



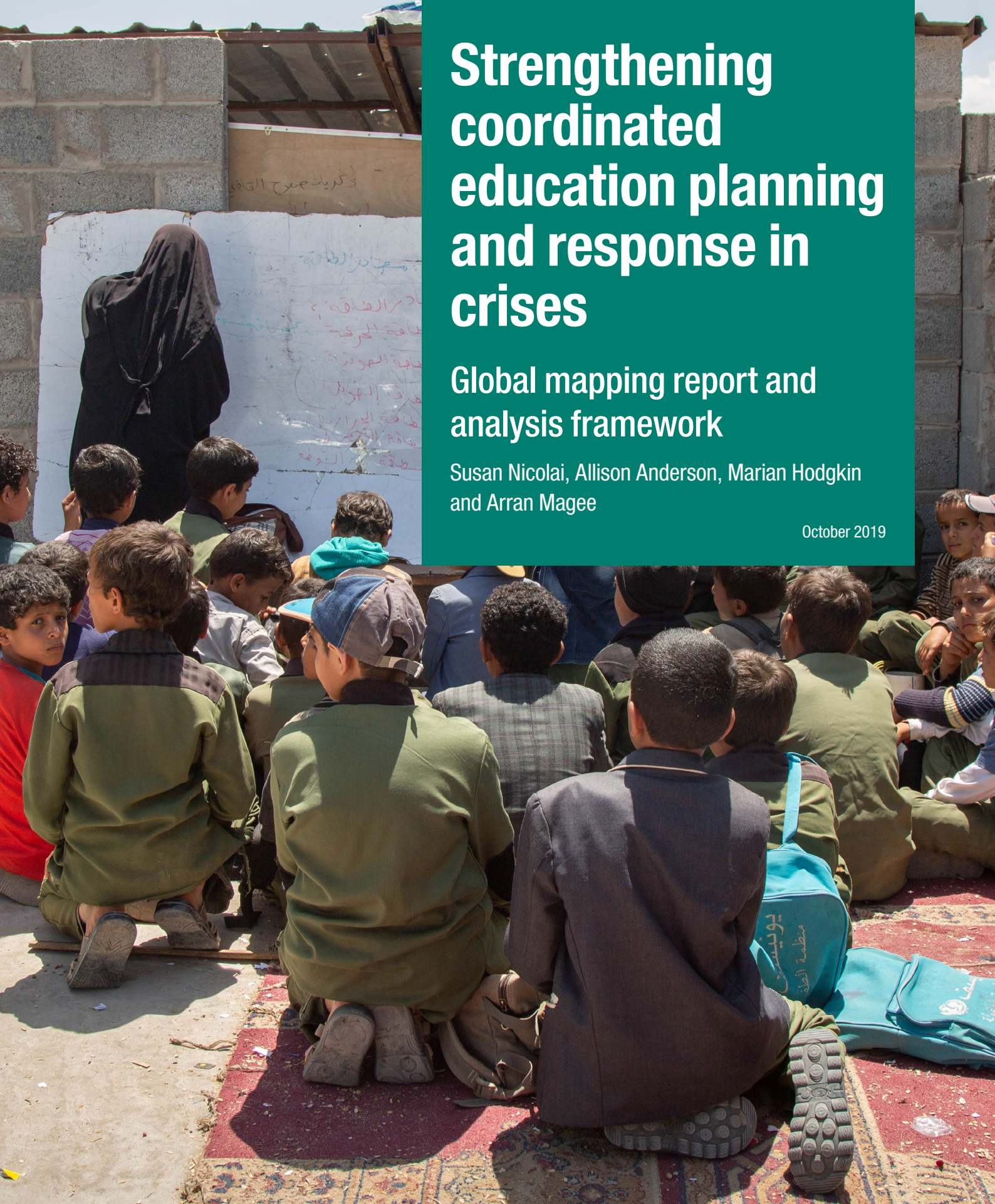
Report

Strengthening coordinated education planning and response in crises

Global mapping report and analysis framework

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October 2019



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Acknowledgements

This report presents independent research authored by the Overseas Development Institute (ODI).

The report provides a conceptual framework for a series of case studies commissioned by an Education Cannot Wait (ECW)-supported Global Partners' Project, bringing together the Global Education Cluster (GEC), UNHCR, the UN Refugee Agency, and the Inter-agency Network for Education in Emergencies (INEE). ODI and the partners gratefully acknowledge the financial support provided for this project by Education Cannot Wait.

The ODI team authoring this report is led by Susan Nicolai and is comprised of Allison Anderson, Marian Hodgkin and Arran Magee.

The findings and conclusions of this report are entirely those of the authors and do not reflect the positions or policies of Education Cannot Wait, the Global Education Cluster, the UN Refugee Agency, or the INEE. Any mistakes remain the authors' own.

ODI would like to thank all the interviewees, who have given time and expertise to inform this study. Extensive input and review were provided by key individuals, including: Maria Agnese Giordano, Thorodd Ommundsen, and Nicolas Servas (GEC); Margi Bhatt, Natalie Brackett, Dean Brooks, Laura Davison, Alison Joyner, and Peter Transburg (INEE); Benoît d'Ansembourg, Ingwill Morlandstoe, and Ita Sheehy (UNHCR). Further peer review has been provided by Global Reference Group members, including: Paul Knox Clarke (ALNAP); Jenny Hobbs (DG-ECHO); Foni Joyce Vuni (Global Youth Advisory Council); Lizzie Adelman and Sarah Dryden-Peterson (Harvard Graduate School of Education); Sonia Gomez (NRC); Katy Noble (Save the Children); Sara Sekkenes (UNDP); Jordan Naidoo (UNESCO); Loise Gichuhi (University of Nairobi). The authors would also like to thank Elizabeth Tribone for communications support.

The suggested citation is:

Overseas Development Institute (2019) "Strengthening coordinated education planning and response in crises: Global mapping report and analysis framework", commissioned by the Global Education Cluster, UNHCR, and the Inter-agency Network for Education in Emergencies.

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Acronyms

ALNAP	Active Learning Network for Accountability and Performance
CRRF	Comprehensive Refugee Response Framework
C/DRR	Conflict/Disaster Risk Reduction
DAC	Development Assistance Committee
DRC	Democratic Republic of the Congo
ECW	Education Cannot Wait
EiE	Education in Emergencies
ESP	Education Sector Plan
FAO	Food and Agriculture Organization
GEC	Global Education Cluster
GPE	Global Partnership for Education
HCT	Humanitarian Country Team
HPC	Humanitarian Programme Cycle
HRP	Humanitarian Response Plan
IASC	Inter-Agency Standing Committee
IDP	Internally Displaced Person
IIEP	International Institute for Education Planning
INEE	Inter-agency Network on Education in Emergencies
IOM	International Organization for Migration
LEG	Local Education Group
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
NWOW	New Way of Working
OCHA	Office for the Coordination of Humanitarian Affairs
ODI	Overseas Development Institute
OECD	Organisation for Economic Co-operation and Development
PDNA/RF	Post-Disaster Needs Assessment and Recovery Framework
RCM	Refugee Coordination Model
ReHoPE	Refugee and Host Population Empowerment
RRC	Refugee Response Plan
SOHS	State of the Humanitarian System
TEP	Transitional Education Plan
UN	United Nations
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNHCR	United Nations Refugee Agency
UNGA	United Nations General Assembly
WHO	World Health Organization

Glossary

Below are key terms used in this research and accepted definitions from humanitarian and education sources. Please note that these are not exhaustive of all terms used, but rather key information on some of the most critical concepts used throughout the report.

Coordination is ‘the organization of the different elements of a complex body or activity so as to enable them to work together effectively’ according to the *Oxford dictionary of English* (Stevenson, 2010: 384).

Collective outcomes are concrete and measurable results that government, humanitarian, development and other relevant actors want to achieve jointly over a period of three to five years to reduce people’s needs, risks and vulnerabilities and increase their resilience (OCHA, 2018b: 2).

Collective education outcomes include (1) access; (2) equity and gender equality; (3) continuity; (4) protection; and (5) quality – together they contribute to improved learning outcomes, socio-emotional well-being and employability (ECW, 2018).

Comparative advantage is the capacity and expertise of one individual, group or institution to meet needs and contribute to risk and vulnerability reduction over the capacity of another actor (OCHA, 2017).

Educational planning provides the means for decision-makers to establish realistic ambitions in terms of their goals and to clearly prioritise given social, political, and budgetary constraints (UNESCO IIEP, 2018: 6).

Education response refers to the provision of education services to meet people’s needs and rights to education during an emergency and through to recovery (INEE, 2010: 117).

Education in emergencies encompasses quality learning opportunities for all ages in situations of crisis, including early childhood development, primary, secondary, non-formal, technical, vocational, higher and adult education ... and provides physical, psychosocial and cognitive protection that can sustain and save lives (INEE, 2010). Conceptually, this term has wide application and is often used synonymously with terms such as education in humanitarian response, protracted crises (DFID, 2015) or fragile contexts (GPE, 2015a).

Humanitarian coordination involves bringing together humanitarian actors to ensure a coherent and principled response to emergencies and assist people when they most need relief and protection; it seeks to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership (OCHA, 2018a). Beyond this, coordination can go from simple information sharing to prevent overlaps and gaps to common programming with central direction and common funding ((Knox Clarke and Campbell, 2015).

Humanitarian–development nexus is the link between humanitarian assistance, which is a rapid response measure in emergency contexts, and medium-to-long-term development action. Often used interchangeably with this term, *humanitarian–development coherence* is the effort of different actors to collaboratively analyse contexts, define collective outcomes and identify ways to work better together, based on their comparative advantages, principles and mandates (OECD, 2017; OCHA, 2017).

Executive summary

Education is a central need for millions of children and young people affected by emergencies and protracted crises. Supporting education in crisis contexts involves multiple actors with mandate, mission, organisational structure, technical and geographic expertise. Systematic organisation of groups and individuals contributing to education activities can, in principle, allow for more efficient, cost-effective and successful operations.

This report presents a global mapping and framework for analysis of formal coordination approaches for education planning and response in emergencies and protracted crises. It reviews concepts and definitions of coordination, approaches and structures for coordinated planning and response, and expected outcomes of these processes, with a focus on humanitarian structures across the humanitarian–development nexus. The main types of formal education coordination groups include Education Clusters, Refugee Education Working Groups and Local Education Groups (LEGs). These often have different purposes and organisations associated with them, sometimes resulting in overlaps and gaps in coordination efforts.

Conceptualising coordination

Our research aims to explore how joint planning and response contribute to strengthening collective education outcomes – identified in the Education Cannot Wait (ECW) Strategic Plan as access, equity and gender equality, continuity, protection and quality.

