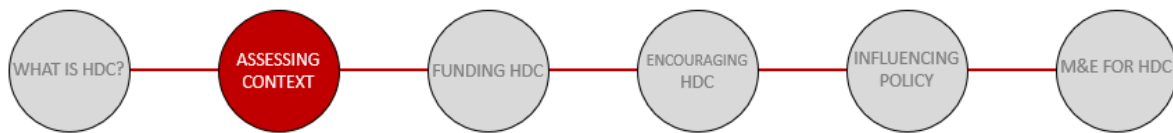
USAID. 2019. White Paper Education and Humanitarian-Development Coherence. Online: https://www.eccnetwork.net/sites/default/files/media/file/Education-and-Humanitarian-Development_April-2019-A.pdf

INEE. 2021. Humanitarian-Development Coherence in Education: working together in crisis contexts. Online: https://inee.org/resources/humanitarian-development-coherence-education-working-together-crisis-contexts?utm_source=PANTHEON_STRIPPED&utm_campaign=PANTHEON_STRIPPED&utm_medium=PANTHEON_STRIPPED&utm_term=PANTHEON_STRIPPED

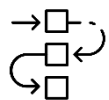
¹ “The NWOW is an initiative that was launched at the 2016 World Humanitarian Summit. It can be described as working over multiple years towards collective outcomes, based on the comparative advantage of a diverse range of actors including those outside the United Nations system.” <https://www.oecd.org/development/humanitarian-donors/docs/COHERENCE-OECD-Guideline.pdf>

² Protracted crises in the Middle East have been cyclical, often the result of underlying inequity, poor governance, and climate triggered loss of basic resources and resultant income. The crises may be characterized by “intractable violence, perhaps with pockets and periods of stability that leads to cyclical population displacement and returns” (ICRC, 2016).

³ “From the outset, international actors should be looking for opportunities to shift tasks and leadership to local actors. This must be the mindset and a predictable part of any international response plan from the start of an operation.” (UNGA, 2016).



ASSESSING THE CONTEXT



TOOL 2: A FLOW CHART FOR DONORS: UNDERSTANDING THE CONTEXT

FLOW CHART OBJECTIVE:

- For donor officials to understand how they can expand their knowledge of complex contexts and apply on-the-ground realities concerning education and related security, political and social dynamics.

A common and persistently reported challenge for donor officials is the presence of limited or faulty information about local and national contexts, this can delay critical policy and funding decisions or make such decisions subjective rather than objective. Reports of limited donor knowledge about educational realities, together with weak needs assessments, are commonly cited as limiting factors that prevent the operationalization of HDC. These were recurrent themes during interviews for the final report and this toolkit.

Figure 3: A Case Study of Donors Working Together to Improve Contextual Awareness

CASE STUDY:

In Syria the Development Partners Group, a working group of 26 donors specializing in education, were aware that there were very different levels of understanding of the context and key issues given the majority of donors covered the region, covered multiple thematic areas, and only one donor had a physical presence inside Syria. The group issued a poll asking donors which key topics they wanted to better understand. In response to the poll monthly newsletters provided resources, thought pieces, calls to action, and links, so that stakeholders could learn more about the issue.

This initiative was spearheaded by the Foreign, Commonwealth, and Development Office (FCDO), US State (Bureau of Near Eastern Affairs), Qatar Fund for Development, and the EU, and responsibility for developing the newsletter rotated. Given the sensitive nature of politics and the context these newsletters prioritized transparency over inclusivity and were frank in their observations but only ever intended for a donor audience.

DPG: SPOTLIGHT

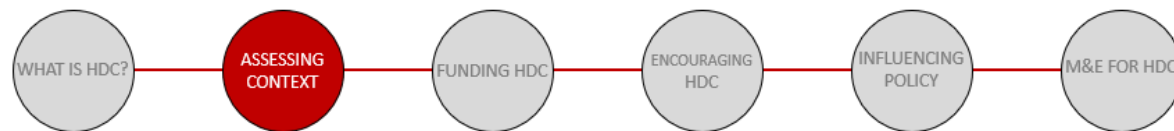
Tensions mounting around education curricula in North East Syria

March 2021: Curriculum and control in northeast Syria

TENSIONS MOUNTING AS
AUTONOMOUS ADMINISTRATION OF
NORTH AND EAST SYRIA (AANES)
ARRESTS TEACHERS

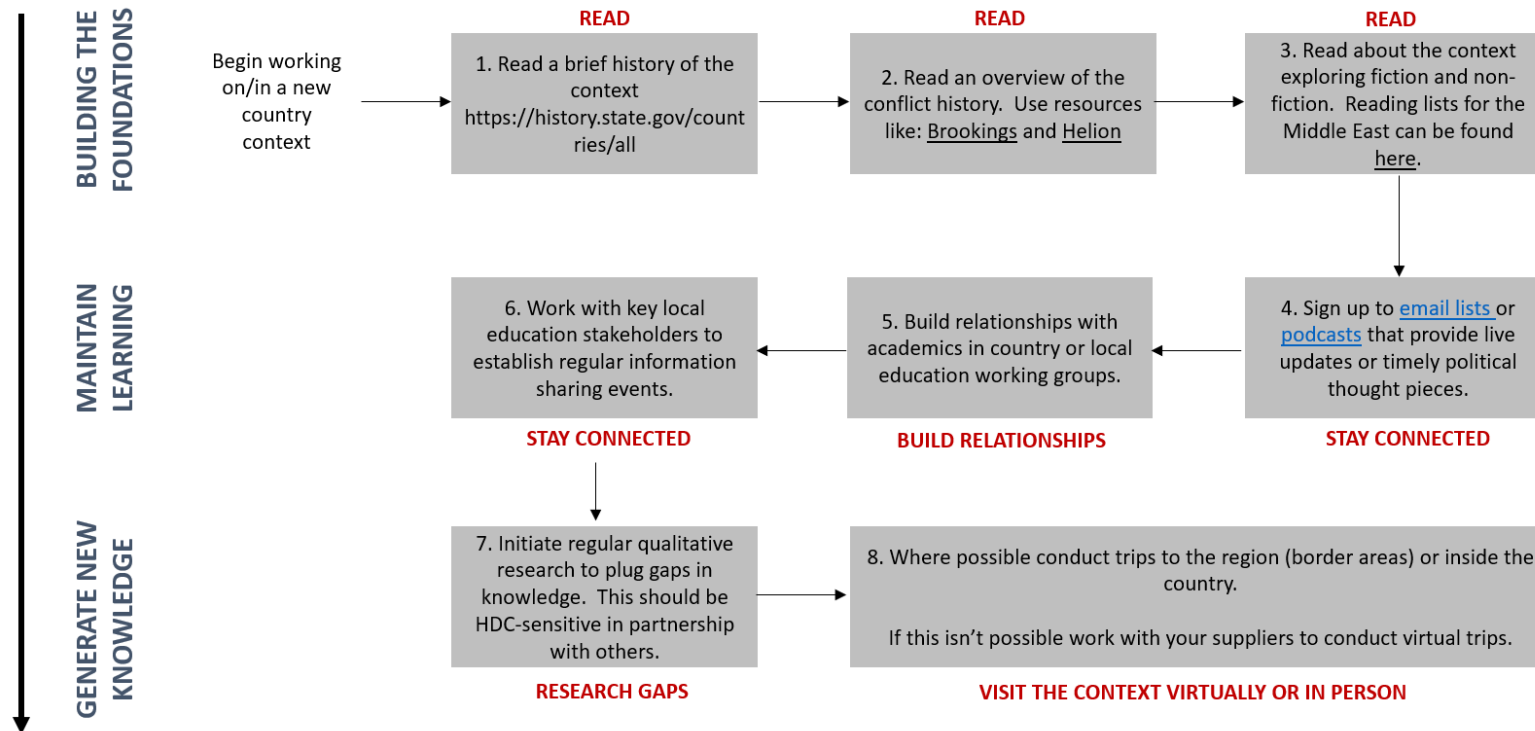


REDACTED



Donors that are new to the country context or want to structure their professional development and contextual knowledge may want to apply the following flow chart:

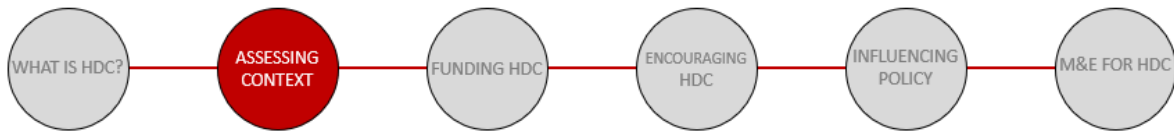
Figure 4: A Flow Chart Illustrating How to Improve Contextual Understanding



Note: The Carter Center link [here](#) and the New Humanitarian podcast link [here](#).

FURTHER READING

Ginsberg, N. 2015. Determining The Context Of An International Development Project. The Journal of Developing Areas, Special Issue on Kuala Lumpur Conference Held in November 2015, 50(5).



TOOL 3: GUIDANCE NOTE FOR DONORS: ASSESSING THE QUALITY OF COORDINATION AND ESTABLISHING HUMANITARIAN AND DEVELOPMENT COORDINATION COUNTERPARTS

GUIDANCE NOTE OBJECTIVE:

- To understand how to establish new coordination bodies that serve to complement existing humanitarian coordination structures, or depending on the context, replace current structures to provide a holistic sector-wide coordination body.

Globally the sector lacks an institution or operational body with the mandate to lead, encourage, and operationalize HDC. Education Clusters are present, however, their mandates support humanitarian action and early recovery (in line with the global framing for humanitarian response plans) and do not extend to development activity. At present most country contexts do not have development counterparts for humanitarian Cluster leads, and in crises contexts joint humanitarian-development working groups are often non-existent. In some cases, such as in Ukraine, Local Education Groups (LEG) may coordinate with clusters, but this has not been found in Lebanon, Syria, or Yemen.⁴ As a result, there is rarely formal coordination between humanitarian and development actors, which reduces the likelihood of implementing HDC.

Donors would benefit from diplomatically encouraging the emergence of a formal sector-wide coordination entity to facilitate HDC efforts. Donors may wish to consider in the **short-term**:

- Socializing this issue in different forums. Do practitioners, academics, humanitarian and development actors, or other donors consider it to be a problem at present?
- Where LEGs are not present, funding development coordinator counterparts to humanitarian cluster staff. Given the lack of documentation outlining which development programs are operating where, doing what, with whom, and for what duration, an institution to gather, developing an organization or an individual role with the responsibility to collate and share this information (at least amongst donors) would be incredibly helpful. Donors can create Education Donor Groups (if one doesn't exist) to support coordination on sector planning and funding. In several places, USAID has been key to creating EDGs.
- Conditioning funding to encourage humanitarian and development counterparts to meet regularly and formally to discuss issues in the sector and build common outcomes. Greater understanding of each other's viewpoints will, in the long-term, support greater coordination and coherence.

In the **longer-term**, donors may want to consider:

- Leveraging existing international, government and civic entities before creating new HDC-focused entities unless few options are present—not uncommon is chronic crisis contexts—which cover all phases of the education sector response (emergency, protracted, post-crisis, and preparedness).
- Identifying a fellow donor to champion this issue and commit to co-sponsoring the development of such an organization. This hopefully spurs collaboration and coordination among donor officials and institutions that support the notion of HDC.

FURTHER READING

OCHA Services. 2020. What is the Cluster Approach? Online: <https://www.humanitarianresponse.info/en/coordination/clusters/what-cluster-approach>

⁴ Local Education Groups assist in the development, implementation, monitor and evaluate Education Sector Plans at the country-level.



