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# PRACTITIONERS TOOLKIT: HUMANITARIAN-DEVELOPMENT COHERENCE

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## ACRONYMS

CLA	Collaboration, Learning, Adaptation
COVID-19	Coronavirus Disease 2019
ECD	Early Childhood Development
FCDO	Foreign, Commonwealth, and Development Office
HDC	Humanitarian-Development Coherence
INGO	International Non-Governmental Organization
ISIS	Islamic State of Iraq and Syria
MEERS	Middle East Education Research, Training and Support
MENA	Middle East and North Africa
NGO	Non-Governmental Organization
NWOW	New Way of Working
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Co-operation and Development
RERA	Rapid Education and Risk Analysis
USAID	United States Agency for International Development

## PRACTITIONERS TOOLKIT: 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 four-year, \$5 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 responds to research question four. The intended audience for this publication is education practitioners who work in crisis contexts. It provides guidance that is needed to design proposals, implement, and monitor HDC-sensitive programs. A complementary toolkit for donors, called ‘The Donors HDC Toolkit: Guidance for Humanitarian-Development Coherence in Education With Reference to the Middle East & North Africa (MENA) Region’, is also available.

Both toolkits, together with “Conflict and Coherence,” 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.

### TOOLKIT OBJECTIVES

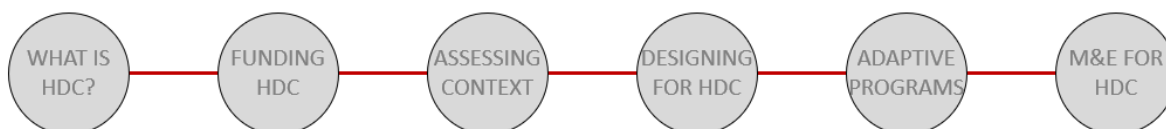
This toolkit provides a roadmap for practitioners to take the notion of HDC from theory to implementation. It provides practical suggestions to support dialog between implementers, local decision-makers, academics, and donors on the topic of HDC.

The tools provided here have been developed via a collaborative, multi-phased 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, including political economy analyses, systems thinking frameworks (including complexity theory) and USAID’s Collaborating,

Learning, and Adapting (CLA) tools. Qualitative primary research then identified a list of over 60 tool suggestions from a variety of education stakeholders. Suggestions ranged from discussions of long-term humanitarian-development visions in the MENA region to handouts on ‘what is HDC?’ Finally, the spectrum of tools were presented to an external audience during a validation workshop in mid-June 2022, which solicited feedback, suggestions and reflections from potential toolkit end-users. This toolkit further draws from the research findings, analysis, and recommendations in the final companion report, “Conflict and Coherence.”

## NAVIGATING THIS TOOLKIT

This toolkit is separated into 6 sections (comprised of a total of 11 tools):



The six sections map the program life cycle. The icons at the top of each page of the toolkit indicate the section that the reader is in (for example, if the icon is red, the reader is within that section). Each tool begins with a problem (such as, ‘How to design HDC facilitation workshops’).

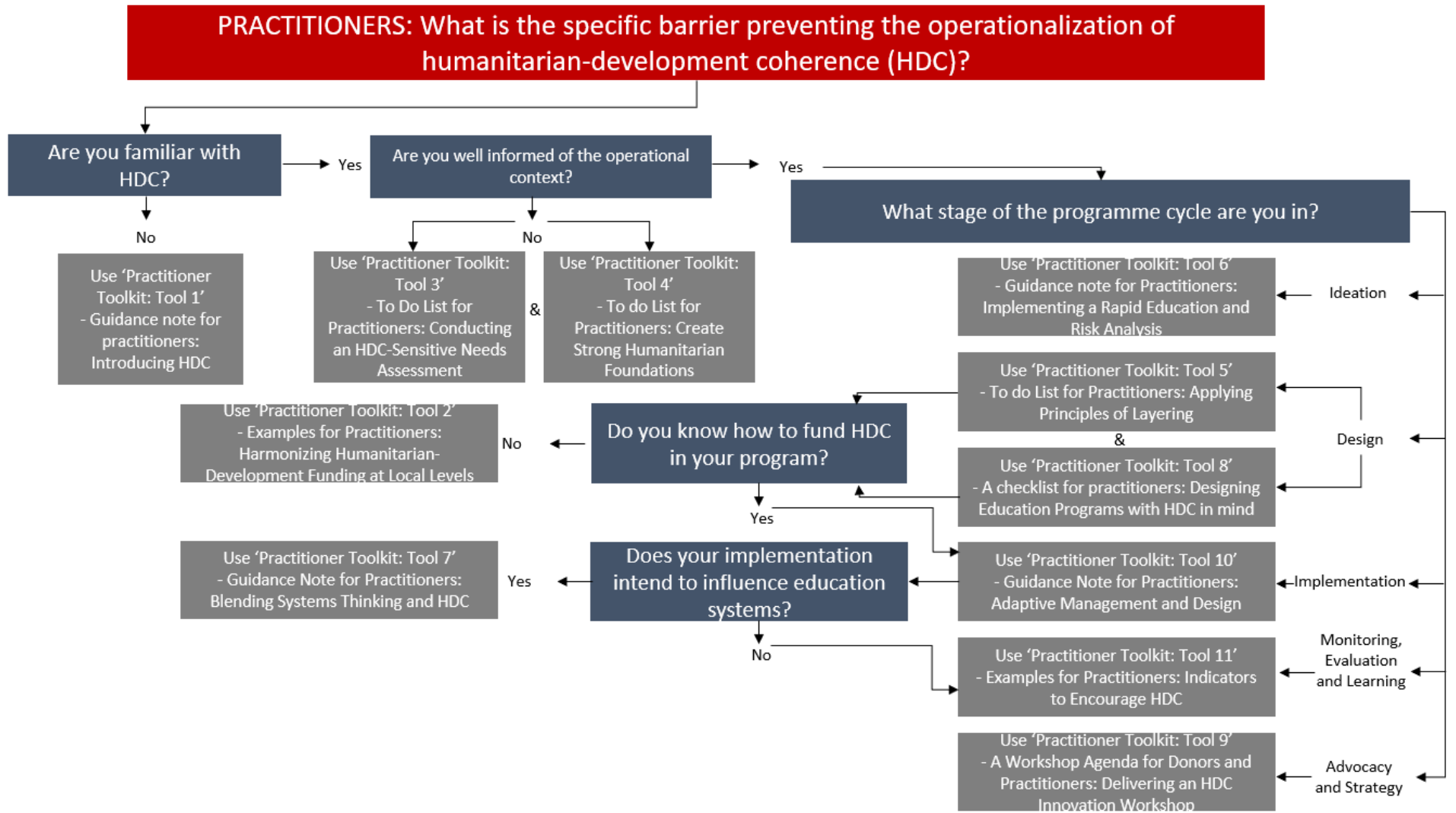
This toolkit features five types of tools:

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 operationalizing HDC.
	To-do lists	The to-do lists are a list of tasks or processes that should be completed prior to or during the operationalization of HDC. A to-do list can be added to by the implementing partner and adapted to meet intended purpose.
	Checklists	Checklists are a documented process that should be completed prior to or during the operationalization of HDC.
	Workshop Agendas	The agenda is a suggested process for facilitating group discussion or activity during a formal meeting/event.

There may not provide a complete compendium of answers and paths that a practitioner or donor *could* take in this toolkit. Instead, it provides a useful entry point to begin to explore each topic.

If you are unsure about how to navigate the toolkit, the decision tree below may direct you to the most relevant tool:

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

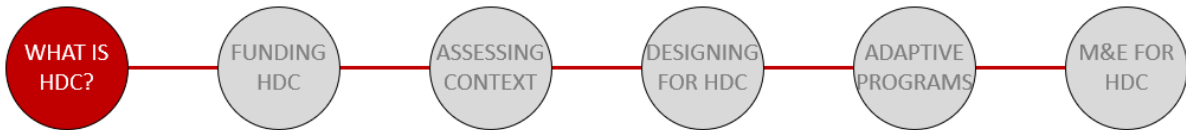


## WHERE CAN I READ MORE?

Accompanying this toolkit is a **report** on the topic of humanitarian-development toolkit as applied to the education sector. The report “Conflict and Coherence” is a useful reference point to understand the theory of HDC, the application of an HDC-lens to three contexts in the MENA region (Syria, Lebanon, and Yemen) and an overview of regional recommendations for the operationalization of HDC.

In addition, for those new to the field of HDC, there is also a PowerPoint ‘HDC 101’ which provides a useful introduction. Both toolkits, the HDC 101 PowerPoint, and report “Conflict and Coherence” can be found online on USAID’s Development Experience Clearinghouse.





## WHAT IS HDC?

### TOOL 1: GUIDANCE NOTE FOR PRACTITIONERS: INTRODUCING HDC

#### GUIDANCE NOTE OBJECTIVE:

- Providing a simplified overview of HDC.

The language used in this tool can form the basis for a facilitated introduction to HDC.

#### WHAT IS HDC?

Humanitarian-development coherence is a process or a way of thinking and working. Think of non-governmental organizations (NGO) as a puzzle piece in a jigsaw. The total jigsaw is all the needs in the education sector, and the individual puzzle pieces are different implementing organizations. At the moment each implementing organization or puzzle piece doesn't know the picture they are trying to make – so they might try to jam their puzzle piece in in the wrong place, which might not complement the other puzzle pieces. It may be helpful to think about a system that applies HDC as one in which each puzzle piece knows what the overall puzzle picture looks like before it tries to find its place, where the puzzle piece is told where its place is, and where the puzzle pieces know that together they are building a coherent picture (or response to need). HDC encourages all stakeholders to think about interventions as more than the sum of their parts, taking note of the interventions of other actors, the respective value-add of different organizations, and the education sector plan and vision.