A conceptual framework includes five elements, with each playing a role in the effectiveness of coordinated education planning and response. We first set the scene by examining:

1. **Country contexts:** the country and crisis-specific features that shape what is needed in terms of education coordination. These include aspects of country profile, the type and complexity of disasters, the phase of crisis and capacities of national authorities.
2. **Global frameworks:** the commitments and agendas that shape humanitarian and development action across contexts. These include both long-standing and more recent legal obligations alongside guidance frameworks like the Inter-Agency Network for Education in Emergencies (INEE) Minimum Standards for Education.

Three features that directly shape education coordination in-country are then detailed:

1. **Coordination approaches:** the main actors provide leadership for education planning and response, according to their mandates, with the group(s) present as a key feature shaping what is possible in terms of coordination.
2. **Ways of working:** critical processes and tools that shape education planning and response throughout the humanitarian programme cycle, alongside four factors that appear in organisational research relating to the success or failure of inter-organisational coordinated efforts: predisposition, incentives, leadership and equity.
3. **Evidence of impact:** the influence of coordination on collective education outcomes is explored through the OECD DAC Criteria and ECW Collective Education Outcomes. Taking measurement challenges into account, as well as broader theory and evidence of the impact of coordination, we look at the links between coordination and education outcomes.

Research questions

This conceptual framework is then used to set out a series of research questions, focused on the following central inquiry:

How can humanitarian and development actors more effectively coordinate planning and response to strengthen education outcomes for children and young people affected by crises?

While the first two elements of the conceptual framework – country contexts and global frameworks – set the scene, the next three elements lead to specific research sub-questions examined in this report and subsequently.

Q1: Who are the main stakeholders contributing to country-level education coordination in emergencies and protracted crises, and how can their roles be optimised?

The first sub-question explores issues such as: who are the main stakeholders involved in education coordination in crisis contexts; why and how are they involved; to what extent and in what ways does this vary across context; and what are the overlaps and gaps in coordination systems and responsibilities. This will lead us towards recommendations regarding the shifts that may be needed in roles to create more effective and efficient coordination systems.

Q2: How can coordination of education planning and response be made more effective?

The second sub-question looks more closely at enabling factors that support effective education coordination, and the obstacles and constraints which undermine this. It considers different approaches used in country-level education coordination, how coordination processes

change across the programme cycle, and what coordination support and tools have been most useful across contexts. This leads us to identify ‘markers’ that could be used to determine the effectiveness of education coordination.

Q3: So what does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?

The third sub-question investigates the strength and nature of evidence on whether coordinated education planning and response leads to improved education outcomes. With limited existing evidence, it sets up a framework to explore what additional indicative or anecdotal evidence on the link between coordination and improved outcomes can be gathered from case study countries.

Further case studies and synthesis

The conceptual framework and set of research questions that emerges from this report is then applied to planned case studies in the Middle East, Central Africa, Eastern Africa, and South Asia. The findings of this report, alongside the separately published case studies, result in a final synthesis report that includes recommendations for action by key stakeholders: governments, country-based education providers and global humanitarian and development actors.

This report has been researched and authored by the Overseas Development Institute (ODI). Funded through Education Cannot Wait, the project is a partnership between the Global Education Cluster (GEC), the UN Refugee Agency (UNHCR) and the Inter-Agency Network for Education in Emergencies. These partners actively support both the research process and its uptake.

1 Introduction

Globally, an estimated 201 million people in 134 countries across the world needed humanitarian assistance and protection in 2017 (Development Initiatives, 2018). With the number of violent conflicts surging by two-thirds over the last decade, forced displacement is currently at a record high of 65.6 million people, and the average length of displacement is now as long as 20 years. It seems likely that future humanitarian need will only continue to grow in scale and complexity (Samman et al., 2018; UNHCR, 2016a; Center on International Cooperation, 2015).¹

Education is a central need and priority for many affected by emergencies and protracted crises. Emergencies and protracted crises directly affect the education of more than 75 million of the world's children, with more than half of the world's children of primary age living in countries affected by crisis (Nicolai et al., 2016; UNESCO, 2015). Among these, an estimated 30.5 million forcibly displaced children face education challenges (Sarzin, 2017).² Among refugees, only 61% have access to primary and 23% to secondary education, compared with global figures of 92% and 84%, respectively (UNHCR, 2018b). Girls, children with disabilities and ethnic minorities are some of the groups that are further excluded in crisis contexts (Wagner et al., 2018).

Supporting education in crisis contexts involves multiple actors with wide varieties in mandate, mission, organisational structure, technical and geographic expertise. Systematic organisation of groups and individuals

contributing to education activities can, in principle, allow for more efficient, cost-effective and successful operations.

This report presents a global mapping and framework for analysis of formal coordination approaches for education planning and response in emergencies and protracted crises. It reviews concepts and definitions of coordination, approaches and structures for coordinated planning and response, and expected outcomes of these processes, with a focus on humanitarian structures including across the humanitarian–development nexus. The main types of formal education coordination groups include Education Clusters, Refugee Education Working Groups and Local Education Groups (LEGs), which all have different purposes and organisations associated with them, sometimes resulting in overlaps and gaps in coordination efforts.

Our research explores the following central research question:

How can humanitarian and development actors more effectively coordinate planning and response to strengthen education outcomes for children and young people affected by crises?

Answering this question involves looking more closely at the 'who', the 'how' and the 'so what' of coordinated education planning and response across different types and phases of crisis where a mix of humanitarian actors or humanitarian and development actors are operating.

1 68.5 million people were displaced at the end of 2017; of these, 25.4 million were refugees, while the rest were internally displaced persons (IDPs) or asylum seekers.

2 There are 40 million IDPs according to the Internal Displacement Monitoring Centre's Global Report on Internal Displacement 2017 and about half of that figure, or 20 million, are children (Sarzin, 2017). A total of 10.5 million refugee children, according to Wagner et al. (2018), is then added to obtain a total of 30.5 million forcibly displaced children, between the ages of 0 and 18.

This report serves as background to a set of country case studies that further explore this question as part of country-level coordinated planning and response. Planned case studies will be in the Middle East, Central Africa, Eastern Africa and South Asia.³ The findings of this report, alongside the case studies, will result in a final synthesis paper including recommendations for action that can be taken by key stakeholders, including governments, country-based education providers, and global humanitarian and development actors.

This report has been researched and authored by the Overseas Development Institute (ODI). Funded through Education Cannot Wait (ECW), the research project is managed by a partnership between the Global Education Cluster (GEC), the UN Refugee Agency (UNHCR) and the Inter-Agency Network for Education in Emergencies (INEE) (henceforth collectively referred to as the Global Partners). The Global Partners are actively supporting both the research process and its uptake.

This report is organised as follows:

- Section 1 serves as an introduction.
- Section 2 presents the research design, including background, a conceptual framework and methodology.
- Section 3 lays out key issues in country contexts and considers how these may influence coordinated education planning and response.
- Section 4 presents key global frameworks in terms of shared agendas and common principles relevant to coordinated education planning and response across the nexus.
- Section 5 presents coordination mechanisms and the structures for education planning and response, including their respective mandates and initial analysis on overlaps and gaps.
- Section 6 introduces ways of working, including an overview of critical processes, guidance and tools and presents a set of enabling factors for education coordination.
- Section 7 reviews the evidence on coordination's contributions to education outcomes.
- Section 8 lays out implications and questions to be further explored in country case studies.
- Section 9 presents a consolidated set of principles for coordinated education planning and response to further develop into operational markers at the final stages of research.
- Section 10 concludes.

In addition, there are two annexes:

- Annex A presents the research framework and questions shaping this study.
- Annex B provides an overview of key informant interviews and guiding questions used.

3 These countries were chosen as they have (1) an existing ECW supported programme; and (2) a major international coordination presence. Beyond these criteria they represent a range of crisis contexts, a mixture of refugee- and non-refugee-focused crises, a range of geographical regions, and provide examples of each of the existing and emerging humanitarian planning and coordination mechanisms that touch on education in emergencies. Further details on these countries will be presented in the case study reports themselves.

2 Research design

The design of our research comprises an overview of the entry points, articulation of the research questions, frameworks used in analysis, a conceptual framework that ties together elements of the research, and more detail on our methodology.

2.1 Entry points and scope

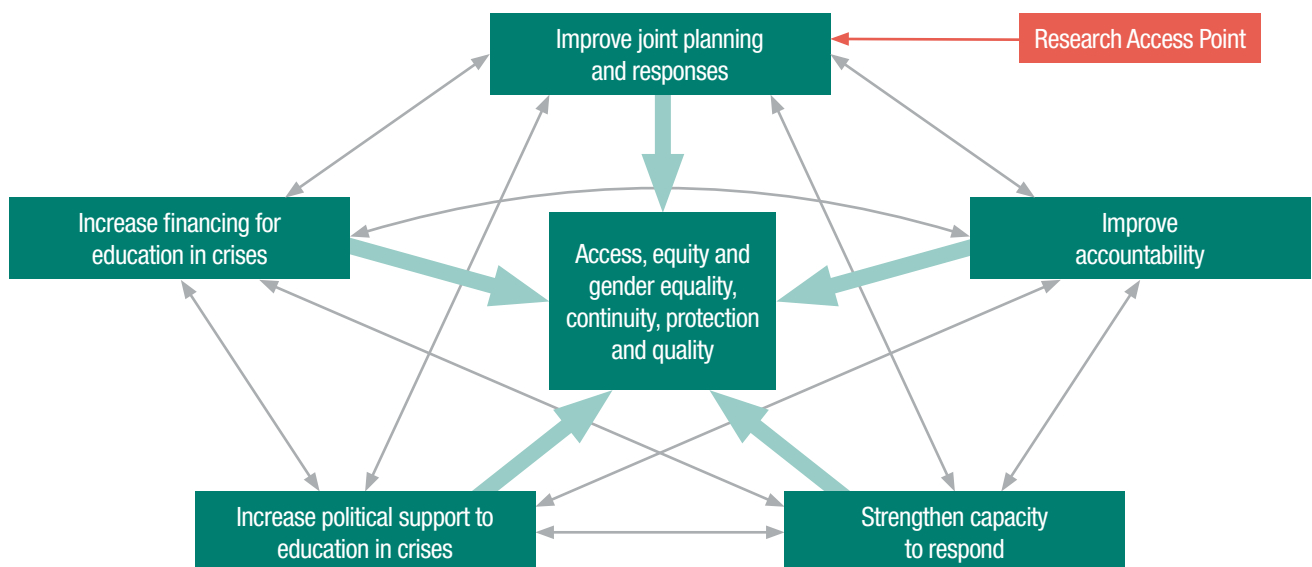
Our research is guided by the project purpose set out in the *Proposal to strengthen education planning, response and coordination for education in emergencies in crisis-affected contexts*, funded through the ECW Acceleration Window and delivered by the Global Partners. The project’s goal is to ‘ensure that all children in crisis-affected contexts have improved learning opportunities’, with an expected outcome that ‘high-quality global-level evidence, case studies, products, tools and recommendations will improve coordination, joint planning and response for education in crisis-affected contexts by ensuring fewer gaps and overlaps among different responses and

mechanisms’. This work forms one part of the project and is intended to: ‘deliver an evidence base on approaches for effective coordination of planning and response in education across national governments, sub-national and local responders, ...assess barriers to effective coordination, identify examples of harmonised approaches to deliver education interventions in crisis contexts, and document transferable lessons’. Research products will include this global mapping report and analysis framework, six country case study reports and a final synthesis report.