FUNDING HDC



TOOL 4: EXAMPLES FOR DONORS: FUNDING OPTIONS FOR HDC

EXAMPLES FOR DONORS, OBJECTIVE:

- To provide illustrative examples of how HDC can be funded and encouraged from different sources.
- To illustrate direct and indirect funding opportunities for HDC.

HDC can occur in any partnership if planned for correctly. This tool presents an outline for how HDC can be thought about in different types of partnership.

1. Appeal funding and unrestricted funding (Typically awarded to United Nations institutions)

- Earmarking is frowned upon for appeal funding. Where possible ensure that funding is unearmarked to enable implementing organizations to flex between humanitarian and development interventions as best meets the needs of the population.
- While earmarking is not encouraged, HDC can still be encouraged by funding an account manager that has both a humanitarian and development background, or funding technical specialists that are encouraged to co-work each representing a different perspective (humanitarian and development).
- HDC can be encouraged by being a standing agenda item, being a formalized section in reports, inviting humanitarian and development practitioners to meetings, and by holding an 'Introduction to HDC' meeting with presentations from both parties during inception phases.

2. Multilateral funding (ECW, GPE)

- Humanitarian, one-year funding may be limited to purely humanitarian activities. If this is the case, it is important to encourage a mapping of other funding streams that are operational in the target area. Humanitarian funding from Education Cannot Wait (ECW) or the Global Partnership for Education (GPE), where possible, should be informally aligning with other (already operational) development sources for maximum impact.
 - If there are no other funding sources in the area, we encourage USAID to play a brokerage role, encouraging other donors – via donor working groups – to fund any development gaps. Non-traditional donors and foundations may not have the same political limitations as traditional donors and may be well placed to fund gaps.
- Where possible, consider multilateral funding for multi-year timeframes to ensure smooth transitions from humanitarian to HDC designed programs. Multi-year resilience funding should span both humanitarian and development interventions, but political limitations from funding donors may prevent certain activities. It is essential that complementary funding from donors that do have financial flexibility is sought to plug any gaps.

3. Hybrid NGO Consortia

- Consortia should be intentional about selecting partners with diverse mandates and diverse funding streams to allow for maximum operational flexibility.
- Mapping internal funding streams and areas of operation across the consortia partners is a useful initial exercise.

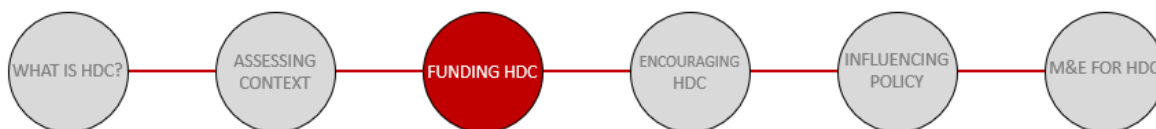


Figure 5: Building an HDC-Sensitive Consortia

EXAMPLE

In Lebanon the QITABI-II team were intentional when building their consortia to allow for greatest operational flexibility. A diverse range of partners were selected; leading the consortia are World Learning Lebanon, and supporting implementation are AMIDEAST, American Lebanese Language Center, Management Systems International, International Rescue Committee, Ana Aqra' Association. These partners cover the private sector, academia, humanitarian, and development mandates. This meant that some members of the consortia may already have an organizational portfolio that was 'more development' or 'more humanitarian'. Selecting a diverse consortia membership meant that layering could occur organically as a small team, thanks to membership diversity.

4. Private Sector NGOs

- Private sector NGOs typically have a development mandate, while they may be able to provide development and humanitarian-type activities, they do not have a humanitarian mandate which may exclude them from humanitarian working groups. Donors may benefit from lobbying for their informal inclusion (observer status) within humanitarian forums. Ignoring their important perspectives can harm HDC and undermine efforts for coordination and complementarity.
- It is important that private sector non-governmental organizations (NGOs) do not operate in a bubble. Donors may want to consider making funding contingent on implementing partners' understanding and mapping of other education stakeholders (humanitarian and development) already operational in the target area. This should be embedded into their workplan, and ideally logframe, to ensure that coordination is occurring.

5. Humanitarian-mandated not for profit NGOs

NGOs may have a flexible interpretation of humanitarian interventions. This toolkit encourages donors to have a transparent conversation with humanitarian organizations about their understanding of their intervention parameters. Donors can use Figure 6 below to facilitate this conversation. The NGO may want to add to this list of interventions or make the list more nuanced depending on mandate. Donors may want to ask:

- a. Is the implementing partner able to implement these activities in 'x' country?
- b. Does the program team have any organizational limitations relating to these activities?
- c. Has the program team completed a needs assessment, what are the most pressing needs?
- d. Which organizations are already operating in the target area, what activities are they implementing?
- e. How would the implementing partner/organization be able to add value to collective, shared outcomes?

6. Local and Civil Society Organizations (CSO)

CSOs should not be overlooked or discounted in their ability to influence humanitarian and development outcomes, yet it is rare that they are meaningfully included in their design and implementation. Sometimes this is due to a lack of awareness of distrust in local civic and cultural institutions. The constellation of local entities in contexts of chronic crisis can often be very complex and politically fraught however, and which entities are engaged and which are not can by itself aggravate conflict. Political Economy Analyses can be helpful in these cases, but notwithstanding the problems of political red lines, being aware of and including local groups representative of the areas being served would be a huge boost to increasing HDC.



Figure 6: A List of Potential Education Interventions

Intervention list:

Access-focused

Supply of materials (desks, textbooks, stationary); back-to-school campaigns; school transport; staff recruitment and posting; staff pay; reconstruction; rehabilitation; cash programming and financial safety nets; strengthening pathways between non-formal and formal education; caregiver engagement in education; distance/flexible modalities for education; safe learning spaces.

Safety and wellbeing-focused

Safe school environments; child protection and accountability mechanisms; mental health and psychosocial support; disaster risk reduction; inclusive education (disability, gender, marginalized populations); Sexual and reproductive health; school feeding programs; school vaccination and deworming; social-emotional learning; child rights and participation.

Quality-focused

Continuous assessment (diagnostic, formative, summative); teacher professional development; school governance; teaching and learning materials; community engagement in education; Non-formal education (TVET, accelerated education, catch-up education, bridging education, remedial education); formal education (with a focus on literacy, numeracy, science, technology, engineering and mathematics, and soft skills like critical thinking); learning through play and active pedagogy; social-emotional learning.

Systems-focused

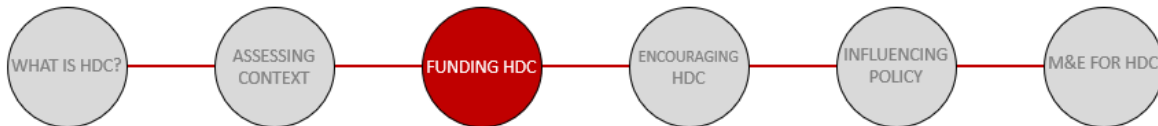
Education sector planning; education policy development; national curriculum development; education authority capacity building (local and/or national levels); education sector financing; strengthening learning pathways; EMIS.

7. Dual-mandated not for profit NGOs

- Dual mandated organizations may be well equipped to think about HDC through an integrated lens. They can be encouraged to layer humanitarian and development activities internally (provided funding allows for this).
- Talk to business development leads for the NGO, private partnership leads, and philanthropic leads to understand if fundraising can attract investment for complementary activities that are outside of the original donor funding parameters.

FURTHER READING

Islamic Relief. 2021. A review of the triple nexus approach in discourse and practice with a focus on Islamic Relief's triple nexus programme, Chapter: *Financial mechanisms to support a triple nexus approach*. Online:
https://pure.eur.nl/ws/files/43144402/A_review_of_the_triple_nexus_approach.pdf



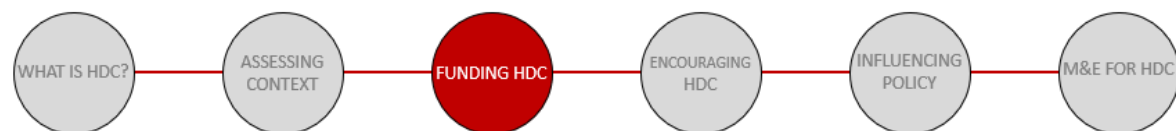
TOOL 5: CONCEPTUAL FRAMEWORK FOR DONORS: ENCOURAGING INSTITUTIONAL FINANCIAL REFORM

CONCEPTUAL FRAMEWORK OBJECTIVE:

- To outline the challenges currently present that hinder HDC, in part, stemming from ingrained institutional challenges (communication, coordination, culture, perceptions of need, siloed funding etc.) and highlight opportunities for greater coherence that may be possible with institutional flexibility, changing ways of working or institutional reform. This tool will focus on United States Government (USG), but this challenge is not unique to USG.

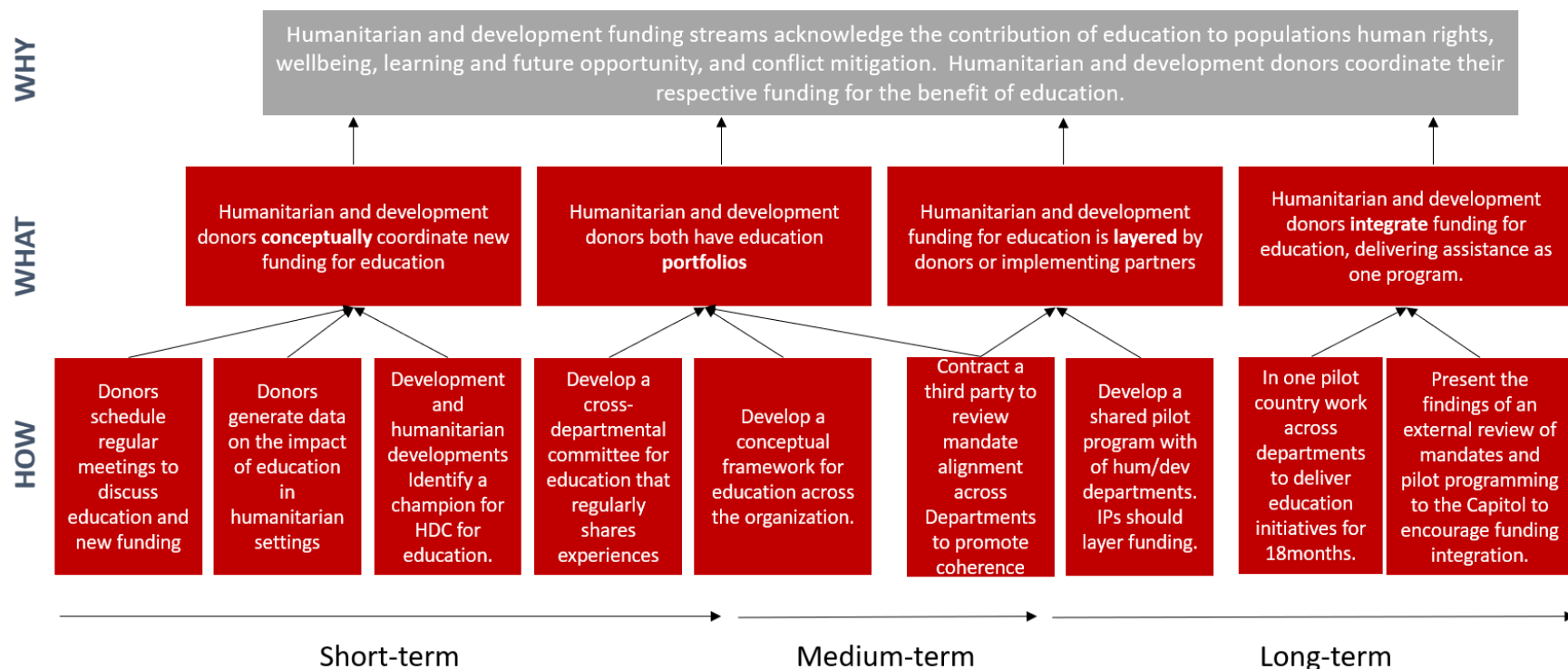
A critical HDC challenge concerns the internal division of humanitarian and development departments of major donor institutions (such as USAID), together with the various branches of bilateral governments (such as USAID, Bureau for Humanitarian Assistance, and the Department of State). The challenge can be three-fold: Hampering communication and coordination; Differences in policy interpretation, ways of working, and perceptions of need; and siloed funding decisions. While these challenges may appear significant – as they are – a helpful entry point is the initiation of **productive and regular communication** between different entities operating in the same geography, to discuss HDC, education, and contextual challenges.