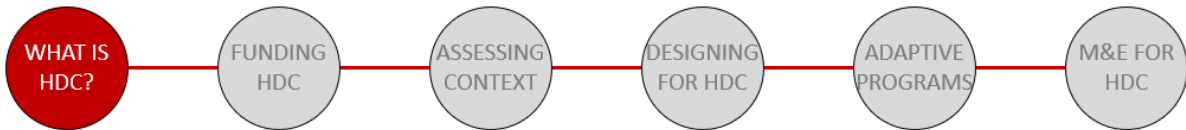
#### WHAT BENEFITS WOULD HDC BRING?

The added value of HDC has not been well evidenced. Anecdotally, people believe that it would lead to more responsive aid that better corresponds to people's needs. By understanding the puzzle picture *before* thinking about the program's unique added value as a puzzle piece, it means that the program team can bypass some of the limitations that politics might pose. For example, if in context 'x' children need conditional cash transfers (humanitarian) to attend school and they need certification and accreditation (development) to ensure that education is meaningful for them, but the program donor is unable to fund development activities, HDC provides benefit because it wouldn't instantly see this as limiting. An HDC approach would encourages the program team to do a mapping of who is operating in the area with funding that is or could be used for that purpose, and to then complement their funding with the program's humanitarian cash interventions. Barriers that may be felt on a bilateral level, become less pertinent when considered from a sector or location-wide lens applying HDC.

#### IS HDC JUST FOR PROTRACTED CRISIS?

HDC is for all contexts. While HDC is incredibly useful in a protracted crisis there are examples of how it can be relevant across each phase:

- **Acute/Emergency:** Even in an emergency many teachers continue to teach, and many students require education instruction that can adapt to their needs. While humanitarian interventions are the dominant type of interventions there remains a need to fund teacher pay and suites of high-quality education materials that may be used by children on the move often utilizing technology.
- **Protracted:** Many protracted crises like Maiduguri, Syria, and the Rohingya in Cox's Bazaar have been ongoing for many years or decades. In such contexts we risk a lost generation if education does not provide children with the credentials needed to go on to further education or enter the labor market in meaningful employment. While many households will need



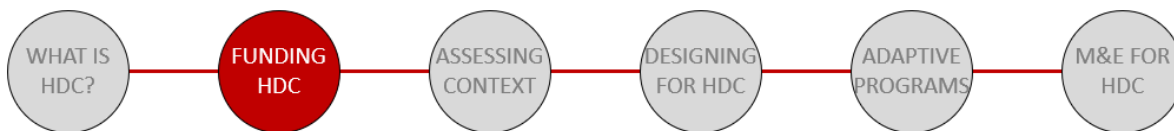
humanitarian interventions to meet basic need, development interventions are required to support children to move between the non-formal and formal sectors and to receive accreditation and certification.

- **Post-Crisis:** After a crisis many of the interventions will be development-type in nature – for example a focus on teacher training, strengthening the quality of education provision, strengthening education systems, and doing reconstruction of schools. However, there are many learners that will continue to feel the effect of the conflict or daily stressors such as poverty or societal marginalization. It is important that humanitarian activities ensure that these learners have their basic needs met, perhaps through financial safety nets, school feeding programs, or additional protection or education support delivered in a tailored way.
- **Preparedness:** Crises can be global and can take contexts by surprise – think of the recent COVID-19 pandemic. While some contexts may require development interventions, it is important to have strong humanitarian preparedness plans that can be implemented when disaster strikes. In this sense HDC should be applied when scenario planning.

### FURTHER READING

Mowjee, T, et al. 2015. Coherence in Conflict: Bringing humanitarian and development aid streams together. Online:

[https://www.humanitarianoutcomes.org/sites/default/files/publications/coherence\\_in\\_conflict\\_web\\_1.pdf](https://www.humanitarianoutcomes.org/sites/default/files/publications/coherence_in_conflict_web_1.pdf)



## FUNDING HDC

### TOOL 2: EXAMPLES FOR PRACTITIONERS: HARMONIZING HUMANITARIAN AND DEVELOPMENT FUNDING AT LOCAL LEVELS

#### EXAMPLES FOR PRACTITIONERS, OBJECTIVE:

- To illustrate how an organization with multiple sources of income from different donors can drive complementarity at local levels.

Local NGOs in MENA are yet to tap into their full potential. Local actors have an intimate understanding of community need, barriers, and enablers, and they are primed to operationalize humanitarian-development coherence. Local NGOs can often leverage:



**FLEXIBILITY:** The operational flexibility of having a dual mandate, that spans the humanitarian development divide.



**CONNECTIONS:** Local connections afford direct access to different areas of conflict, affected communities, and decision makers, which can help to better understand need.



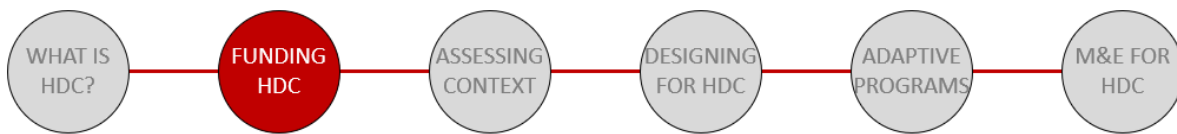
**DIVERSE FUNDING:** Multiple funding streams from a diverse range of donors will help NGOs to layer 'in house' and deliver a comprehensive response to needs on the ground.

Figure 2: A Case Study of a Local Organization Layering Funding Streams

#### EXAMPLE:

Looking beyond the MENA region, 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, international governmental organizations (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.

Layering – meaning implementing programs with different objectives (humanitarian and development) in the same area – can take place internally to an organization or externally. **Externally** this may look like an organization that chooses to deliver a development organization in a particular location after a comprehensive needs assessment because there are already humanitarian actors on the ground in that location providing complementary interventions. **Internally** it may take the form of a dual mandated organization that can pool resources for maximum impact.



The following example illustrates how local Syrian NGOs, like [Violet](#), have utilized funding from multiple donors to operationalize HDC.

Figure 3: Violet (a Syrian NGO) Harmonizes Funding Streams at Local Level to Achieve HDC

### EXAMPLE

Violet is a local NGO operating in Northwest Syria, where there are dire humanitarian and development needs in the education sector. Violet has a dual mandate enabling it to implement both humanitarian and development interventions. Violet was recently awarded grants from donors with different mandates – United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (via CARE) with a humanitarian mandate and Foreign, Commonwealth, and Development Office (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 has faced this challenge before and can overcome this challenge by harmonizing funding within the organization. They 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.

Organizations like Violet can achieve complementarity and coherence by considering the following:

- Use the two separate funding streams to fund different components of a **harmonized joint needs assessment**, enabling consideration of both humanitarian and development need.
- Propose to both donors **harmonizing reporting** under one unified template. It may be worth referencing the Grand Bargain commitment<sup>1</sup> to harmonized reporting, when initiating this discussion.
- Clear expectations for working with a ‘one team’ mentality at NGO-level should be socialized. This may include having **one** team leader that is part funded by both funding streams, having **shared team meetings**, ensuring **each school has a mix of staff funded by the two different donors** etc.

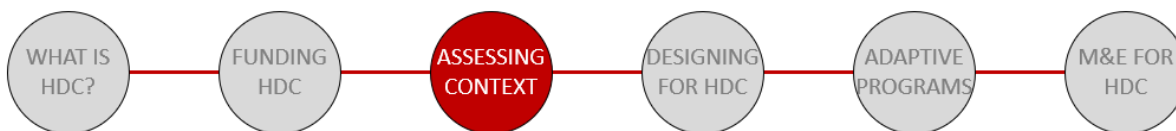
Organizations can expect to achieve improved cost-effectiveness, greater responsiveness to need and hopefully increased impact as a result of layering, by harmonizing funding streams at local level in the pursuit of HDC.

### FURTHER READING

Hinds, R. 2015. Relationship between humanitarian and development aid, Section 4: Approaches. Online: <https://assets.publishing.service.gov.uk/media/57a08969ed915d3cfd00022a/hdq1185.pdf>

Jowett, M et al. 2020. Health Financing Policy & Implementation In Fragile & Conflict-Affected Settings: A Synthesis Of Evidence And Policy Recommendations. Online: <https://eresearch.qmu.ac.uk/bitstream/handle/20.500.12289/10103/10103.pdf?sequence=1&isAllowed=y>

<sup>1</sup><https://interagencystandingcommittee.org/harmonize-and-simplify-reporting-requirements/harmonized-reporting-template-83-template-final>



## ASSESSING CONTEXT

### TOOL 3: TO-DO-LIST FOR PRACTITIONERS: CONDUCTING AN HDC-SENSITIVE NEEDS ASSESSMENT

#### TO DO LIST OBJECTIVE:

- To ensure that needs assessments ask about the diversity of need, spanning humanitarian and development assistance.

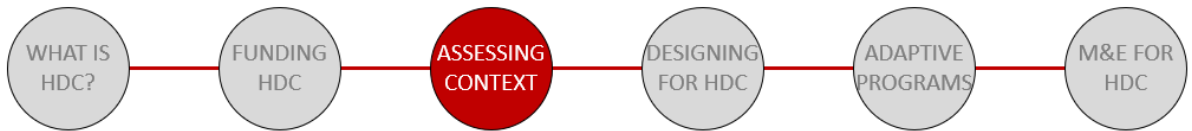
Needs assessments rarely respond to the complexity of **both** humanitarian and development need, which runs the risk of providing a piecemeal response that fails to cater to the complexity of need.

This tool does not attempt to provide a comprehensive needs assessment – many of the foundations are already in place when we look at tools developed by OCHA, UNICEF, or International Red Cross – but instead this tool presents criteria for consideration that are HDC-sensitive that can supplement and enhance a needs assessment. The following HDC-sensitive checklist builds off of the 2022 Humanitarian Cluster Need Assessment<sup>2</sup> checklists and suggests a set of considerations for humanitarian and development actors to better reflect HDC in their education needs assessments. The foundations of the tool are rooted in the new way of working (NWOW).