The framework for this research takes as its starting point the strategic objectives set out in the ECW 2018–2021 Strategic Plan, with Objective 3 as our particular entry point (see Figure 1).

1. Increase political support to education in crises.
2. Increase financing for education in crises.
3. Improve joint planning and responses.
4. Strengthen capacity to respond.
5. Improve accountability.

Figure 1 Research entry point as part of the Education Cannot Wait Strategic Plan 2018–2021



Source: Authors’ own elaboration

This research aims, in part, to explore how joint planning and response contribute to strengthening collective education outcomes – identified in the ECW Strategic Plan as access, equity and gender equality, continuity, protection and quality. However, progress on any single one of the five ECW strategic objectives is unlikely to create substantial improvements without parallel progress towards other objectives. For example, coordination is dependent on increased financing, financing on political support, improved planning and responses on capacity, and so on (see Box 1). It is the intersections that lie between improved joint planning and response and the other objectives that will lead to improvements in education outcomes in crisis contexts.

The scope of the study includes internally displaced, refugee and mixed response contexts. It covers a wide range of disasters, such as environmental, violence and conflict,

technological and health. It focuses primarily on education for children and youth, as prioritised in the ECW Strategic Plan.

Multiple coordination groups are involved in joint planning and response in different contexts and at different stages of a crisis, including Education Clusters, Refugee Coordination Groups and Local Education Groups, among others. Looking at the memberships, relationships and comparative advantage across these groups is an important part of the task. The study is further intended to inform policy discussions on the humanitarian–development nexus at the global level and specifically the strategic approach and ways of working of the ECW fund and key partners. To this end, the analysis and outputs of the project will map examples of education coordination approaches, investigate the enabling factors behind them and examine their implications for governments, education practitioners, key partners and ECW.

Box 1 What we mean by coordination

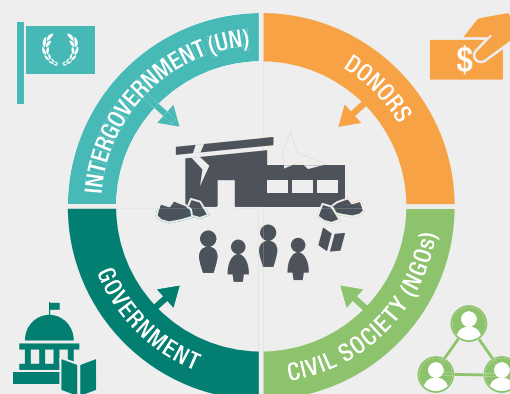
With the extensive number of actors involved in humanitarian and development aid, much value is placed on sharing information and working together, yet there is no single, agreed-on understanding of what coordination entails. At its most general level, coordination is ‘the organization of the different elements of a complex body or activity so as to enable them to work together effectively’ according to the *Oxford dictionary of English* (Stevenson, 2010). For the humanitarian sector, Knox Clarke and Campbell (2015) present inter-organisational relationships as lying along a spectrum, at one end acting completely independently and, at the other extreme, formally merging, with any differences removed. However, these extremes are unusual, and formal coordination mechanisms lie somewhere between the two.

In crisis contexts, the Office for the Coordination of Humanitarian Affairs (OCHA) understands coordination as ‘bringing together humanitarian actors to ensure a coherent and principled response to emergencies and assist people when they most need relief and protection; it seeks to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership’ (OCHA, 2018a).

In terms of education coordination, the ECW strategy particularly emphasises coordination that is agile, connected and fast. Our research is informed by these definitions and descriptions, while at the same time exploring the reality of what is seen and referred to as coordination on the ground, recognising the diversity of approaches used in different contexts.

Coordination

Bringing together humanitarian actors to ensure a coherent and principled education response to emergencies and assist people when they are most in need of relief and protection.



2.2 Research questions

Based on the above entry points for the research, a central research question and sub-questions were developed that look more closely at the ‘who’, the ‘how’, and the ‘so what’ of coordination of education in emergencies and protracted crises. These are:⁴

How can humanitarian and development actors effectively coordinate planning and responses to strengthen education outcomes for children and young people affected by crises?

Q1: Who are the main stakeholders contributing to country-level education coordination in emergencies and protracted crises, and how can their roles be optimised?

Q2: How can coordination of education planning and response be made more effective?

Q3: So what does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?⁵

The first sub-question explores issues such as: who the main stakeholders are that are involved in education coordination in crisis contexts; why and how they are involved; to what extent and in what ways this varies across context; and the overlaps and gaps in coordination systems and responsibilities. This will lead us towards recommendations regarding the shifts that may be needed in roles to create more effective and efficient coordination systems.

The second sub-question looks more closely at enabling factors that support effective education coordination and obstacles and constraints which undermine this. It considers different approaches used in country-level education coordination, how coordination processes change across the programme cycle, what coordination support and tools have been most useful across contexts, and leads us to further identify ‘markers’ that could be used to determine the effectiveness of education coordination.

The third sub-question investigates the strength and nature of evidence on whether coordinated education planning and response

4 Phrasing for Q1 and Q3 have been adjusted from the inception report and the previous draft of the global mapping, where they were articulated, respectively, as ‘What roles do different stakeholders take in coordination of education planning and response and how can this be optimised?’ and ‘How does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?’ These changes have been made to clarify the distinction across questions and bring them in line with the shorthand rubric we have used to investigate education coordination – ‘who’, ‘how’ and ‘so what?’

5 There have been some suggestions that Q3 should highlight the ‘why’ of education coordination rather than ‘so what’; however, in our understanding this question is focused on the difference that coordination makes and its contribution to outcomes, rather than exploring rationale for why it is done.

leads to improved education outcomes. With limited existing evidence, it sets up a framework to explore what additional indicative or anecdotal evidence on the link between coordination and improved outcomes can be gathered from case study countries.

2.3 Existing frames for analysis

While there is extensive literature around the design and effectiveness of humanitarian response and models of coordination and networking, there is no recognised or tested approach for exploring factors that facilitate or enable coordinated planning and response (Beck, 2006; Saavedra and Knox-Clarke, 2015; Knox Clarke and Campbell, 2016; Ramalingam et al., 2008). Within this research we therefore bring together and refer to three main frames in analysing coordination: the first focuses on factors that enable the coordination process, the second helps us to assess performance and the third clarifies desired education outcomes.

First, the 'Faerman Factors' include four factors that appear in research relating to the success or failure of inter-organisational coordinated efforts: predisposition, incentives, leadership and equity. These are drawn from organisational scientists' study of diverse contexts that involve numerous entities, often in competition or with a history of conflicts; who are interdependent and would collectively gain from cooperating rather than competing; who fall under different governance systems, but who try to design rules and principles to collectively govern their behaviour (Faerman et al., 2001). These factors draw on sociologist Anthony Giddens' theory of structuration, considering both the structural and individual levels of behaviour, and how the two impact on each other over time (Whittington, 2015). While these Faerman Factors have not yet been widely used

in humanitarian or development work, Nolte et al. (2012) usefully applied them to an analysis of the collaborative networks that operated during the disaster response in Haiti in 2010.

Second, the *OECD DAC Criteria for Evaluating Development Assistance* (hereafter the OECD DAC Criteria) are widely used in evaluation of development programmes and projects. First laid out in the DAC Principles for Evaluation of Development Assistance (OECD DAC, 1991) and later defined in the Glossary of Key Terms in Evaluation and Results Based Management (OECD DAC, 2002), these criteria are relevance, effectiveness, efficiency, impact and sustainability. Notably, they have been used by the State of the Humanitarian System (SOHS) reports to assess humanitarian performance (ALNAP, 2018).

Third, we further consider coordination effectiveness for education in crisis contexts by connecting the OECD DAC Criteria, which are applicable across sectors, to the *ECW Collective Education Outcomes* as identified in the ECW Strategic Plan (ECW, 2018). These collective outcomes include: access, equity and gender equality, continuity, protection and quality.

2.4 Conceptual framework

Building on these foundations, we have developed a conceptual framework to support analysis for this research. Our conceptual framework serves as a network or plane of linked concepts, with its attendant advantages of flexibility, capacity for modification and emphasis on understanding instead of prediction (Jabareen, 2009). We posit that there are five elements that build upon each other to determine the effectiveness of coordinated planning and response. The first two of these set the scene, with the remaining three features directly shaping education coordination itself and linking directly to our research questions.

Conceptual framework

Key features that shape education coordination outcomes

Country contexts



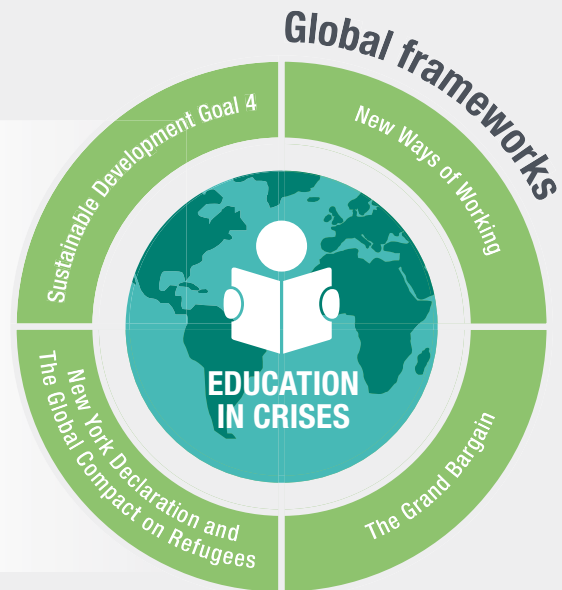
Country situation: the geographic, political, legal, social and economic context of the country, as well as existing capacity of national and/or regional authorities to respond to the crisis



Type of crisis: violence and conflict, environmental, health, complex emergencies, and whether displacement produces either internal displacement or refugee situations, and the scale of displacement, disasters or mixed situations



Phase of crisis: Sudden onset emergency and/or protracted situation



Who: Coordination approaches

The main actors providing leadership for education planning and response, their responsibilities, as well as the type of group(s) present.