The conceptual framework presented below intends to guide donors through a step-by-step process for institutional reform, starting with increased coordination and ending with technical and financial coherence. It is important to note that the roadmap to coherence has different objectives from improved coordination, improved layering, and improved integration, each with their own set of relevant activities. Institutional change will take time to achieve, so it is important that strategies for reform are built with a consideration of the short-, medium-, and long-term. Attempts for reform must strive to involve the key players – including those who are responsible for humanitarian support but do not consider education a humanitarian activity.



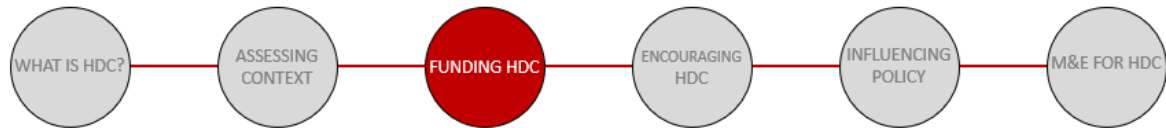
Suggested Conceptual Framework for Responding to These Challenges:

Figure 7: A Conceptual Framework for Phased Institutional HDC Collaboration and Coherence



FURTHER READING

OECD. 2022. The Humanitarian-Development-Peace Nexus Interim Progress Review. Online: https://www.oecd-ilibrary.org/sites/2f620ca5-en/1/3/3/index.html?itemId=/content/publication/2f620ca5en&_csp_=bbe432f9f3ae5d9779363490e6c9a85c&itemlGO=oecd&itemContentType=book



TOOL 6: FACILITATORY GUIDANCE FOR DONORS: CLARIFYING FUNDING PARAMETERS

FACILITATORY GUIDANCE OBJECTIVE:

- Supporting donors to have honest conversations about financial funding parameters and having transparent conversations about funding, need, and

This tool is structured as an example of a typical funding discussion with an implementing partner. It suggests ways for donors to deliver difficult information and the types of questions implementing partners may offer in return. ‘D’ indicates the framing that a donor may offer in the conversation, ‘IP’ indicates the responses or clarifications an implementing partner may share in return.

D: Congratulations on being selected for this award! We appreciate all the detail that you offered about planned interventions in your proposal. Now that we have a formal relationship, I’d like to be clear about the parameters of the funding. Having this conversation will help us both to understand what is and isn’t possible financially/legally, how the program can remain compliant, and provide the space for brainstorming adaptive design solutions in the likely scenario that the context changes and may require us to dial up or dial down development or humanitarian assistance. Before we explore what the funding can and can’t fund, are there any limitations/parameters that you have as an organization? You may want to consider your mandate, if there are any locations where you are unable to operate (politics, security, cost), if there are any activities that may pose a reputational, financial, or security risk, or if there are any ways of delivering interventions that you feel uncomfortable with or you have experience of better methods of delivery?

IP: We can also provide a written copy of our country plan and strategy for ‘x’ country, which includes reference to any organizational parameters.

D: Let’s talk about the funding parameters. Funding parameters don’t only mean you can do ‘x’ or ‘y’ activity, but they also impact *how* we deliver the activity. The specific wording of our funding is: [example: “the program activities must lead to improvements in learning outcomes” or “the program cannot deliver activities that could be seen as partnership to the State or advantageous to parties to the conflict”.] This means that we can deliver activities ‘x’, ‘y’, and ‘z’, but we cannot deliver activities ‘a’, ‘b’, ‘c’. We need to be mindful that in delivering activities ‘x’, ‘y’ and ‘z’ we cannot engage with these

Figure 8: Clarifying Funding and Finding Solutions

CASE STUDY:

In Syria the ‘Manahel’ program was unable to do reconstruction of schools for multiple reasons: The political and reputational risk reconstruction posed to a remote Mission, the cost of reconstruction, and the overinterpretation of political positions which meant that reconstruction in Government-held areas was prohibited but this was sometimes incorrectly generalized as ‘no reconstruction in Syria’. The program took time with their donor advisors to understand the parameters of the funding and what this meant in practice. It transpired that reconstruction meant ‘permanent structure’ although permanence was poorly defined and left to the discretion of the program. This led the program to explore solutions like prefabricated buildings, which presented a better learning environment than a tented structure for children. The program also worked in close partnership with community groups, using development funding to support community groups to understand how to fundraise for activities in their community and how to form committees to monitor and manage implementation. They also had transparent conversations with the community groups about not being able to fund permanent education buildings, this led to the community prioritizing funding for reconstruction. This is an example of both pragmatic solutions to funding parameters and layering at the most local levels.



actors 'x2', and we cannot use these modalities 'x3'. With this in mind can you think of other ways that we can deliver the intervention?

D: To continue this conversation I'd suggest we schedule a half day brainstorming session, bi-annually or quarterly to make sure that we are challenging ourselves regularly to find creative and innovative solutions that respond to need and are within our funding parameters.

IP: Are there any other donors that you are aware of that may want to contribute to this program with funds earmarked as humanitarian/development [delete as appropriate]? Can you broker a conversation between us to socialize the needs?

D: Certainly, we can definitely explore that avenue. Before we do that though, as we always want to strike a careful balance between too many education actors in a space and not enough education actors (in the event that donors withdraw funding), have you completed a mapping of who is doing what where? You may want to think about which implementing partners are operational, what activities are they implementing, when we zoom out and look at the activities of all implementers are there any gaps in the response? You may also want to think about whether there are any parts of the response that need to be scaled up. As you think about activities, you may also want to map this to donor funding sources, to build up a picture of where development and humanitarian funding sources are coming from for your country context.

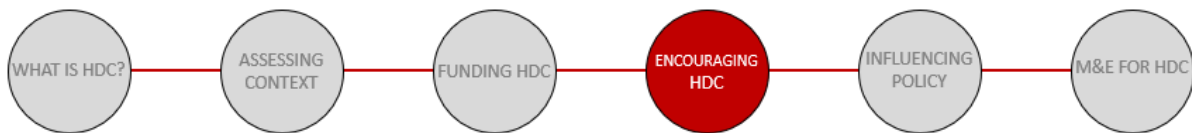
IP: Are there any resources that can help us do such a mapping?

D: Yes, I'd suggest starting with a needs analysis relevant to your country context. USAID's Rapid Education Risk Analysis (RERA) is a good place to start for a focus on education. Otherwise, take a look at any Organization for Economic Co-operation and Development (OECD) resources, you will then want to tailor this resource by thinking about the six building blocks of education systems strengthening: 1) Functional and maintained education management information systems (EMIS) and assessment processes, 2) Able, trained and compensated teaching workforce, 3) Supply of education services cater to the demand of learners, 4) An Appropriately resourced and financed education system, 5) Strong leadership and governance, 6) Good quality teaching and learning materials. You will then want to add in metrics that can help us to understand if coherence is occurring in the context. See the tool 'Conducting an HDC-Sensitive Needs Assessment' in the practitioner's toolkit (available on USAID's DEC) for further guidance.

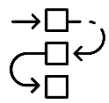
Remember to implement HDC the program doesn't need to do everything and fund everything. Rather the program team should seek complementarity within the system which it is working. If funding cannot support teacher pay, but the funding of another organization/donor can, try to work with that organization in a coordinated way. Again, this doesn't necessarily mean that programs should create formalized partnerships, but programs may want to think about working in the same schools, engaging in recruitment of teachers as a joint activity, and embedding joint learning and reflection opportunities in the respective workplans.

FURTHER READING

Crespin, J. 2006. Aiding local action: the constraints faced by donor agencies in supporting effective, pro-poor initiatives on the ground. Online:
https://www.slurc.org/uploads/1/6/9/1/16915440/e_u_18-2_crespin.pdf



ENCOURAGING HDC



TOOL 7: FLOW CHART FOR DONORS: HOW TO MANDATE AN HDC-SENSITIVE APPROACH

FLOW CHART OBJECTIVE

- To understand how donors can mandate and encourage an HDC-sensitive approach during the award life-cycle.

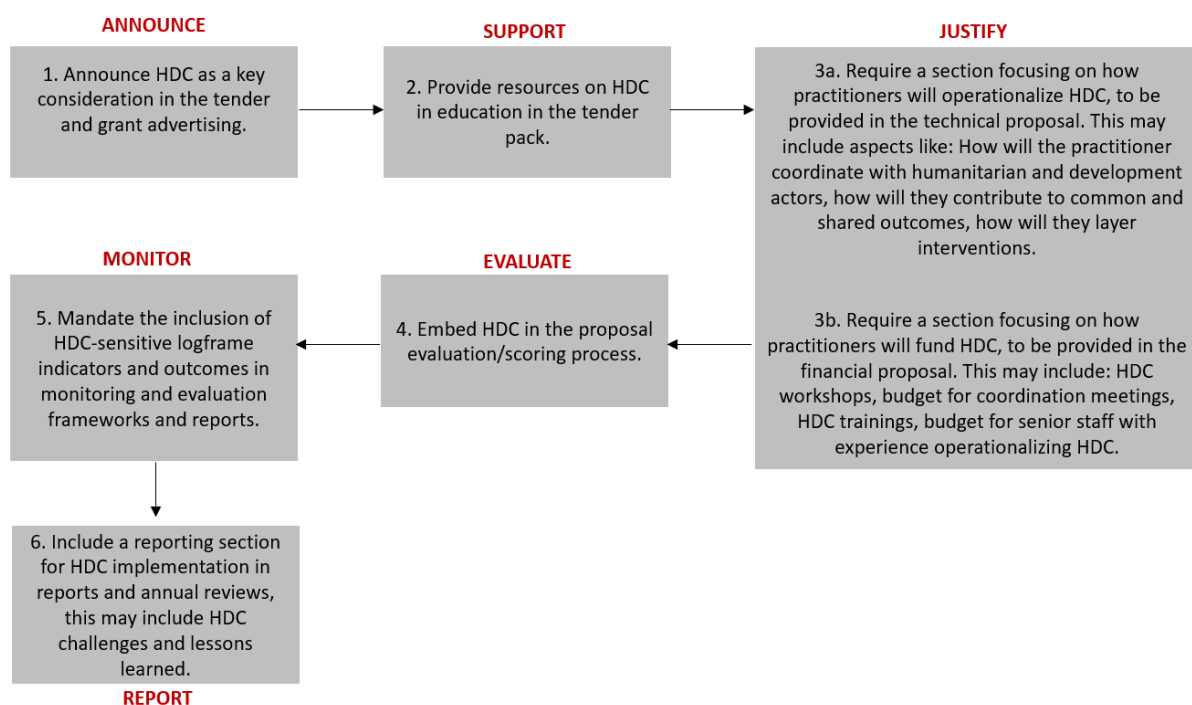
HDC is a collaborative process, where both humanitarian and development actors effectively cooperate to achieve an outcome that is more responsive to the holistic nature of community needs. Currently, coordination is siloed, with separately entrenched working practices and remits for humanitarian and development actors. This negatively fosters competition and bias between actors, where the focus is on “securing grants” and “winning an award”, rather than offering an effective solution to complex needs. Donors can mitigate these silos by mandating the adoption of HDC-sensitive approaches to education.