Table 1: HDC Characteristics Mapped Against Needs Assessment Questions/Lenses

HDC Consideration	Needs Assessment Question/Lens
Is need considered across the humanitarian-development spectrum.	<ul style="list-style-type: none"> <li>What are the immediate short-term needs at community level?</li> <li>What are the long-term needs at community level?</li> <li>What are the needs of the education system?</li> </ul>
Reinforce—do not replace—national and local systems.	<ul style="list-style-type: none"> <li>Is there a local education authority?</li> <li>Has a representative from the local education authority made a community visit in the last ‘x’ months?</li> <li>Do the current political authority/institutional structures encourage coordination?</li> <li>Do local authorities/decision-makers act in isolation?</li> <li>Are there dialog forums that seek the input of different diverse actors to support coordination?</li> </ul>
Work towards collective outcomes spanning the humanitarian-development spectrum.	<ul style="list-style-type: none"> <li>Is there an education sector plan?</li> <li>Is there a local-level education plan led by local education authorities (in line with the national education sector plan), how do they assess progress against this plan?</li> <li>Are there shared outcomes commonly held between humanitarian and development actors?</li> </ul>
Incorporate adaptive planning and anticipate — do not wait for—crises.	<ul style="list-style-type: none"> <li>Are there actors that are operational that have the capacity to scale up humanitarian activities if crises worsen?</li> <li>Are there actors that are operational that have the capacity to scale up development activities if conditions of stability prevail?</li> <li>Which actors that are operational in the area have financial flexibility in times of crisis? What scale are they operating at?</li> </ul>
What are others (humanitarian and development actors) doing	<ul style="list-style-type: none"> <li>Does layering currently take place between humanitarian and development actors?</li> </ul>

<sup>2</sup> <https://educationcluster.app.box.com/v/needsassessmentpackage/folder/89698825669>



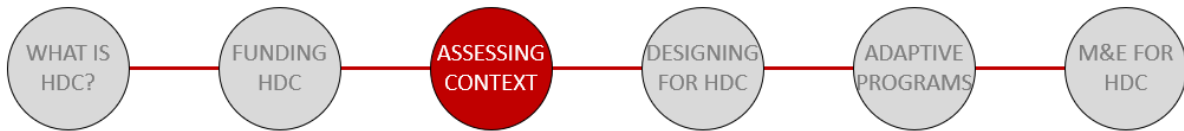
in this space, and how could layering be achieved?

- Are there opportunities for layering?
- Has a mapping been undertaken of the different implementing partner characteristics (currently operational in the target area), for example WASH, protection, nutrition actors that engage with caregivers, teachers, and children?
- Has a mapping been undertaken of the different education implementing partner characteristics (currently operational in the target area)?
- What is the availability/willingness to coordinate between humanitarian and development counterparts working in the education sector in the area?
- Do any of these actors hold 'special relationships' with key education stakeholders?
- In the area, which sectors/actors are present? Are these actors engaged with humanitarian or development working groups?
- Does layering currently take place between humanitarian and development actors in the education space?

Donors are encouraged to add to these considerations with additional information that may be pertinent to the target area. Asking these questions is the responsibility of **both** humanitarian and development actors.

#### **FURTHER READING**

USAID. 2022. Programming Considerations for Humanitarian-Development-Peace Coherence: A Note for USAID's Implementing Partners, Chapter: *Plan Jointly and Seek a Common Agenda*. Online: [resiliencelinks.org/building-resilience/reports/programming-considerations-hdp-coherence](https://resiliencelinks.org/building-resilience/reports/programming-considerations-hdp-coherence)



## TOOL 4: TO-DO-LIST FOR PRACTITIONERS: CREATE STRONG HUMANITARIAN FOUNDATIONS

### TO DO LIST OBJECTIVE:

- To prompt consideration of how a system-wide response is built, and the implication of response gaps for the operationalization of HDC.

HDC is premised on the principle of layering – meaning that programs are encouraged to look at who is operating in any given area and map their contributions to education. New activities should then be paired with those interventions that are pre-existing, in a complementary way – referred to as layering. However, this approach works best when there is already diversity in implementation. In the absence of diversity an ethical challenge emerges whereby practitioners must choose between plugging gaps and complementarity.

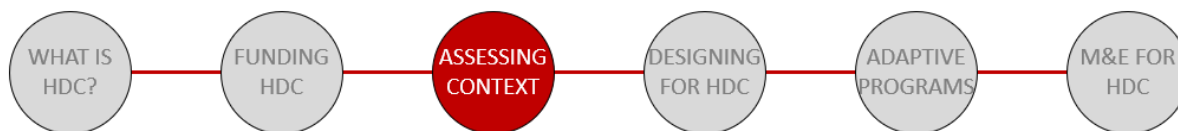
In instances where there are unaddressed gaps for example in secondary school provisioning, teacher pay, or local capacity building, this provides instability in the sector, and will reduce the likelihood of layering. In this sense, the foundations of a humanitarian system informs the degree to which layering with other humanitarian or development programs is then possible.

Unfortunately, in many humanitarian responses there is a focus on primary education – often seen as the space where greatest returns on investment can be made, where it is most viable for paraprofessionals to engage, or where the biggest impact can be achieved. Dialogues about prioritization normalize this choice, which may be the ‘right’ choice if it wasn’t for the decision being taken unilaterally across many donors at the same time. Significant investment in primary education, by different donors, often in an uncoordinated way, has come at the expense of a continuum of education provision across different age-groups and marginalized groups.

If layering cannot take place, because humanitarian and development actors see an imperative to plug gaps in key services (if there is clear need associated with those services which is exacerbating learning loss, protection concerns, or access related issues) prior to layering, this limits the likelihood of effective HDC.

Key questions may help donors to understand the extent to which this is occurring:

- What is the fallout from not providing formal education options to out-of-school adolescents and youth, particularly what are the implications of a shrunken education system (largely comprised of primary schooling) over time, for education system recovery and the lives of out-of-school young people?
- Is the implementing partner aware of the funding split between primary-aged and secondary-aged learners (be that non-formal or formal opportunities)? Does this align with the understanding of need held by those closest to the context?
- Are there any key interventions that are critical for access to education, the quality of education provision, or ensuring the safety of children, that are unaddressed in the target area? What is the main reason for this?
- Are the gaps disproportionately affecting a segment of society requiring a multi-pronged large-scale intervention, or do they relate to gaps in humanitarian or development funding whereby layering could be the solution?
- Are donors aware of which donors/foundations are politically or legally able to fund different education interventions/age cohorts?
- Are there any minor modifications that could occur to support pre-existing programs to meet these gaps? Are there donors with leverage that could raise this issue in a donor working group meeting?



However, these are suggested questions to prompt the conversation. Practical action may include:

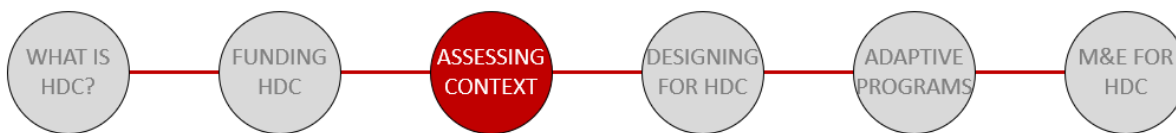
- Calling a donor meeting to discuss funding allocations and the unintended negative consequences as a result of duplicative funding.
- The development of an education sector plan that illustrated clearly who is responsible and accountable for what.
- Demonstrate inclusion and expand the impact of HDC by convening humanitarian and development actors to re-engage and involve out-of-school young people in the formal education system. The most cost-effective and adaptable means likely will be via remote or distance education.
- Establish a combined humanitarian and development working group to track gaps in the response and, in a timely way, flag to practitioners and donors alike, if funding is having negative unintended consequences.

### **FURTHER READING**

Forced Migration Review. 2019. Education: needs, rights and access in displacement. Online: <https://www.fmreview.org/education-displacement>

EFA. 2015. Education for All Global Monitoring Report: Policy Paper 21. Online: <https://unesdoc.unesco.org/ark:/48223/pf0000233557>





## TOOL 5: TO-DO-LIST FOR PRACTITIONERS: APPLYING PRINCIPLES OF LAYERING

### TO DO LIST OBJECTIVE:

- To understand what layering is and how this can be applied differently depending on the needs of the context.

Layering is foundational to understanding the concept of HDC. Many practitioners and donors have misunderstood HDC as the **integration of humanitarian and development assistance within one program**. While this may be one guise of HDC, there are in fact many other variations that HDC can assume. If an organization has a single mandate, or there are specific humanitarian or development interventions that they cannot support, layering may take the form of **complementarity, coordination, and coherence with other organizations**.

Figure 4: Multisectoral Layering for Maximum Impact

### CASE STUDY

In China the World Bank provided funding to Save the Children to refurbish and stock pre-primary classrooms with learning and play materials, as well as work closely with the respective line Ministries to build a strategy for early childhood development (ECD) and highlight the characteristics of a ‘model school’. The funding did not extend beyond development activities specific to education, but Save the Children noticed that there were significant humanitarian nutrition and economic concerns in the target population. Many of the children were malnourished, caregiving rarely practiced serve and return or responsive caregiving behaviors, and many caregivers could not afford (and/or have time) to commute to the pre-primary centers. Save the Children worked with their philanthropic funding team to generate resources for these activities. In house (but equally could have been achieved through informal partnership with other organizations) Save the Children layered the humanitarian funding to respond to basic need and the development funding designed to improve the quality of learning in the early years.

Laying in this way supported respective Ministries to better understand that learning occurs when children’s holistic needs are met, resulting in a Strategy for ECD that went beyond education to mirror the Nurturing Care Framework. By harmonizing humanitarian and development funding at operational level it resulted in better impact for beneficiaries and the education system.