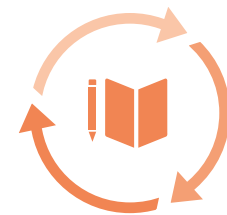
- **Ministry of Education**, and/or other national ministries
- Regional or local **government bodies** overseeing education and/or emergency response
- IASC **Humanitarian cluster coordination approach**, with the Global Education Cluster co-led by UNICEF and Save the Children, and country level cluster leadership varied
- **Refugee Coordination Model** led by UNHCR
- **Development coordination**, led by Local Education Groups, guided by UNESCO and supported by the Global Partnership for Education
- **Donor-facilitated coordination**, including Education Cannot Wait, which works through the existing coordination architecture to encourage a more collaborative approach among actors on the ground and mobilise additional funding
- Mixed, regional and other **hybrid approaches**



How: Ways of working

The critical processes and tools that shape the experience of education planning and response throughout programme/project cycles.

- **Coordination across the humanitarian programme cycle (HCP) and refugee response planning cycle:** needs assessment and analysis, strategic response planning, resource mobilisation, implementation and monitoring, operational review and evaluation
- **INEE Minimum Standards:** a global tool that articulates the minimum level of educational quality and access in emergencies through to recovery
- **The Faerman Factors:** predisposition, incentives, leadership and equity highlighting the softer side of coordination



So what: Evidence of impact

The collective education outcomes of coordinated education planning and response as linked to coordination quality measures.

- **Collective education outcomes set out in Education Cannot Wait strategy:** access, equity and gender equality, protection, quality and continuity
- **Coordination quality measured by OECD DAC criteria:** coverage, relevance/appropriateness, coherence, accountability and participation, effectiveness, complementarity, sufficiency, efficiency, connectedness and impact



Country contexts are the distinct country and crisis-specific features that inevitably shape what is needed in terms of education coordination. This includes the country context in areas such as geography, wealth, political system, languages and population profile. It also entails the type and complexity of disasters, such as environmental, violence and conflict, technological and health, and whether displacement produces either internal displacement or refugee situations across borders. The phase of crisis, and whether it is a sudden onset or protracted emergency, is also an important element that will shape coordination. A further aspect is related to systematic and individual capacities of national authorities.

Global frameworks are the global and, at times, regional commitments and agendas that shape humanitarian and development action across contexts. Principles and standards serve as a kind of broad ‘regulatory framework’ for the aid sector, offering some level of accountability. These include both long-standing and more recent legal obligations alongside guidance frameworks like the INEE Minimum Standards for Education.

WHO: Coordination approaches in terms of the main actors providing leadership for education planning and response, their mandates, as well as the type of group(s) present are a key feature that shape what is possible in terms of coordination. This includes a look at not just who is in the room, but also at the objectives, underlying assumptions and expected outcomes of coordination. This links to our first research sub-question on who is involved in coordination of education planning and response.

HOW: Ways of working involves the critical processes and tools that shape the experience of education planning and response throughout programme/project cycles. A further set of enabling and constraining factors is articulated through the Faerman Factors of predisposition, incentives, leadership and equity and influence how actors work together in education planning and response. This links to our second research sub-question on how coordination of education planning and response can be made more effective.

Finally, *SO WHAT: evidence of impact* or influence of coordination on collective education outcomes can enable exploration of the ‘so what’ of coordination. The OECD DAC Criteria and ECW Collective Education Outcomes are used to explore this. Taking measurement challenges into account, as well as broader theory and evidence of the impact of coordination, we begin to link coordination with education outcomes, as articulated in our third research sub-question.

Through this report, and then through each of the case studies, we will be laying out key information on the first two elements – country contexts and global frameworks – and then delving deeper to further analyse the next three – coordination approaches, ways of working and evidence of impact – as the ‘who’, ‘how’ and ‘so what’ of coordinated education planning and response. The intention is that overall findings will lead to the development of a set of evidenced-based *markers for effective education coordination in crises* linked to existing principles.

2.5 Methodology

The research for this report involved a review of relevant published and grey literature, as well as key informant interviews with a select group of stakeholders. Framed as the ‘who’, ‘how’ and ‘so what’ of education coordination, the research questions provided structure and focus for analysis of both the literature and key informant interviews. These questions were developed by the research team in response to the broader task set out in the project proposal and then verified by Global Partners in the inception phase.

The literature review drew upon a combination of existing syntheses of global evidence and literature that focuses on coordination mechanisms, agency roles and country analyses. The primary technique used was ‘snowballing’: taking recommendations from experts in the humanitarian and education spheres, then taking references from these documents. The literature review considered only documents written in English. Literature was selected based on its relevance and use in relation to coordinated planning and response in the

education sector and included material identified by Global Partners and key informants, as well as that already known to the research team. Judgments on the quality of information were made in relation to the relevance of content to the research questions, and through triangulation with key interviews. This literature both forms part of the data presented in the report and helped to inform the analysis of interviews.

A total of 15 key informant interviews were conducted for this report, including both Global Partner representatives and others from among a larger group nominated by the same. Criteria for key informants were that they were had been involved in global-level and country-level coordination processes and represented a diverse range of organisations and perspectives. From those nominated, key informants interviewed were self-selecting, chosen due to availability during that phase of research. Semi-structured interviews focused on verifying obstacles, lessons learned and good practices identified through the literature review; gathering additional and up-to-date information on processes and coordination approaches; and documenting new examples and evidence on good practices, lessons learned and impacts on education outcomes. Information gathered through key informant interviews was triangulated across interviews and data sources in the analysis phase of the research. Much of information presented here is sourced from key informant interviews, which were anonymised, and for ease of the reader have not been referenced throughout. Names of those

interviewed, and the questionnaire used, are included in Annex B.

This report benefitted from a review process involving the ECW Global Partners, who had three opportunities to provide feedback and comments at different stages, significantly shaping the content and strengthening accuracy of the detail and analysis. Furthermore, a Global Reference Group of 20 individuals from diverse organisational affiliation and geographies had an opportunity to provide comments.

The research faced several limitations and constraints. Limited time and resources meant that rigorous research approaches and extensive interviews were not feasible. Lack of common understandings of coordination itself was also a limitation, with this research focused on formal coordination structures and their use, which is only one way of understanding the term. Finally, the research was commissioned by a group of actors working on education in humanitarian settings, with less attention given to interrogating the roles and work across the humanitarian-development nexus operating in crisis-affected environments.

The research questions and conceptual framework here provide a research approach and analysis framework to inform the six case studies that follow. Findings from this report, along with those of the case studies, will be pulled together in a final synthesis report to give insight into the interaction between globally agreed coordination approaches and country-level experiences of coordinated education planning and response.

3 Country contexts

The first element in our conceptual framework, country contexts, helps to explore how country situations and types and phase of crises can affect education coordination. Context refers to ‘the environment and circumstances within which something happens, and which can help to explain it’ (Campbell, 2018). While it does not directly link to a research question, it provides important background and is an important aspect of each of the upcoming country case studies.

While there is clear responsibility for governments to ensure the right to education for children and adolescents affected by crises, national authorities often do not prioritise education provision for these groups or lack the capacity to do so. Furthermore, international support for education in crises is also lower than needed, as evidenced by the low share of education as part of total humanitarian aid.⁶ Even when external support is there, there is a sense that gaps in coordinated planning and response between humanitarian and development actors means that fewer children are reached than might otherwise have been and that education provision in emergencies and protracted crises is not sustained.

3.1 Country situation

This report focuses on the global structures for coordinated planning and response that are then applied in a range of humanitarian contexts. However, there is clear recognition of the need for humanitarian response to be ‘context-relevant’, and that a one-size-fits-all approach to coordinated planning and response is ineffective, and potentially even harmful (Campbell, 2018;

Knox Clarke and Obrecht, 2015; Ramalingam and Mitchell, 2014). Considering the context in which coordination occurs is therefore essential to any analysis of coordination.

The context that surrounds coordinated education planning and response includes a multitude of political, legal, social, economic and other influences that affect and can be affected by coordination entities, and that in turn affect the nature and outcomes of such coordination. The context provides opportunities and constraints and influences the dynamics of coordination at the outset of a crisis and other times (Emerson et al., 2012). Context is not only varied between countries, and within countries from locale to locale, but it is also not static in any given geographic location, as it changes over time. Emergencies are dynamic, meaning that the coordination will also need to have the flexibility to adapt. Examining how global approaches to coordination are adapted in specific contexts must therefore consider not only the wide range of types of emergencies, but also how these specific contexts change over time.

In practice, this implies the importance of key relationships with local stakeholders – particularly ministries of education (MoEs), as well as local government and organisations working on education, teachers and students – who may represent differing views, can ‘translate’ the context in real time and work together to respond. For education, understanding context is not only beneficial to ensuring coordinated response but is essential to the humanitarian obligation to ‘Do No Harm’, with conflict-sensitive education and psychosocial support encouraged to mitigate the potential for education programming to cause harm (INEE, 2013; 2018).

⁶ While humanitarian aid to education has grown in recent years, reaching in 2017 \$450 million, of which \$301 million addressed humanitarian response plans, amounting to 2.1%, the share of education in total humanitarian aid remains both far below requirements and the indicative target of allocating at least 4% of humanitarian aid to education (UNESCO, 2018a).

3.2 Type and phase of crisis

Coordinated education planning and response is also significantly affected by the type of crisis, its scale and phase. While emergency contexts are dynamic and do not fit neatly into a predefined taxonomy, it is useful to examine typical coordination obstacles and approaches across the types of crises to understand how coordination may operate at a country level. While there are many ways to categorise crises, the *Global humanitarian assistance report 2018* (Development Initiatives, 2018), sets out four to consider: conflict, refugee situations, disasters associated with natural hazards and complex emergencies (which include any two of the above), recognising that these types are idealised and often overlapping. Furthermore, the phase of crisis is a key determinant of the dynamics of coordinated planning and response and can vary in form and duration depending on the type of emergency.

Conflict involves periods of intense violence, often armed, and can cause instability and mass displacement, and is often prolonged. It may purposely target civilian populations, and children and young people are repeatedly caught in the crossfire and can be vulnerable to the impacts of the crisis.⁷ The government's legitimacy may be compromised when it is party to a conflict; in such cases, working with and through the state may not be possible in part or all the country. Even if the government's legitimacy is not in question, its human and financial resources are likely to be constrained due to pre-conflict fragility, the result of which is frequently that the education system and service delivery capacity is weak. These contextual factors mean that education programming is often humanitarian-focused and supported by non-state actors using delivery systems outside government. Moreover, coordination bodies in such contexts must frequently focus on establishing a consensus on the importance of education within the initial humanitarian response and how to sustain delivery during protracted conflict. A central

challenge for coordinated education planning and response in conflict contexts is to ensure the continuity of education in a safe, protective space in order to restore a sense of normalcy for children (Cambridge Education, 2017).