Donors can mandate a HDC approach, reflecting the key principles of the NWOW in award regulations and conditions. This can increase the presence of HDC in proposal development and subsequently award design. Mandating HDC in this way should not be seen as a purely top-down approach, the research informing this toolkit indicated that a high number of practitioners, particularly in Syria, wanted donors to mandate HDC. Practitioners inferred that they saw HDC as a positive approach but were unlikely to reflect HDC in proposals/design choices because they felt unsure if donors wanted to operationalize HDC.

Donors have varying levels of influence, depending on whether the program is operational or not. Donors may wish to consider the following steps when mandating an HDC-sensitive approach:

For new grants and awards:

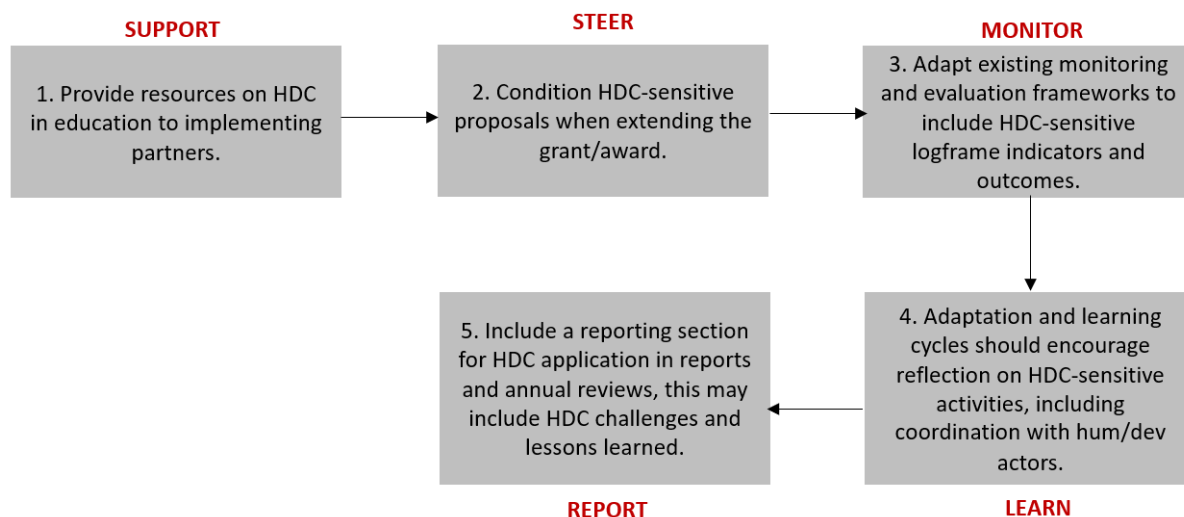
Figure 9: Steps for New Grants and Awards





For ongoing grants and awards:

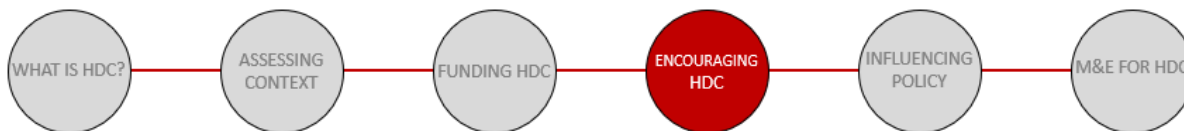
Figure 10: Steps for Ongoing Grants and Awards



More information on monitoring HDC and developing indicators to track coherence can be found in the tool ‘Examples for Donors and Practitioners: Indicators to Encourage HDC’.

FURTHER READING

Development Initiatives. 2022. The programme cycle and the nexus. Online: <https://devinit.org/resources/donors-triple-nexus-lessons-united-kingdom/programme-cycle-and-nexus/>



TOOL 8: A CHECKLIST FOR DONORS: IDENTIFYING IMPLEMENTING PARTNER CHARACTERISTICS THAT SUPPORT HDC

CHECKLIST OBJECTIVE:

- Supporting donors to identify implementing partners that have thought about HDC in a meaningful way.
- Communicating the value add of both partnerships as it relates to HDC.

The research informing this toolkit found that both international and local practitioners have an appetite to implement HDC and are keen to embrace HDC as a potential approach to address current challenges in the education sector. This positive HDC sentiment is very encouraging for donors considering mandating HDC. Donors have the leverage to mandate HDC through a range of standards, guidance notes, and regulations. Moments to encourage HDC adoption may include: Advertising grants/awards, proposal development, proposal scoring/evaluation, reporting, monitoring and evaluation, and partnership decisions. More detail can be found in the tool ‘How to Mandate an HDC-Sensitive Approach’.

Building on the tool ‘How to Mandate an HDC-Sensitive Approach’, this tool provides a deep dive on the implementing partner characteristics that can support an HDC-sensitive approach. The following checklist identifies a group of practitioner characteristics (spanning the humanitarian and development spectrum) that lend themselves to successful implementation of an HDC approach. It should be noted that most practitioners will not have achieved all of the characteristics below, and so are thus aspirational. Donors should be proactive in building local institutional capacity:

A TRACK RECORD OF LAYERING AND HDC PARTNERSHIP

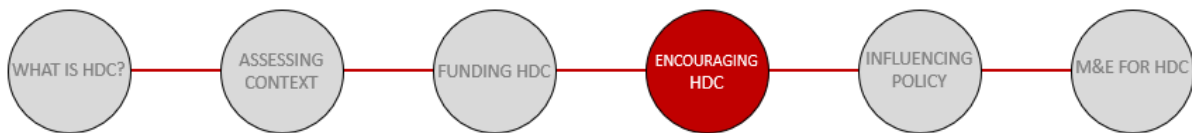
- ☐ Practitioners have demonstrable experience of previous partnership with development practitioners in the education space.
- ☐ Practitioners have demonstrable experience of previous partnership with humanitarian practitioners in the education space.
- ☐ Practitioners have considered HDC in their partnership strategies and have composed consortia to reflect a diversity of interests/perspectives/approaches across the humanitarian-development spectrum.
- ☐ Practitioners can provide examples of where they have reported (quarterly reports and annual reports) on HDC-sensitive practices occurring within their program.

IDENTIFICATION OF NEEDS

- ☐ Practitioners can demonstrate that they have conducted HDC-sensitive needs assessments that have encouraged the participation of the community and amplified their voices to identify actual short and long-term needs on ground.

ORGANIZATIONAL STRUCTURE AND CAPACITY

- ☐ Practitioners have staff/contractor networks with experience working across both humanitarian and development programs/organizations/mandates.



☐ Organizations can demonstrate how they have harmonized multiple funding channels to maximize impact and optimize layering between different activities.

☐ Practitioners can demonstrate that they have developed, used, or are familiar with program planning and management tools (e.g. action plans, job descriptions, milestones, logframe, HDC-focused research questions, M&E, emergency planning, risk mitigation, adaptive programming) that have been tailored to be HDC-sensitive.

INTERNAL POLICY AND VALUES

☐ Organizations have internal policies or strategies reflecting HDC.

☐ Organizations demonstrate that they are aware of the unifying outcomes in the education sector and can describe their unique value add to education sector plans. In the absence of a sector plan, organizations can demonstrate that they have attempted to hold dialog with others to identify shared outcomes.

CREATING HDC SOLUTIONS

☐ Practitioners can evidence how they will build on, expand, or scale up current programming to reflect both humanitarian and development interventions, as a result of privileged access to detailed information about community need/profiles of community members.

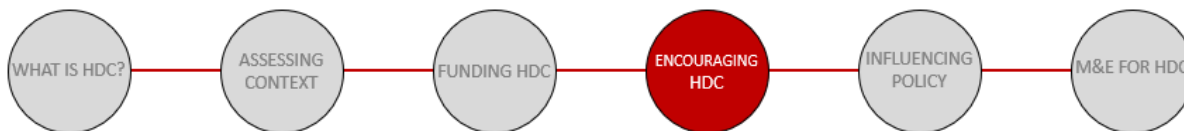
☐ Practitioners can demonstrate how, for previous programs, they have identified HDC-related challenges and barriers and found solutions that are HDC-sensitive.

While the authors would argue that all contexts would benefit from an HDC-sensitive approach, there are some contexts that are ‘primed’ for the operationalization of HDC. For example, contexts that have siloed approaches between humanitarian and development actors (but a strong on the ground presence of both humanitarian and development actors), contexts in protracted crisis, contexts where development work is desperately needed but is nascent, and contexts that lack a sector plan or unifying outcomes. These contexts would benefit the most from a shift to an HDC-sensitive approach. Donors are encouraged to allocate a higher weighting for HDC-sensitive content in a proposal for these contexts.

FURTHER READING

Development Initiatives. 2019. Key Questions And Considerations For Donors At The Triple Nexus: Lessons From UK And Sweden Report. Online: https://devinit.org/documents/677/key_questions_and_considerations_for_donors_at_the_triple_nexus_lessons_from_UK_and_Sweden.pdf

WeWorld. 2022. Applying the “Triple Nexus”; between Humanitarian, Development, and Peace in the Context of Migration Flows from Venezuela, Annex X.I and X.II. Online: https://www.r4v.info/sites/default/files/2022-02/AD06-Analysis-Report_inglese.pdf



TOOL 9: SOLUTION NOTE FOR DONORS: PROMOTING DONOR COORDINATION TO INCREASE THE LIKELIHOOD OF COORDINATION AND COHERENCE

SOLUTION NOTE OBJECTIVE:

- Supporting donors to identify and respond to the drivers of poor coordination with simple solutions.

WHAT TYPE OF COORDINATION IS REQUIRED FOR LAYERING?

Layering doesn't require donors to change workplans, budgets, or ways of working. What it does require is donors motivating and incentivizing implementing partners to work independently or in partnership with donors to identify new funding streams and to layer them in the same geographic location. This doesn't necessarily pose an additional management burden for the implementing partner, in effect it is the same burden as the NGO delivering two programs, but it does require thoughtful coordination and coherence to ensure that the activities are complementary, and the two teams are communicating their intentions and impact to each other on an ongoing basis. Dual mandated organizations can manage this coherence 'in house', for example, Oxfam has developed a 'one program approach' which forms the basis for their strategy for implementing the triple nexus. Single mandated organizations will need to layer with other programs or NGOs that are already operational in the target location.

EXAMPLE:

The FCDO gave development funding in Syria to Chemonics. In partnership with Chemonics, FCDO lobbied Qatar Fund for Development (QFFD) to also give funds for activities that due to political red lines FCDO were unable to fund. QFFD funding was allocated to both humanitarian activities and development activities that couldn't be funded by FCDO. Chemonics used these two separate funding streams in the same locations to deliver greater impact for the target communities, this meant that the same teachers benefited from payment from Qatar funding and teacher professional development from FCDO funding.