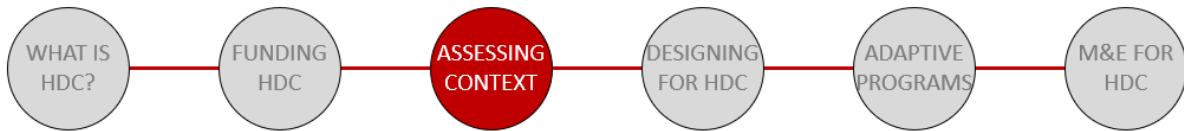
Following the World Humanitarian Summit in 2016, the Organization for Economic Co-operation and Development (OECD) noted that education stakeholders “*should see coherence as a way to reach collective outcomes more effectively, through careful layering of their different funding instruments and programming.*” They went on to say that:

*“Coherence does not mean the integration of humanitarian assistance into a broader political agenda.”*

*“Development and humanitarian donor personnel should seize the opportunity of jointly designing or reviewing their country strategies, using shared analytical tools such as vulnerability assessments and, when relevant, clarifying the relationship between those instruments.”*

Programs may want to think about the following characteristics when designing to accommodate layering:

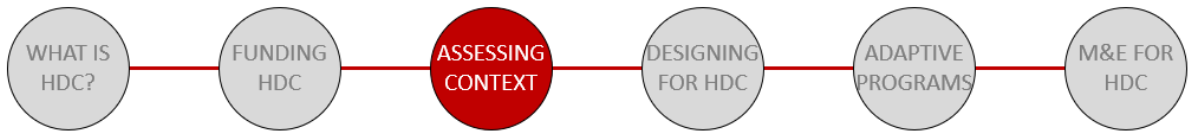
- Does the context require the organization to protect humanitarian and development integrity?
- Does the organization have a dual mandate or a focused mandate?



- Does the donor have a dual mandate or a focused mandate?
- What are the funding parameters for this assistance, what activities/approaches are permitted and which are not?
- Which organizations are working in the target area?
- Is there an education sector plan?
- Are the organizations working in the area clear about their contribution to the education sector plan?
- What are the gaps in the education sector plan?
- What activities – already ongoing and delivered by other organizations – might the program intervention complement?
- How can the program work in the same geography as those already operational for maximum impact?
- Are the organizations that are currently operational thinking with an HDC lens?
- Can the program support any forthcoming joint needs assessments (across the humanitarian and development spaces)?
- Can the program organize the needs on the ground into humanitarian and development constructs?

### **FURTHER READING**

USAID. 2022. Programming Considerations for Humanitarian-Development-Peace Coherence: A Note for USAID's Implementing Partners, Chapter: *Sequence, Layer, Integrate*. Online: [https://www.fsnnetwork.org/sites/default/files/2022-02/Programming\\_Considerations\\_HDP\\_Coherence.pdf](https://www.fsnnetwork.org/sites/default/files/2022-02/Programming_Considerations_HDP_Coherence.pdf)



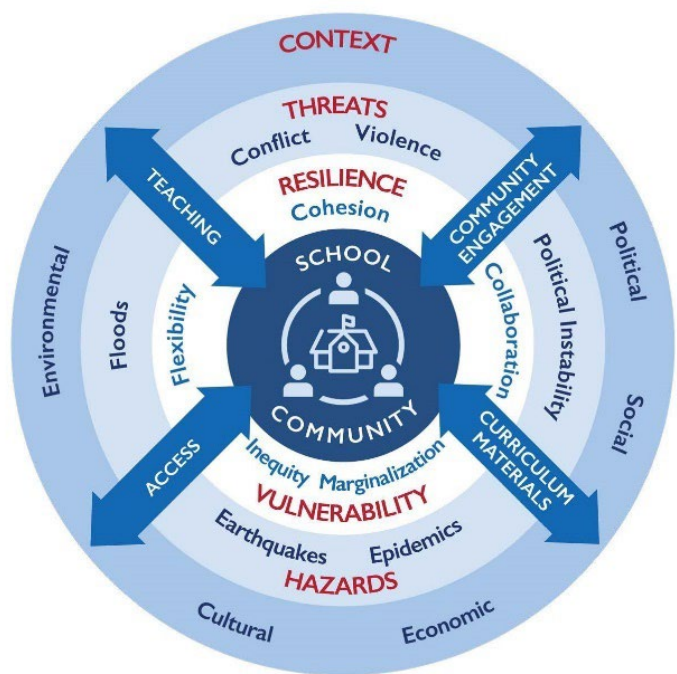
**TOOL 6: GUIDANCE NOTE FOR PRACTITIONERS: IMPLEMENTING A RAPID EDUCATION AND RISK ANALYSIS**

**GUIDANCE NOTE OBJECTIVE:**

- To understand how to integrate HDC with a RERA (a mapping of how contextual risk influences education, and vice versa).

A [Rapid Education and Risk Analysis \(RERA\)](#) is a situation analysis specific to the education sector. A RERA will explore how contextual risks such as violence and insecurity – endemic in the Middle East – impact education, and how the education system adapts or changes in response to these perceived and real risks. A RERA will look at how the community has built resilience and how resilience could be further entrenched in the community to support it to withstand contextual risk.

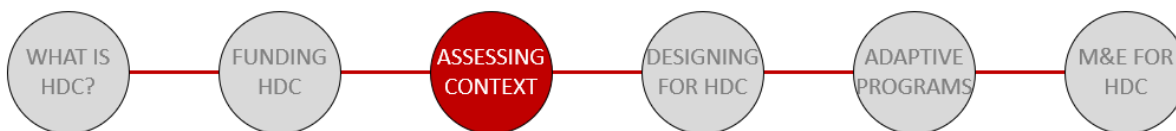
Figure 5: The RERA Conceptual Framework



**WHAT DOES THIS MEAN FOR HDC?**

In the context of operationalizing HDC, HDC can serve to strengthen community resilience, and a lack of HDC can erode community resilience. A RERA may be guided by the following questions, in red adaptations to these questions have been made, to more directly respond to HDC:

1. How does the education sector relate to the country’s broader political, economic, social, security, and environmental situation? **How has this changed over time? Is this reflected in an education sector plan, spanning humanitarian and development interventions?**
2. What are the causes, characteristics, consequences, and interactions of the main contextual risks in the country?
3. What is the two-way interaction between contextual risks and the education sector, particularly at the school and community levels? **Do contextual risks limit actors’ ability to implement humanitarian or development activities, or leave gaps in the education response?**
4. What are the resilience factors that positively influence access to as well as safety and quality of education? How can these factors be strengthened? **How can HDC support greater coherence and resilience?**



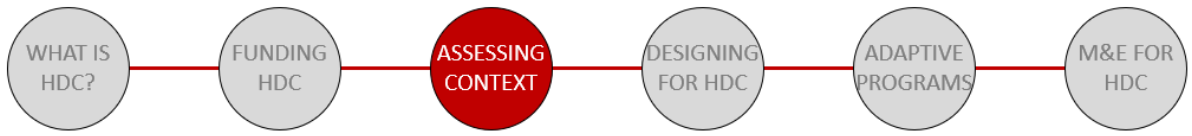
HDC should be reflected in the RERA guidance, from selection of team members (identifying multiple individuals with a humanitarian and/or development background), to including consideration of how a siloed humanitarian/development space may exacerbate the drivers of conflict. Practitioners and donors alike will need to modify the RERA tool to provide consideration of HDC, an example of how this can be achieved is presented below, with edits relating to HDC in red.

**Modification for RERA tool 10: School Community Fieldwork Tool, QU2, 4 and 5 only<sup>33</sup>.  
Modification to Cross-cutting questions only.**

*Table 2: Modification for RERA tool 10: School Community Fieldwork Tool, QU2, 4, and 5, Reflecting HDC*

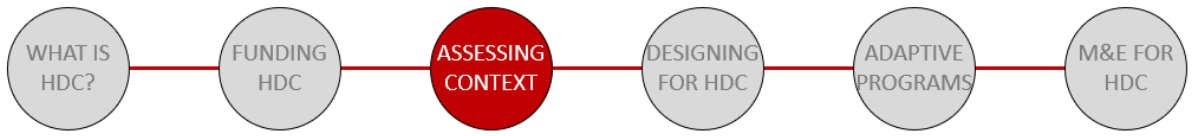
<b>Q. Code</b>	<b>Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker</b>	<b>Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types</b>
All-2	In your opinion, what is driving division and conflict in your community? <b>You may want to think about drivers of division and conflict from a long-term (thinking about to the start of the conflict) and short-term (daily exacerbators) perspective.</b> What is the role of access to (or lack of access to) education <b>and the quality of education received (and its relevancy to your child's needs)</b> in division and conflict? Discuss in more detail the issues that are involved.	<ul style="list-style-type: none"> <li>a) Financial inequality/injustice</li> <li>b) Exclusion of specific populations/profiles</li> <li>c) Inequality/injustice in access to basic services</li> <li>d) Inequality/injustice in quality of basic services received</li> <li>e) Ideology</li> <li>f) Territorial ambition</li> <li>g) Natural resources</li> <li>h) Lack of unifying values</li> <li>i) Other</li> </ul>

<sup>33</sup> Adaptations are intended to be examples and springboards for further discussion. This adaptation does not span the whole tool, but has illustratively made edits to QU2, 4 and 5 only.