Refugee crises involve significant populations displaced across international borders, sometimes for prolonged periods, with estimates that the average length of a major protracted refugee situation is now 20 years (UNHCR, 2016). Refugees facing protracted displacement often suffer from a lack of physical security, legal status and protection of their fundamental human rights. With regard to education, national policies to support the integration of refugees or displaced learners into government schools have often not existed, although this is changing in some contexts. Host governments may be reluctant to take on long-term liability for refugee education, due to lack of willingness, preparedness or capacity. Coordinated education planning and response in a refugee crisis is likely to require a focus on establishing a political consensus between the government, multilateral, bilateral and non-governmental organisations (NGOs) for the inclusion of education in the emergency response as well as on integrating refugees into host country education systems through temporary strategies or providing non-formal education where integration is not possible (Mendenhall et al., 2017).

Disasters associated with natural hazards include geological (earthquakes, volcanoes, landslides), hydrological (floods, tsunamis) and meteorological (cyclones, hurricanes, droughts). Disasters frequently damage or destroy school facilities and educational systems, threatening the physical safety and psychological well-being of learners and interrupting educational continuity. Moreover, the economic impacts of disasters reduce school enrolment, as children can be kept out of school to help with livelihoods (Anderson, 2010). Within contexts of disasters caused by natural hazards, the priorities of restoring normalcy to children's lives by getting them back

⁷ It is important to note, however, that children and youth have diverse experiences, coping skills and responses to a disaster or conflict. Many are resilient and will only require attention to their basic physical and psychosocial needs. The myth that children and youth are inherently vulnerable risks the provision of too little support for the majority and undermines their ability to heal and thrive (INEE, 2018).

into school and *building back better* through disaster preparedness and risk management in relation to reoccurring hazards influence and shape coordinated education planning. Education coordination structures are likely to focus initially on ensuring that education is included in needs assessments as well as on participating in a multi-sectoral response, with an eye to establishing safe and child-friendly spaces while rebuilding and/or retrofitting education infrastructure. In both the short and long term, coordinated planning and response is likely to be shaped by the need to build a better case for preparedness, contingency and resilience within the education sector.

Complex emergencies and mixed situations are crises that result from the intersection of disasters caused by conflict, refugee displacement and natural hazards. Governments facing multiple emergencies are likely to lack willingness, preparedness and capacity at various levels (local, sub-national, national) to engage in

coordinated education planning and response. There can be a total or considerable breakdown of authority resulting from internal or external crises which ‘require international response that goes beyond mandate or capacity of any single agency/and or ongoing UN country programme’ (OCHA, 2003). While government has the capacity to coordinate diverse stakeholders, education coordination mechanisms need to uphold the central authority of governments that play the lead role in the provision of education. As such, coordination structures may need, from the outset, to contextualise education policies and programmes within a transition or long-term sustainable development framework through fostering collaborative partnerships between government officials, civil society, development and humanitarian actors within the education sector, and also across sectors, to address internally displaced, refugee and host needs (IRC, 2017; Meaux and Osofisan, 2016; Anderson and Brandt, 2018).

4 Global frameworks

The second element in our conceptual framework, global frameworks, identifies the commitments and agendas that shape humanitarian and development action in crisis contexts. The most significant of these to impact on coordinated education planning and response are the Sustainable Development Goals (SDGs), the New Way of Working and Grand Bargain, and the Global Compact on Refugees.⁸ In addition to outlining relevant pieces in our global mapping report, this is looked at in each of our country case studies.

4.1 Sustainable Development Goal 4

In 2015, global leaders pledged commitment to 17 SDGs with specific targets to be achieved by 2030. The 2030 Agenda for Sustainable Development commits to ‘leave no one behind’ and ‘reach the furthest behind first’, and specifically references ‘people affected by humanitarian emergencies’ recognising that targets will not be reached without concerted efforts in conflict-affected and fragile states (UN, 2015). SDG 4 aims to ‘ensure inclusive and equitable quality education and promote lifelong learning opportunities for all’ by 2030.

The Incheon Declaration and Education 2030 Framework for Action specifically calls for addressing education in emergency situations, highlighting that ‘well-coordinated national, regional and global responses and systems are needed to prepare for and respond to emergencies and to “build back” better, towards safer and more equitable education systems’ (UNESCO, 2015). The Education 2030 Framework for Action is a roadmap to achieve the education goal and targets within SDG 4 and makes explicit reference to the need for countries to institute measures to develop inclusive,

responsive and resilient education systems to meet the needs of children, youth and adults in crisis contexts. This global framework has significant potential to join up development and humanitarian actors, with some countries having already made progress leveraging SDG 4 to get education for IDPs and refugees on the agenda.

4.2 New Way of Working, the nexus, and collective outcomes

The World Humanitarian Summit, held in 2016, brought together a wide range of actors in the international aid system, including the UN, NGOs and donors, and sought to shape a transformation in the way humanitarian action is delivered, coordinated and financed. The opening report from the Secretary-General urged the international aid system to commit to working in a new way marked by three fundamental shifts: (1) reinforce, do not replace, national and local systems; (2) anticipate, do not wait, for crises; (3) transcend the humanitarian–development divide by working towards collective outcomes, based on comparative advantage and over multi-year time frames (UN, 2016a). A Commitment to Action to meet people’s immediate humanitarian needs while at the same time sustainably reducing risk and vulnerability was adopted by eight UN humanitarian and development entities⁹ and the International Organization for Migration (IOM) and endorsed by the World Bank. Work on the latter shift – a focus on collaboration between humanitarian and development actors through collective outcomes with a multi-year timeframe and based on comparative advantage – has become known as the New Way of Working (NWOW). The focus of the NWOW is on:

8 Other frameworks, such as The Comprehensive School Safety Framework (UNISDR and GADRRRES, 2017) are important contributions to help define and structure planning and response but are not covered here due to limitations in space and time.

9 FAO, OCHA, UNHCR, UNDP, UNFPA, UNICEF, WFP, WHO.

- **Joint analyses:** Development of a shared context and risk analysis and problem statements based on robust evidence.
- **Collective outcomes:** Commonly agreed, quantifiable and measurable results designed to reduce people's needs, risks and vulnerabilities, and increasing resilience.
- **Comparative advantage:** The capacity and expertise of one individual, group or institution to meet needs and contribute to risk and vulnerability reduction over the capacity of another actor.
- **A multi-year time frame:** Analysing, strategising, planning and financing operations that build over several years to achieve context-specific and, at times, dynamic targets.

Operationalising this NWOW requires changes to complex institutional and financial arrangements. For instance, how collective outcomes are operationalised in the field is still being grappled with, with many questions relating to the process of development, especially the role of national governments and affected communities, as well as how to monitor and evaluate progress (Moriniere and Vaughan-Lee, 2018). Furthermore, the humanitarian coordination system is already incredibly overburdened in terms of the time commitment required of participants. Expanding the scope of this mechanism is seen to be difficult to achieve.

4.3 The Grand Bargain

In the run-up to the World Humanitarian Summit, a group of donors, UN agencies, the Red Cross and Red Crescent Movement and various NGOs released a report that introduced the concept of the 'Grand Bargain': an initiative with the goal of achieving more efficiency in the humanitarian sector by tasking both donors and agencies with making changes in how they operate in order to meet the humanitarian funding gap. Within the Grand Bargain are 51 commitments, grouped together under 10 workstreams (see Box 2). Although many of the overarching aims of the Grand Bargain and the NWOW are similar, the

Box 2 Grand Bargain workstreams

1. Greater transparency
2. More support and funding tools for local and national responders
3. Increase the use and coordination of cash-based programming
4. Reduce duplication and management costs with periodic functional reviews
5. Improve joint and impartial needs assessments
6. A participation revolution: include people receiving aid in making the decision which affect their lives
7. Increase collaborative humanitarian multi-year planning and funding
8. Reduce the earmarking of donor contributions
9. Harmonise and simplify reporting requirements
10. Enhance engagement between humanitarian and development actors

Source: IASC (2016).

Grand Bargain is an initiative that engaged a more diverse group; there are now close to 60 signatories, many of whom report annually on progress towards their commitments.

Several of the workstreams directly relate to improved coordinated planning and response between humanitarian and development actors. Workstream 7 (multi-year planning and financing) is particularly relevant for education, as inter-sectoral multi-year efforts will impact on how the education sector plans in crisis contexts. The Independent Report on the Grand Bargain (Metcalf-Hough, 2018) reported progress in this area, with the development of multi-year plans in seven countries in 2017, with a majority of donors (58%) reporting an increase in the provision of multi-year funding. Planned case study research in those countries with inter-sectoral multi-year plans will seek to explore the influence of these developments on coordinated planning and response in the education sector.¹⁰ This also impacts

¹⁰ Workstream 7 case studies include DRC, Chad, Central African Republic, Cameroon, Somalia, Sudan and Haiti, which includes some overlap with case studies for this research.

how different humanitarian and development funding streams can work together. In the case of education, it may provide a framework for how ECW and the cluster can operate in tandem with the Global Partnership for Education (GPE) and other development-focused mechanisms.

Workstream 2 on engagement of local and national responders is also important in education. The ECW has been explicit in its desire to action the localisation agenda of the Grand Bargain and support national NGOs as directly as possible (ECW, 2018). The Global Education and Child Protection Clusters have been actively engaged in considering how to help country clusters increase the participation of local actors in governance and decision-making, increase resources allocated to local actors, and improve the equity of partnerships with local actors (GEC et al., 2017).

4.4 New York Declaration and the Global Compact on Refugees

The New York Declaration for Refugees and Migrants (New York Declaration) was adopted unanimously by the UN General Assembly in September 2016. The New York Declaration reaffirms the obligations of states to fully respect the rights of refugees and migrants and is intended to improve how the international community responds to large-scale movements of people, more predictably and equitably sharing responsibility for meeting the needs of refugees, migrants and host communities. A high-level and inclusive initiative, the New York Declaration calls for better links between humanitarian and development efforts, noting ‘We are determined to save lives. Our challenge is above all moral and humanitarian. Equally, we are determined to find long-term and sustainable solutions’ (UN, 2016b: 2).

In addition to the Declaration itself, an Annex lays out the Comprehensive Refugee Response Framework (CRRF), a mechanism to strengthen partnership between donors, international

organisations and host nations to realise the commitments to ensure a more comprehensive, predictable and sustainable response across the range of unique refugee contexts present globally. The CRRF has a four-fold focus: the commitment to ease pressure on countries that host refugees; to enhance refugee self-reliance and resilience and support their inclusion into host communities from the first stages of a response; to expand access to third-country solutions; and to support efforts to enable refugees’ voluntary and dignified return (UNHCR, 2018a). The CRRF core elements include:

- **A joint operational plan and funding appeal:** The approach emphasises the need to initiate long-term planning for durable solutions from the first stages of an emergency, and link humanitarian responses and development efforts, particularly through the support to local service provision and inclusion of refugee response into national plans of host countries.
- **Engagement of a wide range of stakeholders:** The CRRF is intended to build on and link existing coordination structures and plans and foster connection between groups.
- **Share responsibility for solutions:** Setting out the roles and responsibilities of countries of origin, host countries and third countries and other international support required to ensure that refugees have durable solutions and pathways to self-reliance.