Implementing HDC in this way required no adaptation or changes on behalf of the donors, FCDO and QFFD received separate audits, finances were separate, and reporting remained separate. For Chemonics the management burden simply mirrored the normal conditions for two separate programs. Chemonics in discussion with FCDO and QFFD made an intentional choice to use the separate humanitarian and development funding in the same locations/schools for maximum impact. Tracking impact both programs had harmonized indicators leading to shared outcomes.

DONOR COORDINATION FOR HDC

While the onus for layering is typically on the implementing partner, there are often gaps in education sector responses which can lead to an absence of humanitarian or development activities to layer with. Donors can play an important part in corralling each other to produce a more coherent response. The following table highlights challenges in donor coordination as well as offering practical suggestions for overcoming these barriers, which may in turn serve to facilitate HDC implementation.

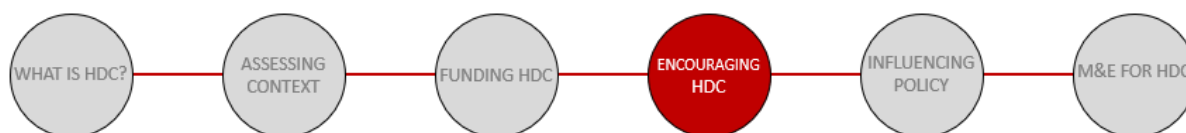


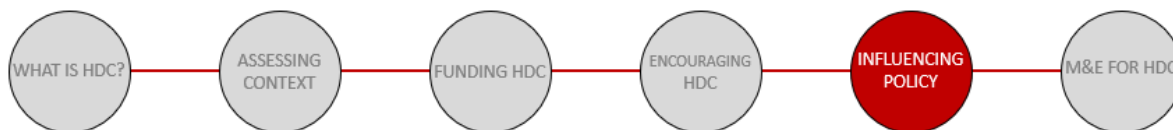
Table 1 Challenges in Donor Coordination and Suggestions

Problem	Is this a challenge?	How can donors coordinate to support HDC?
Layering puts an increased management burden on NGOs.	Layering shouldn't put an increased burden on an organization, it should require the same level of management as two programs, but <i>will</i> require effective coordination to ensure that the two programs are operating with 'one mindset'. If an organization is not used to this it can be easy to fall into two uncoordinated silos. Selection of team members and leaders should consider coordination experience during hiring.	<ul style="list-style-type: none"> • Donors can make sure that both sets of funding are adequately staffed, HDC shouldn't mean a 'lean team' but should make staffing provisions akin to the levels of two programs. • Where possible donors may wish to harmonize reports or agree to adopt each others' formats. • Annual reviews can place at the same time as one joint-donor mission.
It is unclear what other donors are funding or planning and the opportunities available for layering.	Understanding what donors are doing is certainly helpful for mapping the response landscape. However, in the event that donors are not forthcoming about their programs, local NGOs are often better placed to map the response given that they can witness/visit programs in implementation.	<ul style="list-style-type: none"> • Donors need to leverage coordination mechanisms like ECW and GPE, these bodies can support donor coordination and seek to plug humanitarian or development gaps. • Donor working groups need to be appropriately financed allocating a junior donor staff member to conduct a biannual mapping of all donor active and planned interventions, with the view to share this information back to the membership.
Other donors have different funding cycles and implementation is not aligned	Donors will often have different funding cycles, commencing and ending at different points in the year. Even with the best foreplanning delays, no cost extensions, and costed extensions, can change funding cycles. The implication is that layering may need to take place between two programs that are at different maturity levels in where they are in the program life cycle.	<ul style="list-style-type: none"> • Transparent conversations between donors may shed light on the likelihood of extensions and anticipated program end dates. • Donors need to support programs to feel comfortable layering with programs in different stages of design/implementation. This may mean being more comfortable with a longer design/fact-finding phase to ensure that new programs are learning from the ongoing program.

FURTHER READING

Nicolai, S., Khan, A., and Diwakar, V. n.d. It can't be done alone: why coordination is vital in responding to education crises. Online: <https://odi.org/en/insights/it-cant-be-done-alone-why-coordination-is-vital-in-responding-to-education-crises/>

OECD. 2003. Harmonising Donor Practices for Effective Aid Delivery. Online: <https://www.oecd.org/dac/effectiveness/20896122.pdf>



INFLUENCING POLICY



TOOL 10: GUIDANCE NOTE FOR DONORS: HOW HDC CAN SUPPORT LOCALIZATION

GUIDANCE NOTE OBJECTIVE:

- To understand what the localization agenda is and how an HDC-sensitive approach can address localization challenges.

Six years since the Grand Bargain⁵ was signed – a document outlining international commitment to localization – localization is yet to be achieved in many contexts. Localization can be defined as “increasing international investment and respect for the role of local actors, with the goal of reducing costs and increasing the reach of humanitarian action.”⁶ The benefits that *could* occur when delivering aid at a level as close as possible to the community are significant, including cost savings, greater thought diversity, greater alignment to need, more responsive feedback loops and accountability to affected populations, and increased resilience to future crises. However, localization has been challenging in some contexts to operationalize.

How Can HDC Support Localization?

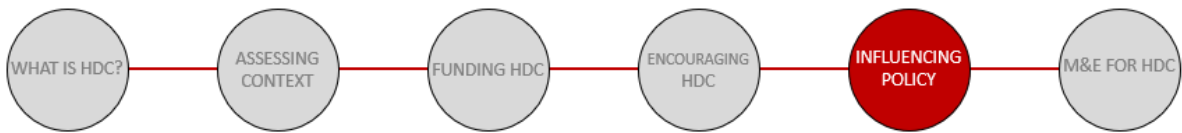
By definition, the principle of *layering* humanitarian and development interventions to achieve HDC, is intended to more closely respond to the holistic nature of need. Local actors are best placed to understand what local short-term and long-term needs are. Thinking in an HDC-sensitive way can:

Table 2: The Benefits of HDC for Localization

HDC can Strengthen...	
Needs Assessments	Reflecting Local Needs Accurately: HDC promotes needs assessments that ask local communities about both humanitarian and development needs (short-term and long-term need). This better supports a holistic understanding of local need. HDC-sensitive needs assessments should support targeted communities to voice their needs, which supports localization.
Power dynamics	Community engagement and participation: By investigating both humanitarian and development needs (a core focus of HDC), the local community will have the chance to voice the needs on the ground, engage in dialog with implementing organizations, and inform the nature of humanitarian and development interventions. This will support the operationalization of the localization agenda and promote diversity of viewpoints in the sector.
Capacity of NGOs	HDC builds the capacity of local actors: Layering encourages humanitarian and development actors to work together to achieve shared outcomes. This process of close collaboration, leading to coherence, will expose humanitarian and development actors alike to different viewpoints, new ways of doing things, different education stakeholders (including donors), and results and key findings. This exposure will support capacity development of local NGOs and hopefully serve to change donor perceptions of NGO capacity.

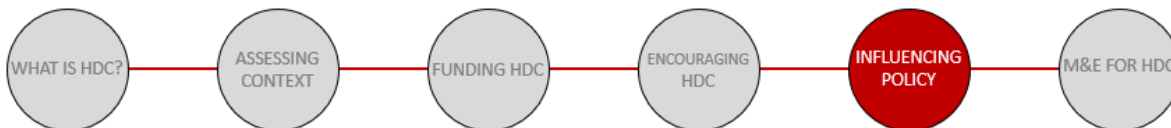
⁵ <https://interagencystandingcommittee.org/more-support-and-funding-tools-for-local-and-national-responders>

⁶ <https://www.ifrc.org/localization#:~:text=Localization%20means%20increasing%20international%20investment,the%20reach%20of%20humanitarian%20action.>



FURTHER READING

Barakat, S. and Milton, S. 2020. Localisation Across the Humanitarian-Development-Peace Nexus, *Journal of Peacebuilding & Development*, 15(2), pp. 147–163.



TOOL 11: SOLUTIONS FOR DONORS: THINKING PRAGMATICALLY ABOUT POLITICAL RED LINES

SOLUTIONS NOTE, OBJECTIVE:

- Supporting donors to identify and apply HDC-informed approaches in politically complex settings where the State is party to the conflict and donor red lines impose limitations on activities.

RESPONDING WHEN THE STATE IS PARTY TO THE CONFLICT

An enduring challenge for donors is navigating how to respond to need in a context where State actors may be party to the conflict, there are proscribed actors, and/or States may have committed human rights abuses against citizens. To overcome this challenge, it is important to disassociate development and state building/state partnership. Instead, development assistance may be better conceptualized as responding to long-term need. HDC then becomes the unification of two sides of the same coin – short-term needs addressed through humanitarian assistance, and longer-term needs addressed through development assistance.

NAVIGATING DONOR RED LINES

While education solutions that are parallel to State provision may not be ideal, they may be the only solution in contexts where it is against sanctions legislation, political red lines, or international law, to fund via the State (or via a proscribed actor who has authority status in a given area). It is widely acknowledged that these types of solutions are not sustainable but may be the only alternative solution if the State cannot be engaged.

Political positions and humanitarian and development assistance can, on occasion, be at odds with each other. For example, a political position that says:

“No reconstruction until political resolution”

May result in an education system that doesn’t have enough schools to meet demand, where education is devalued by caregivers because the infrastructure represents a safety hazard to children, or 20 years into a war basic ‘building back’ is still not occurring due to political policy which is causing further degradation and exacerbating the drivers of conflict.

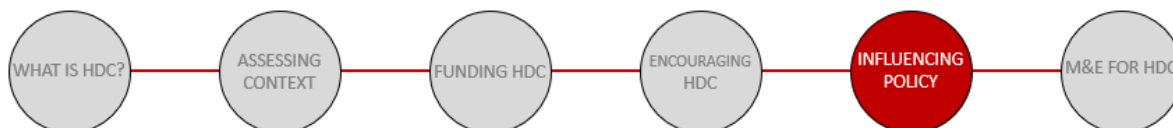
Other examples may include:

“No financial benefit to those party to the conflict (including the State) or proscribed actors”

Placing conditions on financial flows – while for good reason, to prevent funding war or terrorism – may limit practitioners’ ability to implement through pre-existing systems that remain in the control of the State. This may extend to pay for teachers, support for examinations, or the printing of textbooks.

These political positions may be at odds with principled humanitarian assistance and may prevent development assistance that is fundamental to a functioning education system. The sector needs to firstly question the parameters of political red lines:

- Should these red lines only apply to certain sectors or industries, should basic goods like textbooks be excluded from these political parameters?
- Are these political conditions e.g., political resolution, likely to be achieved? In the absence of their achievement is it supporting communities or exacerbating conflict to maintain these positions?
- Is/are the State/parties to the conflict benefiting (including reputationally) from donors maintaining these red lines?



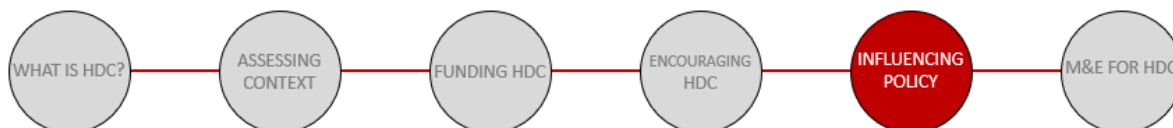
- Are these red lines benefiting donors, if so in what way? Does this benefit outweigh the potential benefit of delivering more holistic assistance in protracted crises?