<p>All-4</p>	<p>In your opinion, what are the most important things school communities are doing to improve safety and keep children/youth in school <b>in the short-term (i.e. attendance tomorrow) and long-term (i.e. completion of 12 years of education)</b>? How are the local police involved in helping schools, students, and teachers stay safe? Structural/physical improvements? Law enforcement/policing? Afterschool programs/extended hours/adapted programs? Joint school–community efforts? School–parent activities? School quality? Dialogue with armed actors?</p> <p><i>NB: When analyzing with an HDC lens, discretion would need to be applied to understand if these indicators and responses are humanitarian or development. For example, c) could be considered humanitarian, but d) would be considered development. It is useful to understand if there are gaps in a certain type of provision.</i></p>	<p><b>Short term:</b><sup>4</sup></p> <ul style="list-style-type: none"> <li>a) Improving the environment of the school.</li> <li>b) Increasing the frequency of personal interaction between students and teachers.</li> <li>c) Ensuring children have stationary, textbooks, and materials relevant to learning.</li> <li>d) Strengthening the relationship between learning and certification e.g. goal setting and formal recognition.</li> <li>d) Leveraging the influence of religious leaders to promote school attendance.</li> <li>e) Incorporating greater faith-based instruction in the school curriculum.</li> <li>f) Increasing contact and engagement between the school/teacher, caregivers, and the community.</li> <li>g) Including more opportunities for soft-skill development e.g. critical thinking, problem solving, and improved communication.</li> <li>h) Increasing opportunities for tailored instruction using different mediums e.g. homework clubs, peer-to-peer support.</li> <li>i) Incorporating more sport and social-cultural activities in the school timetable.</li> <li>h) More explicitly linking learning and workforce opportunities.</li> <li>i) Increased community dialog on the importance of education.</li> <li>g) Nothing</li> </ul> <p><b>Long term:</b> As above</p>
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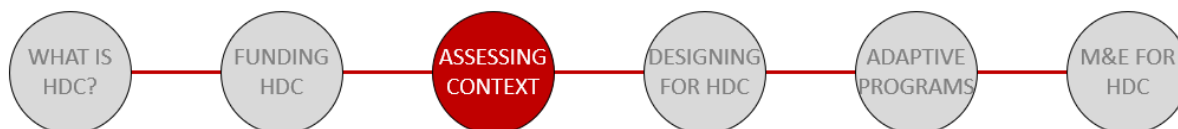
<sup>4</sup> Established using criteria from UNESCO's guidance on preventing violent extremism through education: <https://unesdoc.unesco.org/ark:/48223/pf0000266105>



All-5	<p>What support is needed from the Ministry of Education <b>to improve the education system and make it more resilient to the effects of conflict</b>? What does the ministry currently do that is helpful or less helpful, specifically in terms of equitable access to education? What policies are in place? What policies are needed? Is there corruption or rent seeking, and how does this impact the sector? Does it support teachers or teacher training?</p>	<ul style="list-style-type: none"> <li>a) Teacher pre-service training</li> <li>b) <b>Teacher in-service training</b></li> <li>c) <b>Teacher pay and compensation</b></li> <li>d) <b>Psychosocial support for learners</b></li> <li>e) Psychosocial support for teachers and administrators</li> <li>f) <b>Materials (e.g textbooks, desks, stationary, teachers guides)</b></li> <li>g) Investment into physical <b>infrastructure of schools</b></li> <li>h) Changes in curriculum</li> <li>i) <b>Linking the curriculum with opportunities for accreditation and certification.</b></li> <li>j) <b>Linking learning opportunities with applied learning, employment, or vocational opportunities.</b></li> <li>k) <b>Reducing the use of violence or humiliating punishment in schools</b></li> <li>l) <b>Increase preparedness approaches, namely blended learning opportunities that include remote/distance approaches.</b></li> <li>m) <b>Ensuring that supply caters to demand and classroom sizes remain manageable for teachers and learners.</b></li> <li>n) <b>Improving data management and education EMIS systems.</b></li> <li>o) Change in policies or systems</li> <li>p) Changes in location of school(s)</li> <li>q) Changes in standards</li> <li>r) None</li> </ul>
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**FURTHER READING**

EducationLinks. N.d. Rapid Education and Risk Analysis (RERA) Toolkit. Online: <https://www.edulinks.org/resources/rapid-education-and-risk-analysis-rera-toolkit-1>



**TOOL 7: GUIDANCE NOTE FOR PRACTITIONERS: BLENDING SYSTEMS THINKING AND HDC**

**GUIDANCE NOTE OBJECTIVE:**

- For donors and practitioners to understand what type of system they are working in – drawing of systems thinking and complexity theory – and to use this contextual understanding to identify opportunities for HDC.

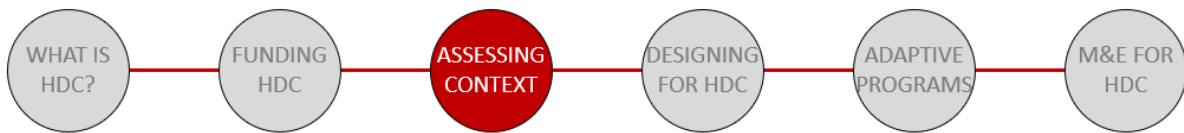
Systems thinking and complexity theory can be invaluable for understanding HDC. The following table outlines the objectives of systems thinking and how this may support HDC.

Table 3: Illustrating the Applicability of HDC to Systems Thinking

Objective of Systems Thinking	Relationship to HDC
Understand patterns and anticipate future challenges.	Humanitarian-Development Coherence is about layering humanitarian and development solutions in a complementary way, understanding patterns can help us to better anticipate need and therefore layer more effectively.  In addition, the HDC companion report noted that in times of crisis development assistance should not be ‘switched off’ but should continue on a smaller scale. Being able to anticipate challenges and understand the contributors or drivers of crisis can help us to better plan for dialing up and dialing down development assistance/humanitarian assistance.
Build the parameters of a system by identifying structures and ‘things’.	Understanding the parameters of the system can help HDC to systematically map out political parameters, particularly when complemented by a political economy analysis. Once we understand the political boundaries (although political boundaries are likely flexible boundaries, and/or boundaries that change over time) it becomes easier to identify pragmatic ways to apply HDC that both respond to need and navigate political concerns.
Identify which ‘things’ reinforce the patterns within the system and which are disruptors.	Understanding the things that reinforce and disrupt patterns can help us to build a ‘sensor network’. Sensor networks are proxy indicators that tell us when patterns of change may be occurring. This can help us to prepare to dial up or dial down development assistance/humanitarian assistance in a timely way.
Identify different mental models of how we see the world to provide the space for diverse thinking and challenge the status quo.	‘Humanitarian’ and ‘development’ are two of the many different mental models that we use to interpret the context, how change happens, and our prioritization of need. Understanding the culture and characteristics that inform these lenses and how that interacts or complements the lenses of others in the system can help us to critically reflect on the assumptions that we hold and move to a model that is more responsive to need and less about a particular mind-set of international development.

More information about systems thinking can be found at the [USAID Learning Lab](#), [Cornell University](#) and a presentation by [Gerald Midgley](#), exploring step by step the process for applying systems thinking.

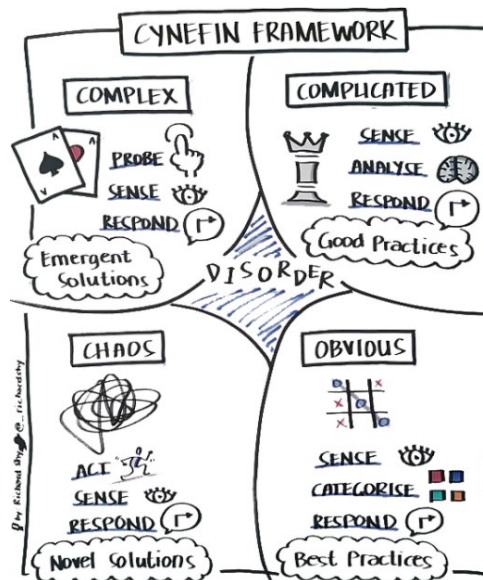
Systems thinking is widely applied and is growing in popularity, however, there has been some challenge from complexity theorists who dispute that systems have parameters. They infer that systems thinking



encourages a bell-curve type way of thinking where we assume a lower likelihood of extreme events. Complexity theory argues that low probability-high impact events are probably not as low probability as we would assume. This reflection is timely against a backdrop of Covid-19, war in Ukraine, and global financial crisis, to name but a few extreme events over the last two years. The likelihood of extreme change in the system is important for HDC, HDC needs to be able to adapt to change and dial-up and dial-down as context dictates. If change within a program’s life cycle is more likely than we would assume this provides strong rationale for HDC – a design approach that thinks about how to layer humanitarian and development thinking, as well as adaptive approaches that ensure we can dial up and dial down humanitarian and development responses as context dictates.

Within [USAID’s Collaborating, Learning, and Adapting framework](#) - which draws heavily on complexity theory – is the Cynefin (pronounced *Cuh-nev-in*) framework. This framework lists four types of systems, and how those in power within the system might react. Understanding the type of system that the context is in and whether those in the system are responding as expected can help us to anticipate potential challenges in the system.

Figure 6: An Illustration of the Cynefin Framework



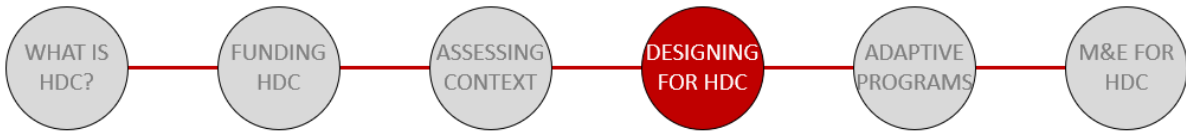
Islamic State of Iraq and Syria (ISIS) took power of Raqqa they were arguably working in a chaotic system, where order did not exist and power vacuums were clear. They acted without consultation and they responded to the context. Arguably they transitioned the system from chaotic to complex. However, a common mistake is that decision-makers don’t adapt their approach when the context transitions, if an authoritarian/dictatorship continues to exist in a complex system, when instead decision-makers need to be probing and sensing community need in a more collaborative way, they will begin to lose public support. It is important to repeat an analysis of the system throughout the program as it should naturally change over time.