UNHCR views the New York Declaration and the CRRF as a recognition that ‘forced displacement is not just a humanitarian but also a political and a development challenge’ (UNHCR, 2017a). The CRRF is currently being rolled out in a number of country and regional contexts.¹¹ Lessons learned from the roll-out have informed finalisation of a Global Compact on Refugees, a non-legally binding statement of political commitment to principles and concrete action by Member States.

11 Belize, Costa Rica, Guatemala, Honduras, Mexico and Panama are working together regionally on a Comprehensive Regional Protection and Solutions Framework (Marco Integral Regional para la Protección y Soluciones (MIRPS) in Spanish). Countries applying CRRF include: Afghanistan, Chad, Djibouti, Ethiopia, Kenya, Rwanda, Somalia, Uganda and Zambia. It is also applied regionally in relation to the Somali refugee situation under the leadership of the Intergovernmental Authority on Development (UNHCR, 2018a).

5 Who: Coordination mechanisms

The third element in our conceptual framework, coordination mechanisms, identifies the range of formal structures supporting coordination of education planning and response in crisis contexts. It takes as its starting point the research framework's Q1 on roles that stakeholders play in coordination. *Who are the main stakeholders contributing to country-level education coordination in emergencies and protracted crises, and how can their roles be optimised?*

The main coordination approaches that bring national and international actors together for country-level education planning and response are:

- Humanitarian cluster coordination approach, which in the education sector is led globally by Save the Children and UNICEF.
- Refugee coordination approach, led by UNHCR.
- Development approach, led by LEGs, guided by UNESCO and supported by the Global Partnership for Education (GPE).¹²
- Mixed, regional and other hybrid approaches.

While primary responsibility for education sits with governments, where their willingness and capacity to respond are constrained, both international and national/sub-national actors of different kinds become involved (see Box 3).

Box 3 The role of national governments

It is important to note that, overall, national governments are responsible for fulfilling the right to education within their territory and, for the 144 signatories to the 1951 Refugee Convention, includes refugees. National education plans set the direction for developing the overall education system and should include displaced people, whether refugees or internally displaced persons (IDPs). Government-led coordination groups, typically led by a Ministry of Education, exist in many countries prior to a crisis with a broader mandate for coordinating aid and support to the education sector. However, willingness, preparedness and capacity to lead coordinated education planning and response in emergencies and protracted crises is varied among national governments. In some contexts, governments will lead the coordination of the planning and response while in others they will co-lead or participate in a coordination structure that is supported by the international community. In other contexts, national governments are party to a conflict and may play no official role in coordinated education planning and response (Nicolai et al., 2015). That said, it is important not to consider the state as a monolith; there are vertical and horizontal layers in any national government, and it is usually possible to engage with some element of the state, even if the central national government authority is not willing or able to lead coordinated planning and response.

Source: Knox Clarke and Obrecht (2015)

12 Note that GPE also can fund EiE activities and transitional plans.

5.1 Humanitarian cluster coordination

The humanitarian cluster approach was adopted by the Inter-Agency Standing Committee (IASC) in 2005 as part of a humanitarian reform process intended to address gaps in humanitarian response, particularly focused on enhanced leadership, accountability and predictability of emergency response in key sectors.¹³ The cluster approach attempts to make a clearer division of labour between organisations, delineate their roles and responsibilities in different areas, and improve accountability to affected people by ensuring that humanitarian responses ‘deliver assistance to those in need as the result of effective and timely decision-making and planning’ (IASC, 2015a: 5). The role of the Education Cluster, as stated in its 2015–2019 Strategic Plan, is to prepare and deploy resources in support of national education coordination mechanisms as part of an overall international emergency response.

Globally, the Education Cluster is co-led by UNICEF and Save the Children, and is the only cluster co-led by a non-UN organisation at the global level. At the country level, governments have primary responsibility for providing humanitarian assistance to people under their jurisdiction. Clusters are activated where needed when government coordination capacity is limited or constrained (IASC, 2015a). Leadership at the country level is context specific. In some cases, the global co-lead agencies UNICEF and Save the Children also co-lead at the national level, while in other cases UNICEF leads alone or together with another NGO. In many contexts the national government leads with support from co-lead agencies and other cluster partners. In addition, education and coordination experts from the GEC’s Rapid Response Team are rapidly deployable to support education coordination in humanitarian crises, establishing or strengthening sectoral coordination by liaising with cluster members, ministries of education, national organisations, OCHA, UN agencies and NGOs.

In this research we consider groups with formal accountabilities through the IASC and use the term ‘Education Cluster’ as a collective term for this group of humanitarian coordination entities. There are currently 27 contexts/countries with Humanitarian Coordinators or Deputy Humanitarian Coordinators, where Cluster Lead Agencies have accountabilities; of these, 23 countries have an Education Cluster or Education in Emergencies (EiE) working group formally activated. Beyond those formal groups, there are also cluster-like coordination mechanisms, meaning they use same tools and mechanism but do not have the same system-wide, inter-sectoral accountabilities as coordinated by OCHA; at the time of writing there are 16 countries with cluster-like coordination mechanisms.

The GEC (2017) highlights in its *Strategic plan 2017–2019 revision* the need for flexibility and adaptation of the formalised cluster model defined by the IASC in 2005. The Education Cluster, as part of the wider humanitarian architecture, is operating in contexts where coordination mechanisms that are part of national systems are increasingly common. Moreover, protracted settings mean that clusters are far less temporary than initially envisaged, and there are more mixed displacement contexts where the mandate for coordination falls in part outside the cluster system.

While the IASC emphasises the need for coordination mechanisms to be context-driven with no one-size-fits-all approach, a set of core responsibilities apply to all clusters at the country level. The 6+1 Core Functions (see Box 4) highlight the centrality of coordinated planning and response to the role of the clusters at country level. The first and second core functions highlight the strategic role that clusters play in supporting response efforts through agreement on common approaches to service delivery (coordinated response) and informing strategic decision-making at the inter-sector level (coordinated planning). The third function explicitly notes that clusters are responsible for planning and strategy development

13 The humanitarian cluster coordination approach is part of a larger coordination system that includes the Humanitarian Country Team (HCT), ‘a strategic and operational decision-making and oversight forum established and led by the Humanitarian Coordinator’ (OCHA, 2018a). HCTs are made up of representatives from the UN, IOM, international NGOs and Red Cross/ Red Crescent Movement, including cluster lead agencies, and have a significant impact on the ability of humanitarian actors to meet objectives.

and the fifth core function covers monitoring of the strategic plan and results of the response.

The GEC's own approach to coordinated planning and response is articulated most recently in their *Guide to developing Education Cluster Strategies* (GEC, 2018). The approach to cluster strategies taken by the GEC is designed to meet the requirements of the mandatory procedures that are part of the current humanitarian programme cycle (HPC), but as a by-product, rather than the focus of the exercise. The *Guide to Developing Education Cluster Strategies* makes the case that all Education Clusters should have a strategy in place, not only because strategic planning is one of the clusters' core functions, but because of the key role that a consultatively developed strategic plan can play in ensuring cluster partners are 'guided in their implementation of an effective, timely and quality emergency response' (GEC, 2018: 1). The process of developing an Education Cluster Strategy is examined in more detail in the next section.

The GEC's *Strategic Plan 2017–2019 Revision* emphasises that, while an Education Cluster's role is focused on acute humanitarian needs, it also has an important role to play in strengthening coordination between humanitarian and development actors in the education sector (GEC, 2017). One of three strategic pillars in the revision is the humanitarian–development nexus, and highlights key actions that Education Clusters are taking to support links across the nexus:

- Engaging the government in EiE from the outset to ensure ownership and sustainability.
- Aligning humanitarian strategic objectives to the respective education sector strategies.
- Integrating EiE and Conflict/Disaster Risk Reduction (C/DRR) into Transitional Education Plans (TEPs) or Education Sector Analysis and/or Plans.
- Integrating the Education Cluster into education sector strategies, the formal integration of the Education Cluster as a thematic of the LEG.
- Integrating Education Clusters at both national and sub-national levels into pre-existing coordination mechanism.
- Strengthening working relationships with MoE and sharing office space.

These key actions address challenges to the cluster's sustainability through the focus on the leadership of the national government and the integration of clusters into pre-existing coordination mechanisms, as well as integration of EiE into sector strategies by LEGs.

The IASC Cluster Approach does not apply to refugee situations, where UNHCR is mandated to work with host governments to coordinate the education response through sector coordination groups (UNHCR and OCHA, 2014). In so-called 'mixed situations' where the population of humanitarian concern includes IDPs, refugees and other affected populations in the same geographic location, either the IASC Clusters or the UNHCR Sectors will be the primary coordinating entities; this is discussed in more detail below.

Box 4 6+1 Cluster core functions

- Supporting service delivery by providing a platform for agreement on approaches and elimination of duplication
- Informing strategic decision-making of the Humanitarian Coordinator/HCT for the humanitarian response through coordination of needs assessment, gap analysis and prioritisation
- Planning and strategy development including sectoral plans, adherence to standards and funding needs
- Advocacy to address identified concerns on behalf of cluster participants and the affected population
- Monitoring and reporting on the cluster strategy and results; recommending corrective action where necessary
- Contingency planning/preparedness/national capacity building where needed and where capacity exists within the cluster.
- The IASC added 'Accountability to Affected Populations' as a key area of work that Clusters should focus on.

Source: IASC (2015a)

5.2 Refugee coordination

UNHCR has a global mandate for protecting and assisting refugees and asylum seekers regardless of the location of refugees (camp or urban settings), in emergency or non-emergency contexts, and in mixed movements involving IDPs, asylum seekers and refugees.¹⁴ The mandate of UNHCR is focused on refugee protection and assistance linked to durable solutions, and therefore includes, but goes beyond, coordination of emergency humanitarian assistance (UNHCR, 2016). UNHCR's Statute charges the High Commissioner and their Office with responsibility for the international refugee response system, including the coordination function, which is seen as inherent to its refugee mandate (UNHCR, 2014). The High Commissioner cannot transfer or delegate accountability, and therefore the cluster approach does not apply to refugee situations. However, the High Commissioner is empowered to 'invite the co-operation of the various specialized agencies' to assist their Office in performance of its mandate (UNHCR, 2014: 4).

Across all sectors, UNHCR stresses states' primary responsibility to protect refugees under the 1951 Refugee Convention, and the High Commissioner's role in supporting host governments with refugee response leadership and coordination. Refugee responses are, whenever possible, led by the host government, though this is determined in practice according to government capacities, policies and approaches in any given context (UNHCR, 2013). The 1951 *Convention Relating to the Status of Refugees* states in Article 22 that signatory states 'shall accord to refugees the same treatment as is accorded to nationals with respect to elementary education ... [and] treatment as favourable as possible ... with respect to education other than elementary education' (UNHCR, 2010: 24). However, even among states that have signed the Refugee Convention, how this commitment is realised in practice is

dependent on national laws and policies in each context (Dryden-Peterson, 2011).