CREATIVE SOLUTIONS FOR RED LINES

The sector needs to seek creative solutions to the current red lines. While the ideal position, in line with the HDC NWOW notes that we should seek to work within systems rather than duplicating them, if political positions prevent this, then we need to seek alternative solutions, perhaps including parallel structures. If parallel structures are created, they need to be time-bound with a clear exit strategy. For example:

Table 3: HDC-Sensitive Solutions to Red Lines

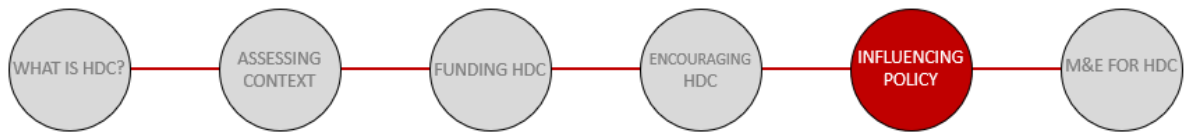
Problem	Why might this challenge red lines?	What alternative solutions might there be?
Pay for teachers in the formal system	Pay for teachers in the formal sector may need to go via the Ministry of Education (MOE) payroll because teachers are employed by the government.	INGO/NGOs can establish alternative funding mechanisms that bypass the State and/or local authorities. Funding should go directly to teachers. Solutions may be cash or voucher based. It requires verification checks that teachers have received the funding intended for them and it has not been corrupted.
Curriculum development	The curriculum is usually 'owned' by the State, it may be used to promote political values and has been used to isolate or promote particular communities/profiles. Printing the curriculum would also benefit the MOE financially.	A supra-national solution is lacking in the sector for a global body to step in with a depoliticized curricula that is culturally relevant and coupled with accreditation and certification that can have transferability worldwide.
Building schools	In some contexts, building schools needs to be approved by the MOE and they may ask to be involved in selecting a contractor. Restoring schools can be a very visible symbol to the community and runs the risk of being exploited by the State to curry political favor.	Prefabricated buildings have been considered by some donors to represent a semi-permanent solution and are permissible. Some donors have chosen to have very visible branding of reconstruction work to communicate to the community that the support is not state-provided. Some donors in the Middle East have a nuanced reconstruction policy whereby they can do reconstruction in areas not controlled by parties to the conflict or Coalition aligned parties.



Problem	Why might this challenge red lines?	What alternative solutions might there be?
Accreditation, certification, and examinations	In most contexts the State and State approved bodies are the only entities that can provide accredited certificates needed for further education and/or employment. Supporting an accreditation process would give the State legitimacy, could be politically contentious if a donor was to endorse the accreditation of a non-State actor, and would require funding to the State for the cost of printing examination materials and certificates.	Build direct relationships with universities overseas and encourage them to allow students to sit University entry tests in absence of secondary certificates or report cards. One NGO in Northwest Syria partnered with City and Guilds who remotely assessed and watched teaching and examination conditions through installed cameras. They remotely issued certificates and accredited the classes. While there are child protection and safeguarding concerns with such an approach the challenges could be managed.
Supporting national authority capacity building	Given the many State duties it is unusual if State capacity building does not request per diems or financial compensation for their time while they take part in training/mentoring/assistance. If the State is party to the conflict the financial flow may present challenges.	Local level authorities in some contexts may be more politically separate from the State, which may support donor engagement. Alternatively, some donors have requested local authorities to agree to embedded technical assistance funded by donors which avoid issues of financial flow, provides another pair of eyes inside the institution, and ensures that education support can still be provided.
Funding EMIS systems	EMIS systems are typically owned/controlled by the State. The raw data is rarely transparently shared (in an anonymized format) which means that the data may be manipulated for political purposes (this has been seen in some contexts in the Middle East). Funding an EMIS system would normally require a financial flow via the MOE.	Parallel EMIS systems may need to be set up and controlled and updated by a leading INGO/NGO or UN body. If parallel systems are established, they should make every effort to uphold the highest standards of transparency, timeliness of reporting, and be designed in such a way that they can be handed back to the State/recognized authorities at the appropriate time.

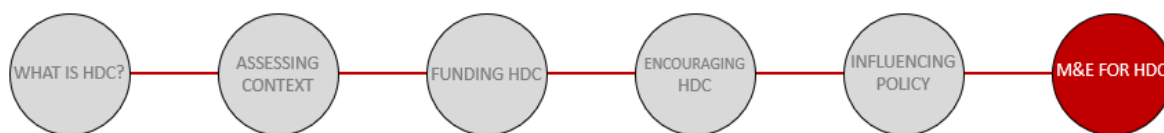
To summarize:

1. Decouple notions of ‘development’ from state building/state partnership.
2. Understand the parameters of red lines, seeking clarity on boundaries and terminology often leads to greater flexibility in the political position than first envisaged.
3. Donors and practitioners should actively seek creative solutions for solutions that have typically been within the remit of the State, in cases where donor funding cannot flow via the State or State institutions because of red lines.



FURTHER READING

Unruh, J. 2022. The Priority Dilemma of Western Sanctions on Syria's Agricultural Reconstruction, *Journal of Intervention and Statebuilding*, 16:2, pp.202-221



MONITORING AND EVALUATION FOR HDC



TOOL 12: GUIDANCE NOTE FOR DONORS: HDC-SENSITIVE MEASUREMENT FRAMEWORK

GUIDANCE NOTE OBJECTIVE:

- This tool applies adaptive management approaches to the idea of a donor measurement framework, identifying why traditional logframes may be problematic for HDC in ever-changing contexts. In addition, this tool will provide guidance for alternative approaches to measurement frameworks.

Measurement frameworks should be flexible and designed to meet program needs. If programs anticipate a need to pivot, adapt, dial-up or dial down humanitarian or development activities, or change significantly if other actors change their implementation (because the program has adopted a layering approach), then a flexible measurement framework is needed.

Theories of Change

[Adam Smith International](#) have developed a helpful guide on adaptive measurement frameworks, which has relevancy to HDC. They summarize their approach as “functional theories of change and flexible logframes”. This means that they encourage programs to regularly assess and update their theories of change; it is normal that some assumptions may prove true and as such the program may need to flex. Ideally this process should be built into the program every six months, and more frequently if the context is experiencing significant change. In addition [emergent theories of change](#) can also be useful for the application of HDC. Emergent theories of change start with a vision for how change may occur but allow for modification as implementation occurs and as context changes. Emergent theories of change consider:

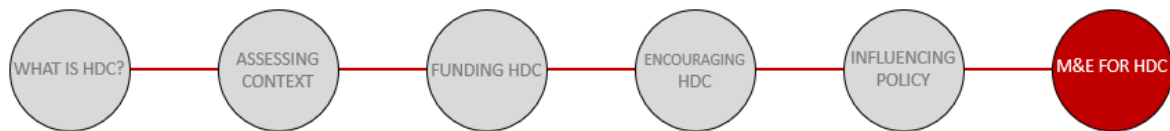
1. **Alternative causal chains:** Alternative causal chains should be developed in tandem to the causal chain the program intends to take. In turbulent contexts programs will likely need to adapt and change, meaning that a ‘plan b’, ‘c’ and ‘d’ should be explored from the outset.
2. **Multiple feedback loops:** Complexity theory suggests that ‘sensor networks’ are established linked to your theory of change. These sensor networks will indicate when contexts and changing, enabling teams to respond quickly, act on contextual signals, and pivot as needed.

WHY IS THIS IMPORTANT FOR HDC?

Theories of change identify the logic pathway that they anticipate will support them to transition from a problem statement to their intended goal statement. A HDC approach is aware that the problem statement may change (even if the language remains relevant the drivers and enablers of the problem may change) and will need to reflect and respond to this as the program is implemented. In addition, a HDC approach would not set a goal and outcome statement in isolation of a sector-wide goal and outcome statement. HDC identifies a partner’s complementary contribution to a pre-existing sector-wide strategy. For this reason, a theory of change must also provide a supplementary narrative to acknowledge if there are any sectoral barriers that may affect the achievement of the overall sector-wide goal or the programs complementary contribution.

Logframes

For adaptive logframes there are several ideas that are rising in popularity as an alternative to the logframe. This includes [the ‘searchframes’ idea](#) popularized by Harvard University, an outcome-focused



logframe, results-based management, or the [social framework](#) to focus on changing social dynamics through influencing. There are a range of approaches and it is important that the program team has transparent conversations about how to construct the logframe with the program's USAID point of contact early in the program life-cycle. Remember the logframe shouldn't be considered as a 'set in stone' document, but should be adapted if context or need dictates, but should **not** be adapted if the program is simply not achieving its intended aims. This nuance can only be deduced through transparent conversation.

WHY IS THIS IMPORTANT FOR HDC?

HDC supports the delivery of programs that respond more intuitively to community need (by acknowledging both humanitarian and development needs, and prioritizing them in partnership with the community). To achieve this, HDC acknowledges that there needs to be technical coherence across the sector, there needs to be good communication and coordination between humanitarian and development actors, and aid architecture needs to support flexible and pragmatic approaches that allow for change and complexity. Logframes for HDC should look at both process indicators (to what extent has the program supported improved coordination, has the program actively disseminated research outputs to both humanitarian and development actors operational in the same space) and outcome and impact level indicators (how effective has the program been in supporting improved teaching pedagogy, what percentage of parents are more engaged in their children's learning as a result of the program).

Research Questions

In addition to functional theories of change and flexible logframes, it is important that programs state their research questions. These shouldn't be standalone activities but should be ribbons of thought that unify the program over the life cycle. USAID guidance on developing research questions can be found [here](#). Research questions that may be helpful for assessing the impact of HDC in the education sector include:

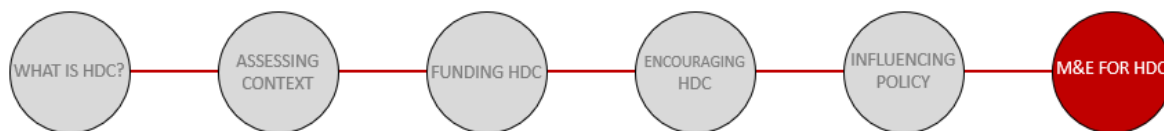
1. How has HDC supported programmatic flexibility and adaptation in turbulent contexts?
2. Does the phasing in of an HDC approach lead to improvements in education enrollment and attendance rates and improved learning outcomes?
3. To what extent has HDC in the education sector led to a reduction in proxy indicators of instability

WHY IS THIS IMPORTANT FOR HDC?

HDC represents a relatively NWOW. Whilst the researchers understand that in some contexts HDC has been occurring organically, in other contexts, particularly crises and protracted crises, this is less likely to be the case. Defining research questions in partnership with other humanitarian and development actors operating in the same location is an essential part of HDC. As a program researches these questions (and other organizations design complementary questions) the findings should be shared back with both humanitarian and development actors to build a collegiate space that encourages coherence, collaboration, and coordination, even in the absence of formal partnership.

FURTHER READING

Development Initiatives. 2022. Donors at the triple nexus: lessons from the United Kingdom: Chapter 3. The programme cycle and the nexus, Section: Monitoring, evaluation, and learning. Online: <https://devinit.org/5fa0e8#section-3-6>



TOOL 13: GUIDANCE NOTE FOR DONORS: APPLYING THE CLA MATURITY MATRIX IN A WAY THAT IS SENSITIVE TO HDC

GUIDANCE NOTE OBJECTIVE:

- To provide illustrative examples of how familiar flagship tools like the USAID CLA can be integrated with an HDC lens.