**FURTHER READING**

Cognitive Edge. 2000. The New Dynamics Of Strategy: Sense-Making In A Complex And Complicated World. Online: <https://thecynefin.co/library/the-new-dynamics-of-strategy-sense-making-in-a-complex-and-complicated-world/>

Cence. 2022. Practical Systems Thinking: The Cynefin Framework. Online: <https://www.cence.ca/practical-systems-thinking-the-cynefin-framework/>





## DESIGNING FOR HDC

### TOOL 8: A CHECKLIST FOR PRACTITIONERS: DESIGNING EDUCATION PROGRAMS WITH HDC IN MIND

#### CHECKLIST OBJECTIVE:

- To support practitioners to think about design choices through a lens of HDC.
- To understand the humanitarian and development requirements in the context, and how practitioners can respond given budget, political, and mandate limitations, in a way that is sensitive to HDC.

Prior to using this facilitation guide we anticipate that donors/practitioners will have completed a needs assessment and understand the most pressing challenges in the context. Designing a new program is context dependent and engaging local communities is key, this guide will provide general advice that will need to be tailored to the context. Not all of the criteria listed below will be applicable to every context – for example, there are big differences in what is feasible from a design perspective for Yemen and what might be possible in Lebanon. This tool provides a checklist of criteria to ensure that the implementing team has the information needed to design a new program.

#### Checklist

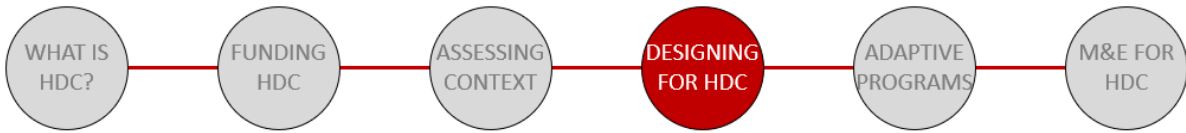
For this checklist, we have used the [NWOW](#)—a global framework for humanitarian-development coherence conceptualized by the OECD following the World Humanitarian Summit. The NWOW is based on three principles:

- I. Reinforce—do not replace—national and local systems<sup>5</sup>.
- II. Transcend the humanitarian–development divide by working toward collective outcomes, based on comparative advantage and over multi-year timelines.
- III. Anticipate—do not wait for—crises.

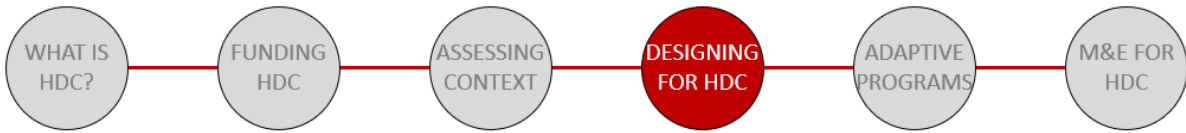
Table 4: Checklist Questions When Designing for HDC

HDC Criteria	Checklist Questions
How do I protect the integrity of humanitarian and development principles?	<p>Is this a high-risk context? Are aid workers in this context in danger if considered to be politically partial?</p> <p>Is there a case to clearly differentiate between humanitarian and development assistance and protect the principles of both cultures (humanitarian and development)?</p> <p>What is the problem that the program is trying to solve?</p> <p>Would the response normally be humanitarian, development, or a combination of humanitarian-development assistance?</p> <p>Have the parameters of the implementing partner’s organizational mandate been clearly socialized? Does the program team understand the political and financial parameters of the donor?</p>

<sup>5</sup> “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).



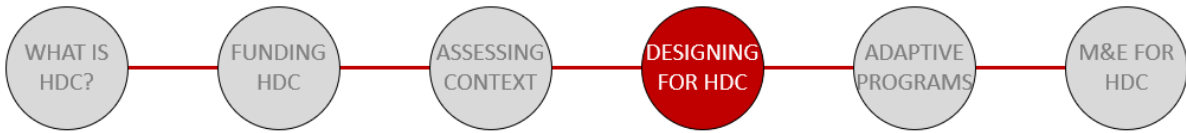
<p>How do I layer humanitarian and development interventions?</p>	<p>Has the program team talked with education stakeholders (local authorities, communities, children, teachers, NGOs) in the area to understand the drivers and barriers that they believe are affecting the problem?</p> <p>Can the program team talk to other organizations operational in the context to understand the challenges and opportunities they perceive with layering?</p> <p>Has the program team identified other organizations that are already operational that hold a different mandate or are approaching the problem in a different yet complementary way?</p> <p>Has the program team identified if it is feasible for multiple implementing partners to cooperate and collaborate effectively within the operating context? i.e. Has the program team spoken to school leadership on any concerns or opportunities they foresee with multiple NGOs delivering complementary interventions in the same school?</p> <p>Has the program team identified if it is feasible to collaborate/engage with other donor agencies, UN agencies and other NGOs/INGOs to mobilize resources and coordinate effective implementation of interventions?</p> <p>Is there the scope for formal partnership with other organizations or does that run the risk of compromising humanitarian principles/operating space?</p>
<p>How can I complement others that are working in the same target area?</p>	<p>Has the program team identified a target area and begun to understand local need?</p> <p>Has the program team mapped the physical parameters of other organizations and understand where the response gaps are? (e.g. shift one is supported but shift two is not, in the same school).</p> <p>By filling the response gap is the program complementing and building on what is already occurring in the space?</p> <p>Has the program team identified any non-State actors whose expertise can be leveraged in this intervention?</p> <p>Can the program team identify ways to engage parents and the local community to enable effective implementation of the intervention?</p> <p>Has the program team made a list of possible risks to the intervention, including both conflict risk and disaster risk?</p> <p>Has the program team socialized the intervention design and intentions with local Clusters, working groups, and prominent education actors in the space and sought their input?</p>
<p>Is there a common vision and shared outcomes held by organizations working in this area?</p>	<p>Is the team aware of a common sector plan?</p> <p>Are those working in this space adhering to the sector plan?</p> <p>Are there clear roles and responsibilities demarking different, yet complementary, contributions to the sector plan? If yes, has the program team consulted sectoral leads to discuss the intended design?</p> <p>Are there a commonly understood set of outcome indicators that the sector is collectively working towards?</p> <p>Does the intervention contribute to at least one of these outcome indicators?</p>



### **FURTHER READING**

The United Nations Trust Fund for Human Security. 2022. Realizing the triple nexus: Experiences from implementing the human security approach, Chapter 2: Planning and *programming*. Online: [https://www.un.org/humansecurity/wp-content/uploads/2022/03/FINAL-Triple-Nexus-Guidance-Note-for-web\\_compressed.pdf](https://www.un.org/humansecurity/wp-content/uploads/2022/03/FINAL-Triple-Nexus-Guidance-Note-for-web_compressed.pdf)

IOM. 2019. Operationalizing The Humanitarian– Development–Peace Nexus: Lessons Learned From Colombia, Mali, Nigeria, Somalia And Turkey. Online: [https://publications.iom.int/fr/system/files/pdf/operationalizing\\_hdpn.pdf](https://publications.iom.int/fr/system/files/pdf/operationalizing_hdpn.pdf)



## TOOL 9: A WORKSHOP AGENDA FOR DONORS AND PRACTITIONERS: DELIVERING A HDC INNOVATION WORKSHOP

### WORKSHOP AGENDA OBJECTIVE:

- To understand how to build HDC-sensitive programs in a bottom-up way, crowd sourcing creative ideas from local NGOs who may have a more innate understanding of need.

Encouraging the integration of HDC into donors' and practitioners' approaches is key to achieving coherence. During primary data collection for this assignment, HDC innovation workshops were suggested by donors seeking localized solutions as well as by local practitioners that wanted greater influence over the HDC agenda. Innovation workshops can serve as a useful forum to socialize what HDC is, understand context and needs, and collaboratively brainstorm creative solutions that are HDC-sensitive with a diverse range of stakeholders.

Innovation workshops should include representatives with humanitarian, development, and dual mandates, encouraging diversity of thought. These forums can help to build a common vision, can encourage layering, and can build professional relationships between humanitarian and development actors (who otherwise may not have the opportunity to engage with each other in design workshops).

Innovation workshops may model a “[Hackathon](#)” design. Popularized in the technology sector, a hackathon is where groups of individuals from diverse backgrounds, meet to intensively brainstorm solutions for a common problem in a short time-period.<sup>66</sup> The experience is often competitive with a prize for the best solution. This approach has been applied to the humanitarian and development sector but has not been adopted on a wide-scale. Suggestions for using the Hackathon model to identify creative solutions for HDC are presented below:

Figure 7: HDC Workshop Logistics Considerations

#### **Attendance:**

The workshop will include participation from donors, international and local practitioners (humanitarian and development), local decision-makers, and other stakeholders – for example community representatives (if relevant/possible).

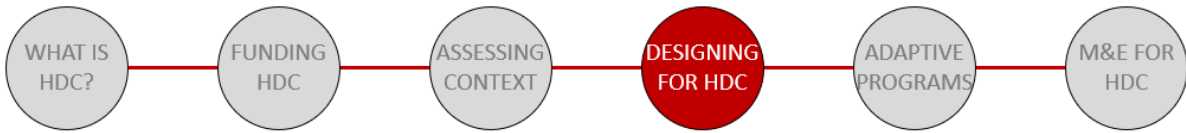
#### **Encouraging Participation:**

It is highly recommended that the workshop is led and facilitated by independent personnel, to enable an atmosphere where all stakeholders can participate equally, and preference is not afforded to humanitarian or development actors.

#### **Tracking Progress:**

The winning solution will likely be innovative and represent a new novel contribution to the sector, it is important that the implementation of this program is monitored and assessed and lessons learned are shared widely with development and humanitarian stakeholders.