UNHCR calls sector-specific coordination groups 'Sectors', and they are envisaged as operational coordination bodies either led or co-led by the host government, with UNHCR and partners coordinating or co-coordinating. Specific contexts determine which sectors are established, but the common Sectors tend to include Education, alongside Camp Coordination/Camp Management, Food and Food Security, Health and Nutrition, Livelihoods and Self-Reliance, Shelter and Non-Food Items (NFIs) and WASH (UNHCR, 2014). In a mixed situation where there is a UNHCR refugee operation underway and the cluster system is also activated, UNHCR retains the mandate for refugee response coordination; how this leadership role interacts with the cluster system is determined on a case-by-case basis.

While UNHCR's mandate to protect and assist refugees has driven its action in all refugee and mixed contexts since its establishment, the mandate for the provision of education for refugees has shifted over time. From 1945 UNESCO held the global mandate for education, including for refugees; however, a Memorandum of Understanding (MoU) was signed between UNESCO and UNHCR in 1967 and responsibilities formally shifted and UNHCR became the UN agency responsible for refugee education, with some technical backstopping from UNESCO (Dryden-Peterson, 2011). While the mandate for refugee education has stayed with UNHCR, there has been increased emphasis on the importance of partnership and coordination to support UNHCR's efforts to fulfil its mandate. The UNHCR Education Strategy highlights the importance of partnership particularly with MoEs and UNICEF (UNHCR, 2012).

UNHCR's Education Strategy has the aim of ensuring that refugees have sustainable access to national education systems and lifelong learning, and sectoral coordination with government line ministries is central to this. UNHCR establishes

14 'The exception being the United Nations Relief and Works Agency for Palestine Refugees (UNRWA). As UNRWA was set up in 1949, Palestine refugees were specifically and intentionally excluded from the international refugee law regime established in 1951. The 1951 Convention relating to the Status of Refugees and the 1967 Protocol thereto exclude Palestine refugees as long as they receive assistance from UNRWA. UNHCR provides assistance and protection to Palestine refugees outside UNRWA's areas of operations' (UNHCR, 2014: 4).

a working relationship with an inter-sectoral government coordinating entity, such as the Office of the Prime Minister (as in Uganda) or Administration for Refugee and Returnee Affairs (as in Ethiopia), often working with partners to support the relationship with the MoE, which is considered increasingly vital in contexts of protracted displacement in line with the Global Compact on Refugees.

Partly to facilitate linkages with national government line ministries, coordination between UNHCR and UNICEF has increased since the 1990s, when an MoU was first developed to highlight the agencies' shared mandates to support national governments to ensure the well-being of children. A further addendum and joint workplan was published in 2010, emphasising the need for 'predictability of partnership' between the two agencies (Dryden-Peterson, 2011). UNHCR's 2012–16 Education Strategy, and its ongoing strategy development, highlight coordination with UNICEF, specifically the intent to draw on their technical expertise and relationships with national ministries of education. There is an indicator for tracking the number of jointly developed UNHCR-UNICEF action plans, but the specific goal of the plans is unclear. UNHCR and UNICEF have also developed a Letter of Understanding template that can be adapted to particular country or regional contexts. In 2018 a renewed MoU was signed between the two agencies, highlighting the potential contribution of UNICEF to the CRRF. In addition, in 2016, UNHCR signed an MoU with the GPE in order to strengthen engagement by UNHCR and partners in development-oriented LEGs to facilitate linkages with national government actors and enhance collaboration and coordination across the humanitarian–development nexus.

The Refugee Coordination Model (RCM) elaborated on in Box 5 is a standardised approach to refugee response coordination designed to ensure inclusiveness, predictability and transparency, as well as clear lines of accountability. While called a 'model', the guidance states that coordination is a means to an end, and a contextual approach should be taken to design the refugee coordination approach in any given situation. The RCM should 'contract or expand' depending on the scale and complexity of the context (UNHCR, 2014: 2). Some key elements of the RCM are summarised in Box 5.

Box 5 Refugee Coordination Model

- Clear responsibilities and mandate: Reaffirms states' primary responsibility to protect refugees, and the High Commissioner's mandate for international refugee protection and for supporting host governments with refugee response leadership and coordination.
- Builds on national capacity and refugee resources: Affirms that coordination of the refugee response is determined by the capacity and approaches of the host government and builds on the resources of refugees and host communities.
- Predictability and inclusiveness: Makes UNHCR's approach to coordination more predictable, inclusive and partner-friendly, to ensure that refugees receive the assistance and protection they need throughout the duration of the refugee response.
- Alignment with the cluster approach: Aligns UNHCR practice with the Transformative Agenda in the key areas of leadership, coordination and accountability.
- Resilience and durable solutions: Focuses on solutions and resilience and greater collaboration with development actors.

Source: Adapted from UNHCR Emergency Handbook: Refugee Coordination Model (<https://emergency.unhcr.org/entry/167183>)

The RCM is intended to coordinate a collective effort, a platform for all partners – including the government, other UN agencies, national and international NGOs – to participate in and respond to refugee situations. The UNHCR Refugee Coordinator – often the UNHCR Representative or a Deputy or Assistant Representative – leads and coordinates a multi-sector response, overseeing a Multi-Sector Operations Team made up of UNHCR staff and partners who work to facilitate needs assessments, planning, monitoring, reporting and information management across all sectors. A key feature of the RCM is a Refugee Response

Plan (RRP), a comprehensive inter-agency plan for responding to refugee emergencies. RRP's are initiated when the scale of a refugee crisis requires a formal coordinated inter-agency response plan.

5.3 Development coordination

Global coordination for the SDG 4 agenda is led by UNESCO, with the GPE playing a major role in supporting countries with their planning and financing of education. Development coordination at the country level is typically handled by a multi-partner collaborative forum often called a Local Education Group (LEG), although alternative names are used in-country, such as Education Sector Development Committee, Joint Education Sector Working Group, Education Technical Working Group, and Education Sector Plan Consortium.

UNESCO coordinates the implementation of the SDG 4 agenda, based on the Framework for Action, in partnership with key stakeholders and guided by a Steering Committee made up of representatives of Member States, co-convening agencies (UNESCO, UNICEF UNDP, UNHCR, UNFPA and UN Women, the World Bank and ILO), GPE, NGOs, teacher organisations, OECD and regional organisations (UNESCO, 2015). More specifically, UNESCO's International Institute of Education Planning provides strategic support and guidance to countries as they review education sector and national development plans to ensure alignment with SDG 4 and support for national coordination mechanism(s), ensuring they are linked to the cross-sectoral SDG-related mechanisms being set up in many countries. This presents an opportunity for stakeholders leading coordination mechanisms to engage government and partners in ensuring that crisis-affected children and youth are accounted for in the development, implementation and financing of national education sector plans. Doing so will help to ensure complementarity and alignment across the humanitarian–development nexus through coordinated planning and the identification of collective outcomes.

Providing more direct country support, GPE is both a global education fund and a multi-stakeholder partnership focused on education in

developing countries. Its mission is to ‘mobilize global and national efforts to contribute to the achievement of equitable, quality education and learning for all, through inclusive partnership, a focus on effective and efficient education systems and increased financing’ (GPE Strategic Plan, 2018). GPE's theory of change is that lasting improvement in equity and learning are delivered by strengthening whole education systems through partnership, with initiatives at individual country level supported by global actions (GPE Strategic Plan, 2018). That includes countries affected by fragility and conflict, which make up 48% of all GPE developing countries partners (GPE, 2018). Indeed, in its most recent strategic plan for the years 2016–2020, GPE has strongly prioritised support for countries affected by fragility and conflict.

Several of GPE's core principles, which underlie all aspects of their work, speak to coordinated planning and response through a focus on harmonisation and alignment, mutual accountability, transparency and partnership:

- Education as a public good, a human right and an enabler of other rights. It is essential for peace, tolerance, human fulfilment and sustainable development.
- Focusing our resources on securing learning, equity and inclusion for the most marginalised children and youth, including those affected by fragility and conflict.
- Achieving gender equality.
- Enabling inclusive, evidence-based policy dialogue that engages national governments, donors, civil society, teachers, philanthropy and the private sector.
- Providing support that promotes country ownership and nationally identified priorities and is linked to country performance in achieving improved equity and learning.
- Improving development effectiveness through harmonisation and aligning aid to country systems.
- Promoting mutual accountability and transparency across the partnership.
- Acting on our belief that inclusive partnership is the most effective means of achieving development results.

GPE's initial grants to developing country partners fund education sector planning processes. While developing country governments typically take the lead in planning and are accountable for delivery, GPE enables needs analysis, works to strengthen technical capacity, and brings in the expertise and resources of others. One example of how GPE works to strengthen technical capacity and bring expertise into country-level coordination structures can be seen in its recent MoU with UNHCR, which aims to strengthen collaboration on refugee education (see Box 6). Moreover, in support of their principle of mutual accountability and focus on building a stronger partnership, GPE actively supports the participation of civil society, the private sector and teacher organisations in local-level coordination groups and enables planning processes to be informed by research and shared best practices (GPE Strategic Plan). The *GPE's Operational framework for effective support in fragile and conflict-affected states* (GPE, 2013) sets forth GPE's policy of engagement in fragile and conflict-affected states, including adaptations of the Global Partnership's principles on country

ownership to account for limited government capacity or political will.

GPE's country-level operational model seeks to strengthen education systems through partnership, fostering an inclusive and transparent dialogue on a country's education policies, and supporting governments in developing, implementing, monitoring and evaluating national education sector plans.¹⁵ GPE recommends an LEG as a country-level operational model, which generally consists of the national government (MoE and other representatives of government, e.g. ministries of finance, higher education, civil service, women and children, health, etc.) and development partners, including financing partners, bilateral and multilateral agencies, teacher unions, education implementation partners (private or NGOs), religious organisations, the private sector and civil society organisations (GPE Country Level Process Guide, 2017).¹⁶

National ownership and government leadership/chair of the LEG is normative (GPE, 2016b; 2017a; 2017b). While the composition (see Figure 2), title and working arrangements of LEGs can vary, they have become a common

Box 6 Global Partnership for Education's Memorandum of Understanding with the UN Refugee Agency

GPE's 2016 MoU with UNHCR aims to enhance their collaboration and strengthen their respective work on refugee education. This makes explicit GPE's function to enable coordinated education planning and response across the nexus. The MoU includes the following activities, among others:

- Strengthened engagement in local education groups by UNHCR and education partners working on refugee education
- Focused work with national education partners on the inclusion of refugees in national and subnational education policies, sector plans and budgets
- Provision of technical advice to national partners in the design and implementation of programmes to address key challenges to meeting the educational needs of refugees
- Leveraging of development partners for programming and funds to benefit refugees in protracted settings and/or where enhancement of national systems is required to absorb refugees
- Targeted support to address critical gaps in refugee education service provision, including education for girls and adolescents, quality and learning achievement
- Joint advocacy with national and global partners on the importance of quality education for refugees
- Ensuring availability of education statistics related to refugees and IDPs.