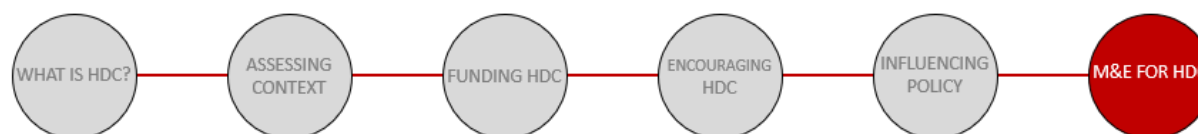
The purpose of a maturity matrix is to help an organization/Mission to think more deliberately about how to plan for and implement adaptable approaches that respond to need and context. At present the USAID [Collaborating, Learning and Adapting \(CLA\)](#) does not reflect HDC but could easily be adapted to reflect this dynamic. The CLA maturity matrix is a [set of easy-to-use cards](#) which can be used to facilitate conversation about the stage/maturity of the program. The cards provide examples of what 'maturity' might look like as a graduated scale.

This brief tool provides suggestions for how adaptations to incorporate HDC could be made in the CLA maturity matrix. The CLA maturity matrix cards are organized into two separate workstreams: 1) Enabling conditions, and 2) CLA in the program life-cycle. Within these two workstreams there are 16 sub-domains that the maturity matrix cards span. This guidance note will provide suggested adaptations for two of the sixteen sub-domains (External collaboration and technical evidence base) to incorporate a HDC lens.

Figure 11: The CLA Framework



Adaptations to the original CLA language, to mainstream HDC, are illustrated in red text in the tables below.



EXTERNAL COLLABORATION

Table 4: Adapting the CLA to Reflect HDC: External Collaboration

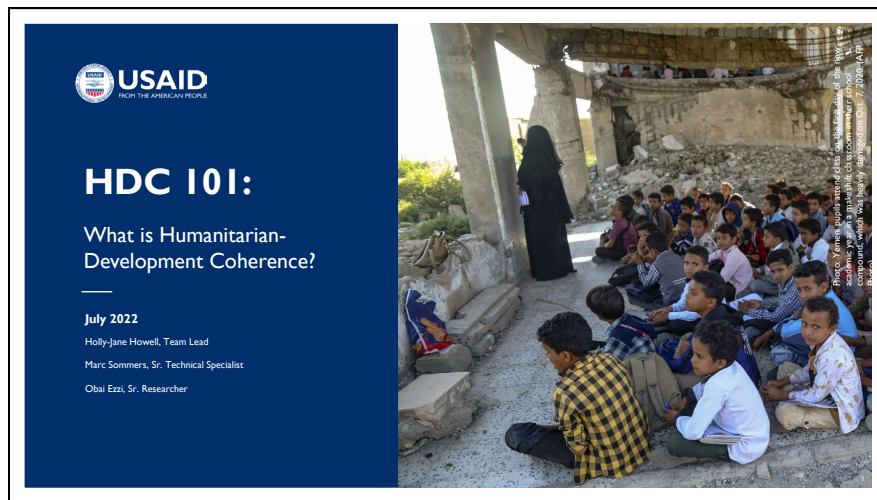
Not Present Yet	Emergent	Expanding	Advanced	Institutionalized
<p>We have not yet <i>identified humanitarian/development collaborators working in the intended target area.</i></p>	<p>Analysis of stakeholders/<i>collaborators</i> is informal and undocumented.</p> <p>We collaborate with stakeholders in an ad hoc fashion.</p> <p>Stakeholders are informed of USAID plans and/or interventions <i>but engagement on how this relates to the sector plan or complements/is coherent with the work of other actors is absent.</i></p>	<p>Planning processes sometimes include a stakeholder analysis <i>with HDC in mind (the integrity of values, layering, implementation in the same geography for maximum impact, agreeing informal and formal coordination, and identifying shared outcomes).</i></p> <p>We collaborate with host government counterparts and/or implementing partners under specific agreements <i>which include reference to the unique contribution of each partner/stakeholder to a set of shared outcomes.</i></p> <p>Collaboration with additional stakeholders is limited to consultation/information gathering (<i>spanning humanitarian and development issues</i>) to inform USAID decisions.</p>	<p><u>We usually:</u></p> <p>Use stakeholder analysis to identify and prioritize stakeholders <i>that we can work with to layer objectives, skillsets, and interventions with.</i></p> <p>Make decisions about what form collaboration <i>and coherence</i> takes to increase synergies which <i>requires</i> collaboration among partners.</p> <p>Collaborate strategically with key stakeholders <i>from across the humanitarian and development spectrum on key decisions.</i></p> <p><i>Socialize the common goal, the program's unique contribution, and shared outcomes with other actors in the space.</i></p>	<p><u>We consistently and systematically:</u></p> <p>Use stakeholder analysis to identify and prioritize stakeholders <i>that we can work with to layer objectives, skillsets, and interventions with.</i></p> <p>Make decisions about what form collaboration <i>and coherence</i> takes to increase synergies which includes requiring and resourcing collaboration among partners when relevant.</p> <p>Collaborate strategically with key stakeholders <i>from across the humanitarian and development spectrum on key decisions.</i></p> <p><i>Socialize the common goal, the program's unique contribution, and shared outcomes with other actors in the space.</i></p>

FURTHER READING

USAID Learning Lab. N.d. CLA Toolkit. Online: <https://usaidlearninglab.org/cla/cla-toolkit>

FHI360. 2015. Collaborating, Learning And Adapting: Experiences From First Four Years Of The USAID Community Connector Project. Online: <https://www.fhi360.org/sites/default/files/media/documents/ucc-technical-notes-9.pdf>

ANNEX I: HDC I01 POWERPOINT



Slide 1: In this presentation you will learn about humanitarian-development coherence. The presentation will cover the basics, but further reading of the HDC report or the HDC toolkit is encouraged for those that wish to learn more. This presentation will cover the history of HDC, the differences between HDC and the triple nexus, what HDC is, and how HDC can be operationalized.

DATA-DRIVEN RESEARCH

This presentation follows from **independent research** commissioned in early 2022, exploring the challenges and opportunities associated with humanitarian-development coherence in the Middle East and North Africa Region.

The study conducted primary research with **72 participants** representing global perspectives, regional views, and **local practitioner perspectives** across Yemen, Syria, and Lebanon.

The study produced three outputs:

1. A **final report**, including case studies from Lebanon, Syria, and Yemen, illustrating that it is possible to implement HDC.
2. **Two toolkits**, one for donors and another for practitioners, presenting a total of 26 tools mapped to the program life-cycle that provide helpful guidance for those looking to implement HDC.
 1. Donors Toolkit: Humanitarian-Development Coherence
 2. Practitioners Toolkit: Humanitarian-Development Coherence
3. A **HDC I01 presentation**, by means of an brief introduction to the topic.

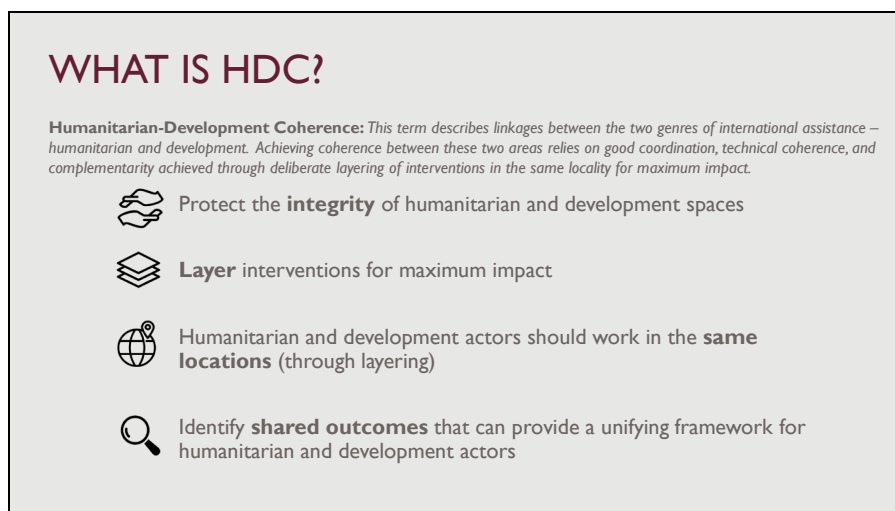
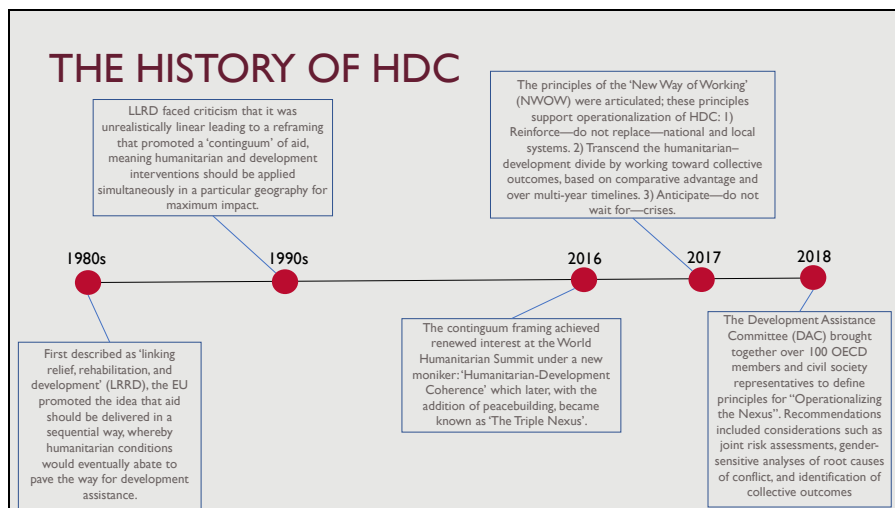
Slide 2: This presentation follows from independent research commissioned in early 2022, exploring the challenges and opportunities associated with humanitarian-development coherence in the Middle East and North Africa Region. The study addressed the research questions:

- How can the sector sequence, layer and coordinate humanitarian aid and development assistance to achieve education sector goals;
- How can the sector to better understand the role of institutional practices and financing models in enabling or hindering coherence between humanitarian aid and development assistance organizations in the education sector; and
- What are the potential opportunities for improved coherence between humanitarian and development actors in education and other sectors, and develop, improve, or test specific policies, processes, and tools to increase their coherence and effectiveness.

The study conducted primary research with 72 participants representing global perspectives, regional views, and local practitioner perspectives across Yemen, Syria, and Lebanon.

The study produced three outputs:

- A final report, including case studies from Lebanon, Syria, and Yemen, illustrating that it is possible to implement HDC.
- A companion toolkit, presenting a series of 26 tools mapped to the programme life-cycle that provide helpful guidance for those looking to implement HDC.
- A HDC I01 presentation, by means of an brief introduction to the topic.



Slide 3: To summarize these characteristics, humanitarian development coherence is about identifying areas of complementarity between humanitarian and development assistance and intentionally delivering the two types of intervention with coordination, technical coherence, and in the same geography. Key to humanitarian-development coherence are the following principles:

- HDC doesn't mean that one organization needs to do everything, if you have a development or a humanitarian mandate (as opposed to a dual mandate) it is important that you protect this and the operating space that this affords.
- Layer interventions for maximum effect. If you are a development programme about to start work in a particularly area, identify humanitarian interventions already operational and try to coordinate with them, perhaps working in complementary shifts in the same school, or with the same households, or using the same referrals and case management mechanisms.
- Again, try to work in the same geographic areas for maximum impact where possible.
- Humanitarian and development coherence should be shaped by a common vision – perhaps an education sector plan or something similar – whilst humanitarian and development actors may achieve the end goals in different ways they can both contribute to the plan in different but complementary ways.