<sup>66</sup> The norms of this approach may need to be adapted for different context depending of caregiving responsibilities, ways of working, and broader social norms.



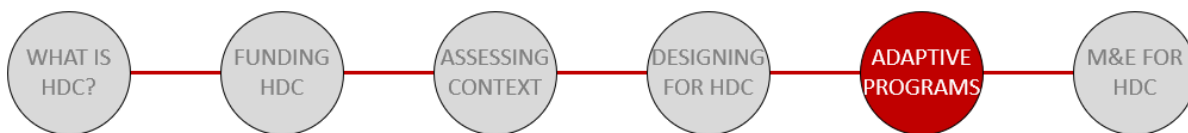
A suggested agenda is presented below:

Table 5: HDC Workshop Agenda

Day	Title	Timing	Description
1	<b>Introduction and Setting an Objective</b>	1 hour	The workshop will begin with introductions and briefings on the objective of the workshop. The challenge that participants are seeking to address should either be related to HDC or should use HDC approaches in the solution proposed.
1	<b>Solicit Key Challenges and Updates</b>	4 hours	Unlike Hackathons, organizers may want to solicit problem statements from the participants. This supports localization and encourages more meaningful participation. This approach serves to encourage both humanitarian and development actors to reflect on whether they perceive the challenges, enablers, and exacerbators on the ground in a similar way. This may serve to highlight shared outcomes that both humanitarian and development actors may find unifying, which helps to promote a HDC way of thinking.
1	<b>Rules and Criteria</b>	1 hour	The facilitator will socialise with participants the criteria by which their solutions will be assessed. Criteria may include relevance, effectiveness and efficiency, coherence, impact, sustainability, timing/duration, and costing.
2	<b>Solution Development</b>	8 hours	Participants will be divided into groups, ensuring that each group consists of representatives from the development and humanitarian spaces, and ideally including both practitioners and donors. The team will already be well versed in the problem (from the day before) and will have a full day to prepare a solution, presentation, and technical and financial proposal.
3	<b>Pitching Innovative Solutions</b>	1 hour per group	Each group will briefly present their proposed innovative HDC solution. The audience and judging panel will be invited to ask the group questions about their solution.
3	<b>Selecting the Winning Solution</b>	2 hours	Participants will vote to select the winning HDC solution. Where possible, the solution should be funded on a small pilot scale, and updates on progress and lessons learnt should be shared back with humanitarian and development stakeholders.

### FURTHER READING

Aronov, E. n.d. Top 10 Tips for Running a Hackathon. The Best Way of Organizing a Hackathon Online. Online: <https://eventornado.com/blog/how-to-organize-hackathon>



## ADAPTIVE PROGRAMMING

### TOOL 10: GUIDANCE NOTE FOR PRACTITIONERS: ADAPTIVE MANAGEMENT AND DESIGN

#### GUIDANCE NOTE OBJECTIVE:

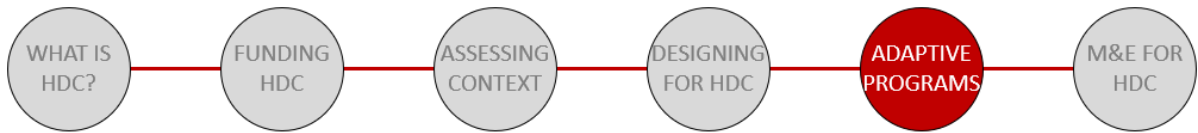
- Understanding how to integrate adaptive management and adaptive design choices from the outset of a program to support a program to dial up and dial down humanitarian and development interventions as context dictates.

Unpredictability is a symptom of the current global climate, be it protracted crisis, emergencies – due to pandemics, environmental disaster, economic crisis, or hot conflict – or simply a lack of preparedness in times of stability due to its poor appeal as a political vote winner. Adaptive management and adaptive programming can help programs to plan to pivot as needed. Adaptive programming, as USAID defines it, is “an intentional approach to making decisions and adjustments in response to new information and changes in context.” USAID goes on to note: “Adaptive management is not about changing goals during implementation, rather it is about changing the path used to achieve the goals in response to changes [in context/need].” Humanitarian and development interventions that can be dialed-up and dialed-down as context dictates are key to supporting effective adaptive programming.

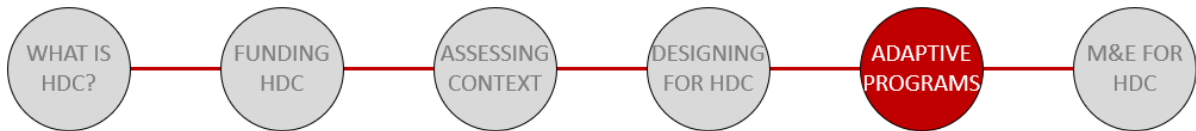
The guidance note on [adaptive programming from USAID](#) provides guidance for how to incorporate adaptive management into programming.

Table 6: The Implications of HDC for Adaptive Programming

USAID principle	How to Incorporate Adaptive Programming	Implications for HDC
Enable Flexibility by Incorporating Scenario Planning into Strategic Planning	<p>Build milestones for scenario planning into the workplan.</p> <p>Ensure that scenario planning is a requirement even at proposal stage to ensure that flexible design principles are stress tested.</p> <p>Ensure that scenario planning identifies triggers (social, political, economic, conflict) that may be precursors for forthcoming change and/or instability in a context.</p>	<p>Scenario planning helps us to understand when to ‘dial up’ and ‘dial down’ humanitarian and development interventions. Adapting a workplan and pivoting takes time (even when it is planned for!) so identifying triggers can help to give teams the forewarning needed to shift approaches.</p> <p>Dialing up and dialing down humanitarian and development interventions is easier when there is already practiced coherence between humanitarian and development actors (coordination, regular meetings, sharing of data).</p>



<p>Use Learning and Reflection Opportunities</p>	<p>USAID recommends <a href="#">strategy-level portfolio reviews</a> and <a href="#">Country Development Cooperation Strategy Mid-Course Stocktaking's</a> to assess programs and ensure they remain relevant to context.</p>	<p>Incorporate questions about HDC into these processes, for example “Would the team assess the context to be more humanitarian or development”, “Have the team categorized need assessment results into humanitarian and development groupings”, “have the team sought the opinion of humanitarian and development actors in the location where the team are working on the performance of the program.”</p>
<p>Hold Periodic Project Reviews to Assess Projects During Implementation</p>	<p>Periodic reviews can help programs to assess if inputs are resulting in the intended outputs. Even if outcome or goal level impact is premature, even reflecting on the effectiveness of inputs and outputs can be helpful to assess the program trajectory, strengths, and weaknesses.</p>	<p>Adaptive planning is something to think about throughout the program life-cycle and should not be set in stone. The program may want to apply ‘sprints’, a focused six to eight weeks of advancing to a small goal, monitoring throughout implementation, and making changes at the end of the sprint in response to what worked and what didn’t. Working in short focused sprints can help HDC, forcing reflection points where coherence can be considered.</p>
<p>Understand Local Systems and Contexts</p>	<p>Understanding what may change in the local context is key to good adaptive programming. Understanding the root causes of problems, the exacerbators, and how similar problems have been solved historically can be beneficial.</p>	<p>One of the main challenges in operationalizing HDC is limited contextual awareness of donors and implementers. To understand community needs for HDC, the balance between humanitarian and development interventions, or why coordination isn’t/is happening effectively. It is important to regularly take-stock of changes in the humanitarian and development spaces in the context.</p>
<p>Outcome-Based Solicitations - Identify the what but not the how</p>	<p><a href="#">USAID notes</a> that “activities can be designed to allow space for evolution and iteration over the course of implementation” by using an outcome-based approach. This provides implementers to flex as other actors move in to the area, as need and context dictates, and if they have to pivot from the original design due to unforeseen events or in response to monitoring data.</p>	<p>HDC anticipates that contexts and needs will change over the course of a program and incorporating flexibility can support pivoting when needed. If this doesn’t occur, semantics that may have been relevant at design stage, may take time to bureaucratically alter if the program needs to pivot. Utilizing outcome-based language rather than focusing on inputs provides operational flexibility for programs to dial-up and dial-down humanitarian and development interventions as context dictates.</p>



## **FURTHER READING**

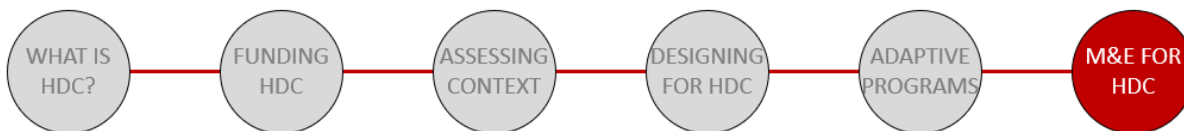
ALNAP. 2019. Ready to Change? Building flexibility into the triple nexus. Online: <https://www.alnap.org/help-library/ready-to-change-building-flexibility-into-the-triple-nexus>

Craney, A., et al. The Routledge Handbook of Global Development, Chapter: Adaptive programming, politics and learning in development. Routledge: New York.

ICF. 2019. Adaptive programming: It's not 'business as usual' for international development. Online: <https://www.icf.com/insights/public-policy/adaptive-management-and-programming>

Laws, E. et al. 2021. LearnAdapt: a synthesis of our work on adaptive programming with DFID/FCDO (2017–2020). Online: [https://cdn.odi.org/media/documents/learnadapt\\_summary\\_note\\_2021.pdf](https://cdn.odi.org/media/documents/learnadapt_summary_note_2021.pdf)





## MONITORING AND EVALUATION FOR HDC

### TOOL 11: EXAMPLES FOR PRACTITIONERS: INDICATORS TO ENCOURAGE HDC

#### EXAMPLES FOR PRACTITIONERS, OBJECTIVE:

- To provide a small selection of suggested indicators for HDC – the indicators will span the relationship between humanitarian and development impact, operational effectiveness, operational efficiency, and how to track economy of delivery through an HDC lens.