Slide 4: HDC has relatively recent origins. First described as a linear process of moving from humanitarian interventions to development interventions in the 1980s, to a continguum of care (meaning a consistent layering of humanitarian and development interventions at the same time for maximum impact) in the 1990s, the concept of HDC has slowly evolved. By 2016 there was renewed interest in the topic of HDC, largely stemming from the significant need, huge costs, and unprecedented Syrian crisis that had overwhelmed the sector. In 2016 the World Humanitarian Summit met to discuss HDC, and made a roadmap over the coming 3 years to define its characteristics and begin to move towards operationalization. During this time some of the discussions added a 'third pillar' to HDC, - peacebuilding – which became known as the triple nexus. By 2017 the New Way of Working or NWOW, a plan for operationalizing HDC, had begun to outline characteristics, these included:

Reinforce—do not replace—national and local systems. Humanitarian and development actors bring a range of diverse mandates and expertise to the education field. Humanitarian-development coherence does not mean that humanitarian actors need to do development work, or vice versa. On the contrary, it means that each actor is able to contribute to collective outcomes by leveraging their particular specialization, expertise, and strengths before, during, and after a crisis

Transcend the humanitarian–development divide by working toward collective outcomes, based on comparative advantage and over multi-year timelines. -Collective outcomes are “commonly agreed quantifiable and measurable results or impact that can contribute to reducing people's needs, risks and vulnerabilities and increasing their resilience, requiring the combined effort of different actors” (OCHA, 2017, p. 7). Collective outcomes are the result of multi-stakeholder dialogue, which brings decision-makers, humanitarian and development actors, local communities, and other beneficiaries together to conduct a joint analysis of children's and youth's educational needs and to identify the suite of outcomes that actors will work to achieve. **Anticipate—do not wait for—crises.** The NWOW promotes using multi-year timeframes to “analyze, strategize, plan and finance operations that build over several years to achieve context-specific and, at times, dynamic targets”. Multi-year planning can enable smooth transitions, which will allow programs and actors to be sequenced so that their comparative advantages are used appropriately.

WHAT IS DRIVING A DESIRE FOR HDC?

The drivers that spurred the pursuit of humanitarian-development coherence, remain as relevant now as they were in the 1980s:



Protracted nature of crises: The number and length of crises are increasing and the root causes of conflict remain unaddressed decades into many protracted crises (potentially because of a lack of HDC)



Rising financial costs: The cost of aid delivery is rising but national crisis for high-income contexts have resulted in pinched national aid budgets.



Increasing magnitude of crises: Six years after the World Humanitarian Summit a record 235 million people are in need of humanitarian assistance (United Nations News, 2021), and the UN predicts this will increase to 274 million people in 2022.



Diversity of need: Protracted crises like Syria or Yemen have complex and varied needs. 10 plus years into the crises and a humanitarian response may mean that children still don't have repaired schools, paid teachers, or access to examinations and certification. A purely humanitarian response fails to respond to the diversity of need.

Stakeholders can no longer afford to operate in humanitarian and development silos and must embrace HDC.

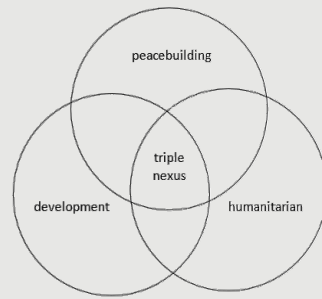
Slide 5: HDC is overdue. Crises are lasting longer, costing more, and increasingly growing in scale. When we consider contexts like Syria or Yemen, 10+ years of a primarily humanitarian response fails to respond to the diversity of need. HDC is not about saying that humanitarian assistance is no longer needed, nor is it about saying that development assistance is paramount, it is about saying that diverse need is best responded to through diverse approaches – those that consider humanitarian and development approaches.

WHY DON'T WE ALREADY HAVE HDC?

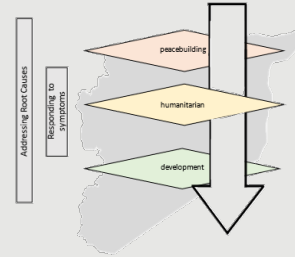
- The dominance of short-term humanitarian funding in protracted conflict settings;
- Coordination challenges within humanitarian and development networks, as well as between humanitarian and development actors;
- Challenges associated with development assistance when the government is enmeshed in the conflict;
- The provision of basic humanitarian provisions that cannot accommodate immediate or longer-term education requirements.

Slide 6: Unfortunately, HDC has rarely occurred organically in responses. This is due to many reasons including siloed donor funding, of specifically mandated organizations, poor coordination and a competitive nature between humanitarian and development actors, political limitations preventing development funding and perpetuating humanitarian aid, and challenges associated with the State being party to the conflict.

HDC AND THE TRIPLE NEXUS



A. Common Visual Representation of the Triple Nexus



B. The Triple Nexus Represented As a Layered Approach

Slide 7: Clarity surrounding HDC and the triple nexus has been blurred, perhaps as a result of visual representations of the triple nexus as a venn diagram. This can infer that the triple nexus is a sweet spot when these three areas (humanitarian, development, and peacebuilding) overlap. This is not the case. Instead it may be helpful for visual representations to consider a layered approach, where all three types of intervention are implemented in the same geography for maximum impact. This does not necessarily mean that the same organization should layer all of these things but that design choices should look to see what is already occurring in the area and layer complementary activities in the same geography.

RECOMMENDATIONS FOR IMPLEMENTING HDC

TO USAID

1. Convene regular HDC for education meetings
2. Conduct an internal workshop to find pragmatic solutions to persistent problems within the confines of United States Government (USG) red lines

TO DONORS

1. Map the risks associated with the current status quo to better understand the context and the impact of potential decisions
2. Employ guided discussions to address unavoidable red lines that limit assistance and prevent the operationalization of HDC
 - a. Each donor organization should develop an internal strategy document that outlines the red lines
 - b. Establish a Commission to map red lines for all major donors
3. Spearhead the development of comprehensive, HDC-sensitive sector plans in crisis contexts.
4. Dramatically expand the contextual expertise of donor officials to inspire enhanced understandings of the situation on the ground and the benefits of HDC.

TO DONORS AND PRACTITIONERS

1. Document and share positive practices of programs with HDC-centered approaches (such as USAID's QITABI program in Lebanon).
2. Institute crisis-response adaptations in the program design stage to enable the program to flex as needed and continue to deliver HDC in times of crisis and stability
3. Mandate the creation of development coordinators (as counterparts for humanitarian coordinators) to allow education sectors to operationalize HDC.

Slide 8: The following recommendations stem from primary and secondary data analysis funded by USAID. Details of the methodology, analysis, findings, and detailed recommendations can be found in the accompanying report. Guidance on implementing of the recommendations can be found in the accompanying toolkit.

This leads us to some of the core recommendations for operationalizing HDC – one of them being that it is important to depoliticize development assistance and decouple it from state building or development.

Other recommendations, organized by intended audience include: convening regular HDC meetings, identifying development counterparts to humanitarian cluster coordinators, pragmatize about red lines, map positive practices, incorporate crisis modifiers and adaptive programming more broadly in design choices, develop HDC sector plans for crisis and protracted crisis contexts, and improve donor and practitioner contextual awareness to support HDC thinking.

IMPLEMENTING HDC: EXAMPLE 1

EXAMPLE

In Lebanon the QITABI-II team were intentional when building their consortia to allow for greatest operational flexibility. A diverse range of partners were selected; leading the consortia are World Learning Lebanon, and supporting implementation are AMIDEAST, American Lebanese Language Center, Management Systems International, International Rescue Committee, Ana Aqra' Association. These partners cover the private sector, academia, humanitarian, and development mandates. This meant that some members of the consortia may already have an organizational portfolio that was 'more development' or 'more humanitarian', selecting a diverse consortia membership meant that layering could occur organically as a small team, thanks to membership diversity.



Layer humanitarian and development interventions with other organizations



Ensure organizational flexibility while also staying committed to core missions



Identify partners that have strong community connections and understand need



Start the conversation with data

Slide 9: HDC is a nascent field and there are few examples of implementation, let alone evaluations or process reviews of HDC implementation. Of those that do exist we can see common traits or characteristics including building a consortium that is reflective of both humanitarian and development partners, and the inclusion of adaptive programming in design choices. The organizations that have been most effective in implementing HDC have often been those closest to the ground and have a strong holistic understanding of community needs which enables them to move out of the silos of 'humanitarian' and 'development' and simply respond to 'need'. Make note of ability to pivot quickly to school feeding, but there is a need to also 1. understand trade-offs (what was lost from an ed quality perspective?) and 2. ensure any pivot is informed by data.

IMPLEMENTING HDC: EXAMPLE 2

EXAMPLE:

Sipar is a well-known private-sector local children's book publisher in Cambodia. They develop books, primarily for 0-8y.o in Khmer. Because of their unique place in the market Sipar receives both humanitarian and development funding from a range of sources including the UN, INGOs, NGOs, and private sector, as well as selling directly to the public. Sipar understands the parameters of the funding and has harmonized the funding (by layering) at a local level. Sipar uses development funding to create the books and humanitarian funding to provide and distribute the books. Different funding sources are layered in the same supply chain, leading to maximum impact for the end user/beneficiary.



Layer humanitarian and development funding streams for maximum impact



Ensure organizational flexibility to respond, build in process to identify complementarity

Slide 10: In this case study Sipar doesn't blend financial streams but designs interventions to leverage complementary humanitarian and development funding streams, in effect blending them, but keeping processes and reporting separate in line with donor conditions. Designing with this in mind enhances the supply chain making it more flexible and responsive to user needs

IMPLEMENTING HDC: EXAMPLE 3

EXAMPLE

Violet is a local NGO operating in North West Syria. Violet has a dual mandate enabling it to implement both humanitarian and development interventions. Violet was recently awarded grants from donors with different mandates – OCHA (via CARE) with a humanitarian mandate and FCDO with a development mandate - to support education in Idlib. The funding from each donor has strict conditions and can only be used for that particular donors relevant mandate (humanitarian or development). This rigidity in funding is understandable politically and legally, but poses difficulties for Violet to communicate to communities that interventions will either respond to short-term needs or long-term needs, rather than a holistic intervention.

However, Violet overcame this challenge by harmonizing funding within the organization. Violet will keep funding streams separate, reporting separate, and will abide by each funding organizations terms and conditions, but they will layer activity interventions in the same geography for maximum impact, and where possible they will encourage the team members responsible for the two funding sources to coordinate and work together where possible/appropriate.



Complementarity at local levels to ensure humanitarian and development needs are responded to



Closer working relationships between humanitarian and development staff members

Slide 11: The final example in this presentation is from Violet. Violet have multiple funding streams and design for their complementarity at local levels, by layering different programmes. Violet takes care to encourage staff from humanitarian and development programmes to coordinate to learn from each other and support a 'one team' mentality. This increases the likelihood of HDC implementation.

FURTHER READING

For further reading on the topic of HDC, please consult the following documents posted on USAID's Development Experience Clearinghouse:

1. The final report “Conflict And Coherence: Investigating HDC For Education In The Middle East And North Africa Region. Case Studies of Lebanon, Syria, and Yemen.”
2. Donors Toolkit: Humanitarian-Development Coherence
3. Practitioners Toolkit: Humanitarian-Development Coherence

Slide 12: The following resources are publicly available on USAID's Development Experience Clearinghouse for further reading.