As previously noted, HDC should consider both process indicators and impact/outcome indicators to assess the effectiveness of the program approach. HDC is premised on the idea that:



Outcomes are created collaboratively at a sector level in **informal partnership** with humanitarian and development actors that are operational in the area.



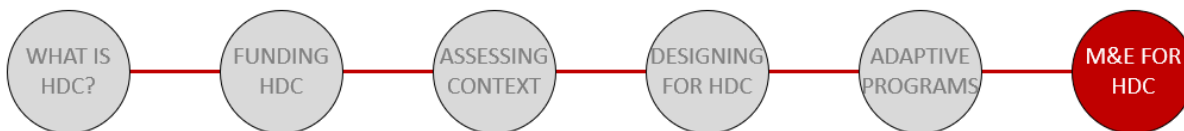
Humanitarian and development actors should be working in the **same location** to support the layering of humanitarian and development assistance for maximum impact. As a result isolating attribution can be challenging.

Example indicators that may benefit a HDC program include:

Table 7: HDC-Sensitive Indicators

Indicator Domain	Indicator Example	How will this support HDC?
Coordination	Percentage of humanitarian-development coordination meetings attended by program teams whereby the attendee can evidence that they took notes/participated/and have acted on any actions. <i>(NB: This is not akin to participation in cluster meetings which focus on humanitarian mechanisms only.)</i>  'Multiple channels of communication are established between donors, between donors and IP's working towards shared outcomes.	Understanding what others are doing, where they are doing it, and the challenges and opportunities they have faced will pave the way to improved coordination and coherence in the sector and identify opportunities for layering.
Developing Shared Outcomes	Number of reports against the 5Ws <sup>7</sup> shared with humanitarian <b>and</b> development counterparts detailing contributions to sector-wide shared outcomes.	Regular system wide monitoring efforts, consolidated and analyzed by humanitarian and development counterparts will help to continually sense check the validity of sector plans and progress against sector-wide indicators ensuring HDC is occurring.
Learning from Others	The number of learning events held per quarter to discuss the operationalization of HDC.	Taking time to understand effective solutions that better meet the needs of communities, how

<sup>7</sup> The 5W data collection tool is designed to provide essential information regarding which organizations (Who) are carrying out which activities (What) in which locations (Where) in Which period (When) for which beneficiaries (Whom).

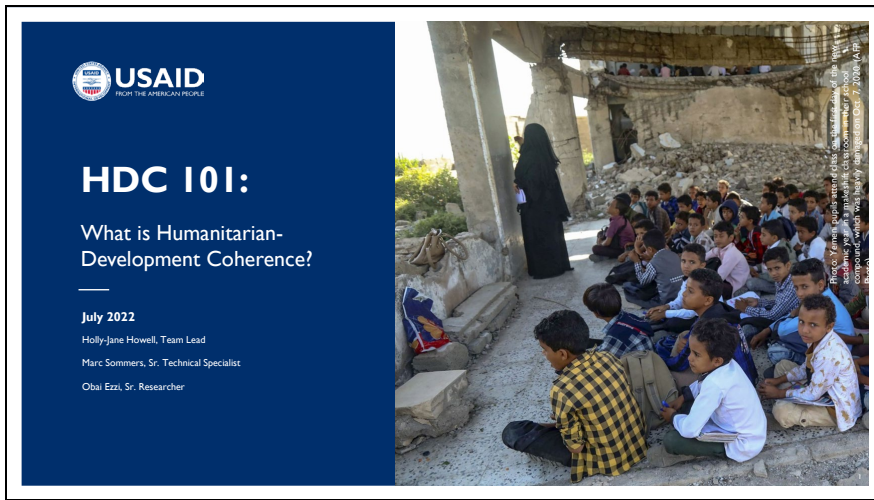


	<p>The number of CLA cycles held with implementing partners operating in the same area (that the program has layered with).</p> <p>Activity reporting requirements are structured by CLA cycles including reporting periods (after each segment of collaborating-learning-adapting, and after the full sequence, for example), format, and performance measures.</p>	<p>organizations have overcome political limitations and red lines, and how programs are building evidence of best practice in complex settings, supports greater harmonization between humanitarian and development actors, cross-fertilizing ideas and solutions between the two thematic spaces.</p>
Capacity Building	<p>The number of local NGO staff (humanitarian and development) that benefit from personalized mentoring and capacity development.</p> <p>The number of peer-partnerships for personal coaching established between humanitarian and development actors.</p> <p>The number of technical embedded roles established in local authorities or local NGOs to support the operationalization of HDC.</p>	<p>Building the capacity of local actors and decision-makers to make HDC informed decisions will support the long-term alignment of humanitarian and development activities and embed complementarity.</p>
Planning for Adaptation	<p>Donors who fund activities in low-stability contexts identify secondary, internal funding mechanisms to support additional inputs should emergency or crisis conditions require them.</p>	<p>HDC requires flexible and adaptive programming that can change and flex ‘dialing up’ and ‘dialing down’ humanitarian and development interventions (albeit keeping both going simultaneously) as the context changes.</p>

### FURTHER READING

World Health Organization. 2021. Bridging the Divide A guide to implementing the Humanitarian-Development-Peace Nexus for Health, Chapter: Annex 3. Online: <https://apps.who.int/iris/bitstream/handle/10665/351260/9789290227502-eng.pdf?sequence=1&isAllowed=y>

## ANNEX I: HDC 101 POWERPOINT



**USAID**  
FROM THE AMERICAN PEOPLE

# HDC 101:

## What is Humanitarian-Development Coherence?

July 2022  
Holly-Jane Howell, Team Lead  
Marc Sommers, Sr. Technical Specialist  
Obai Ezzi, Sr. Researcher

Photo of Yemeni pupils sitting in a classroom at the Al-Hadiya elementary school in the village of Al-Hadiya, which was heavily damaged during the conflict in 2015.

**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 101 presentation**, by means of an brief introduction to the topic.

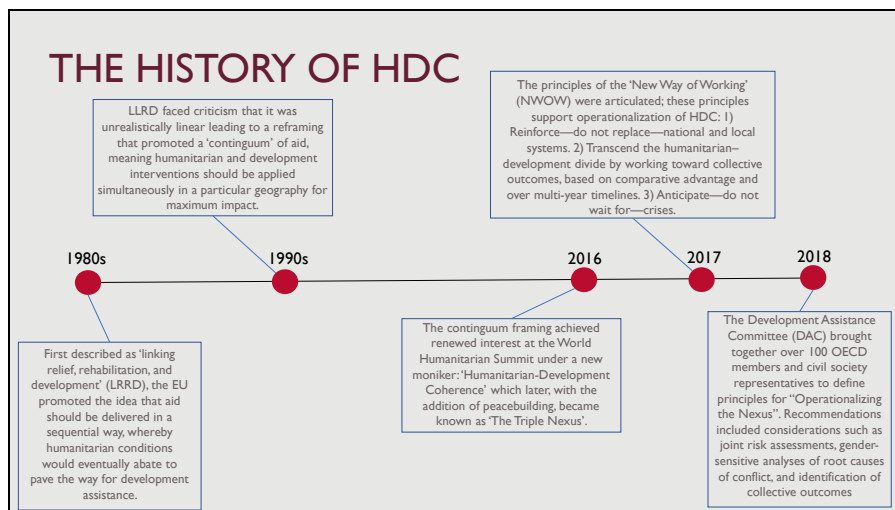
**Slide 2:** This presentation follows from independent research commissioned in early 2022, exploring the challenges and opportunities associated with humanitarian-development coherence in the Middle East and North Africa Region. The study addressed the research questions:

- 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 101 presentation, by means of an brief introduction to the topic.



## WHAT IS HDC?

**Humanitarian-Development Coherence:** *This term describes linkages between the two genres of international assistance—humanitarian and development. Achieving coherence between these two areas relies on good coordination, technical coherence, and complementarity achieved through deliberate layering of interventions in the same locality for maximum impact.*

-  Protect the **integrity** of humanitarian and development spaces
-  **Layer** interventions for maximum impact
-  Humanitarian and development actors should work in the **same locations** (through layering)
-  Identify **shared outcomes** that can provide a unifying framework for humanitarian and development actors

**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.**

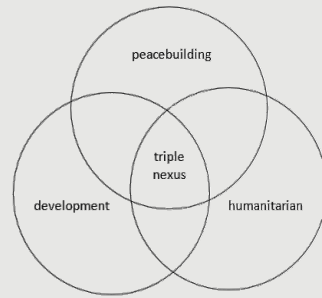
**Slide 5:** HDC is overdue. Crises are lasting longer, costing more, and increasingly growing in scale. When we consider contexts like Syria or Yemen, 10+ years of a primarily humanitarian response fails to respond to the diversity of need. HDC is not about saying that humanitarian assistance is no 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?

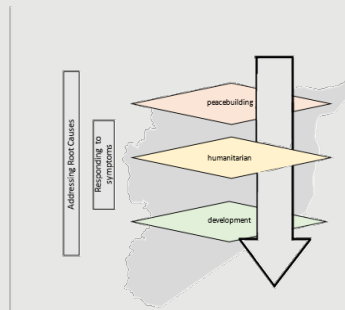
- The dominance of short-term humanitarian funding in protracted conflict settings;
- Coordination challenges within humanitarian and development networks, as well as between humanitarian and development actors;
- Challenges associated with development assistance when the government is enmeshed in the 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 State 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

## IMPLEMENTING HDC: EXAMPLE 2

### EXAMPLE:

Sipar is a well-known private-sector local children's book publisher in Cambodia. They develop books, primarily for 0-8yo 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 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.

**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.