15 A local education group is not intended to be a separate group established for GPE purposes (GPE, 2016a).

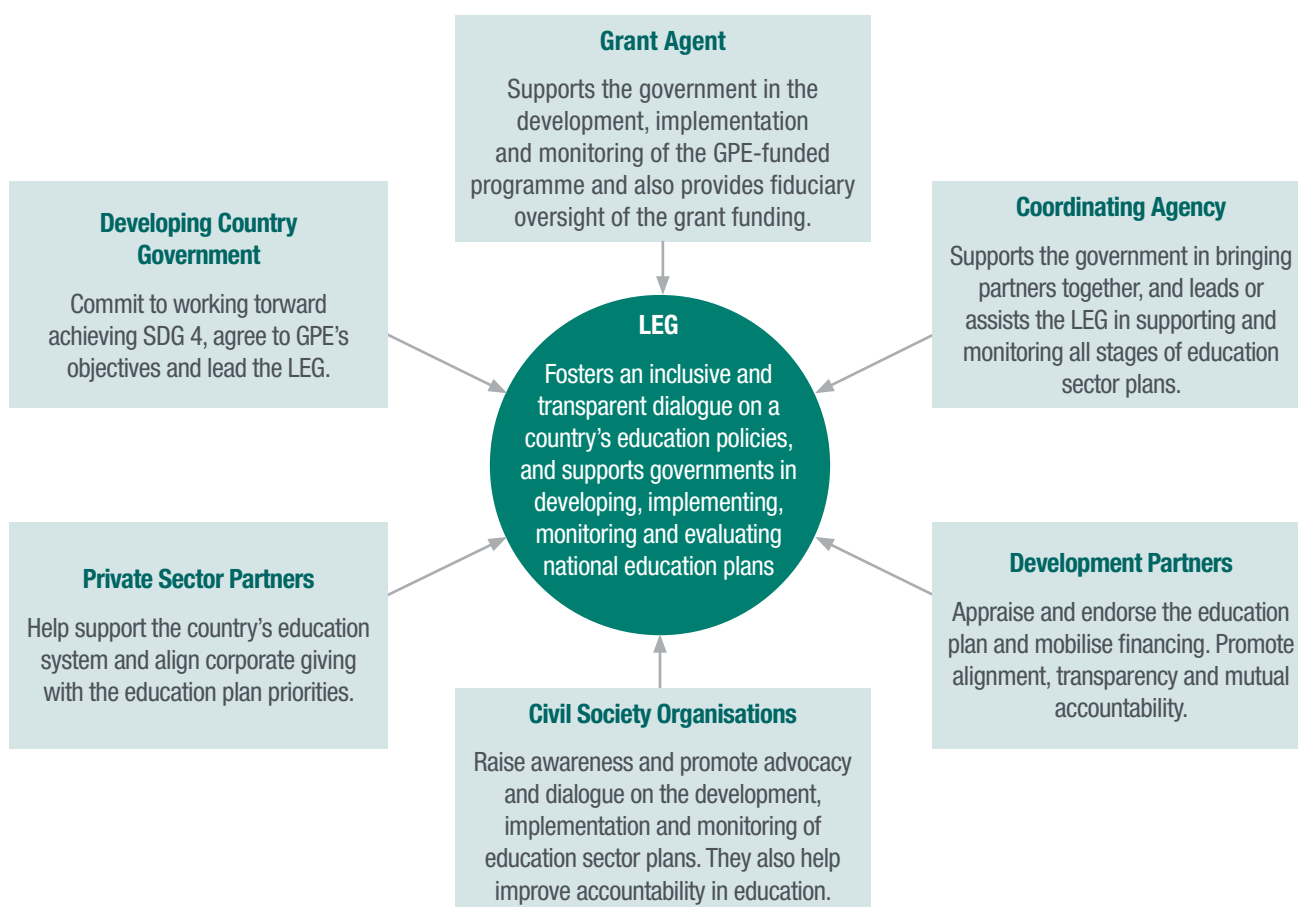
16 Education Clusters and EiE Working Groups can sometimes be part of LEGs.

feature of emergency response, a space for dialogue around education sector plans, a bridge between international actors and local communities, and an increasingly valued component of effective emergency responses (GEC, 2018; GPE, 2016a; Nicolai et al., 2016: 16). In most countries, the minister of education is the chair of the LEG and determines governance and leadership arrangements (Ruddle et al., 2018).

A coordinating agency actively supports the government in coordinating the LEG activities to reduce transaction costs for government. However, the model of national ownership and government leadership does not always work in crisis-affected contexts; a recent examination of GPE's country-level operational model found that, when the government's capacity to lead the LEG is weak, ineffective or non-existent, other key actors sometimes take over grant application, management or coordination responsibilities from the government (Ruddle et al., 2018).

Within fragile and conflict-affected states, where an organisation has acted as the lead for education coordination for some time, the LEG and developing country partners might defer to that organisation to become coordinating agency and take on additional responsibilities to support the LEG. While this situation was highlighted as a positive achievement in several countries during recent research (Ruddle et al., 2018), the danger of low government involvement is that it effectively removes the government from engagement in the sector planning and implementation processes. As a result, weak ownership at government level can lead to a lack of alignment of GPE processes with national education objectives and compromise the sustainability of donor harmonisation, which requires the government to be in the driving seat. It can also create a perception that a LEG is a donor or development partner-led instrument (GPE, 2015c: 29–32).

Figure 2 Composition of Local Education Groups



Source: Elaboration based on GPE, 2017b

5.4 Mixed, regional and hybrid

In some situations, the refugee approach, the development approach or the cluster approach is used to structure coordinated planning and response, and the shape coordination takes will be contextually defined, but the roles, responsibilities and mandates of the international actors engaged are relatively clear. However, in many complex emergencies, the coordination approach used is less easy to delineate. Multiple key informants referenced these contexts as particularly challenging for coordinated planning and response.

A ‘mixed situation’ is one where a Humanitarian Coordinator has been appointed to lead an internal displacement or other emergency response and a UNHCR-led refugee operation is also activated (UNHCR and OCHA, 2014). Mixed situations can currently be found in DRC, northern Iraq, Yemen and South Sudan, for example. Each mixed situation is unique; some countries may have an emergency where the refugee and IDP communities are not in the same geographic location, while in others these two populations may be co-located in one part of the country. Global guidance states that a refugee response will be led by the UNHCR Representative and the response for IDPs and other populations is led by a Humanitarian Coordinator, with the two responses existing side by side ‘in full respect of the mandate of both organizations’ (UNHCR and OCHA, 2014). The *Joint UNHCR–OCHA note on mixed situations* (UNHCR and OCHA, 2014) clarifies roles, leadership and provides guidance on ensuring complementarity and efficient delivery of services to all those in need in any given context.

At the inter-sector level, where the country has a Humanitarian Response Plan (HRP), assistance to refugees is usually described and budgeted in a separate Refugee Response Plan Chapter developed by UNHCR, and for which UNHCR is accountable (UNHCR, 2014). While there may be cross-referencing to other parts of the HRP, the response for refugees and planned impact ‘will always need to be clearly distinguishable’ (UNHCR, 2014: 7). How these mixed situations play out in practice in the education sector varies widely from context to

context. In some contexts, there might be one Coordinator for two separate coordination groups – the Education Cluster and Education Sector (as in northern Iraq) – while in other operations the structures will remain distinct, with separate coordination staff.

There are also mixed cases where an Education Cluster or UNHCR-led refugee operation is leading coordinated education planning and response related to a crisis within one section or pocket of a country in which a LEG is also operating. In such cases, a parallel Education Cluster or Sector exists at the same time as a LEG. Ideally, representatives from one or both entities share information with the other at coordination meetings and are involved in joint planning and response; however, this is not standardised and duplication is common. There is currently a pilot coordination process underway in Chad that is attempting to avoid duplication in fragile contexts with multiple crises through the establishment of one coordination mechanism with both humanitarian and development actors operating within it. Another example is the development of a collective plan across coordination approaches within the Refugee and Host Population Empowerment (ReHoPE) initiative in Uganda (see Box 7).

Other types of crises can add to the complexity of coordination. Regional responses may be necessary due to a mega disaster, such as a tsunami or public health emergency like Ebola, or involve the movement of groups of people to several countries in a region, such as Somali refugees in the Horn of Africa, Syrian refugees in the Middle East and Venezuelan migrants in Latin America. The added complexity of multiple national coordination systems and the need to coordinate across borders means that these contexts tend to have unique challenges when it comes to ensuring coordinated planning and response. Other situations may not be mixed, but neither a ‘typical’ cluster nor refugee approach is applied because social, political or stakeholder dynamics mean that the coordination approach is a hybrid unique to the context. Here, in Boxes 8 and 9, we highlight two examples that demonstrate how the characteristics of crisis contexts result in unique coordinated planning and response structures and processes.

Box 7 Comprehensive Refugee Response Framework

This policy shift has meant that the education sector within refugee response is central to – even shaping – the new approach to coordinated planning and response in refugee operations: the CRRF. The CRRF seeks to ensure greater integration of humanitarian and development actions, while safeguarding independent refugee and humanitarian action. While the RRP provides a plan for immediate assistance, the CRRF is intended to have a longer-term outlook and work towards sustainable solutions. There is a ‘learning by doing’ approach to the CRRF currently, with roll-out countries taking the spirit of the approach and shaping their national (or regional) processes to suit the specific needs and context. Education is an important component of the CRRF and is recognised for its role in providing immediate protection as refugees arrive in a host country, as well as the longer-term contribution it can make to individual resilience, self-reliance and social cohesion. In Uganda, for example, education is at the centre of the CRRF, and the education sector is perceived to be a pioneer sector, with the MoE leading on the development of a Refugee Education Plan in an inclusive manner, with support from ECW and other key partners.

While it is commendable that these new processes and tools for coordinated analysis and planning should focus on alignment across the nexus and preparedness throughout the programme cycle, there is a fundamental question of how to formally connect these different processes to reduce duplication and enhance alignment of responses and budgets across coordination structures and stakeholders in an open and transparent manner. Strong government leadership across coordination approaches and mechanisms, with formal agreements in place between the different actors leading coordination mechanisms, could contribute to better synergies, complementarities and sequencing (Nicolai et al., 2015).

The implementation of the CRRF in Uganda

Throughout 2016 and 2017 Uganda faced three parallel refugee emergencies: from South Sudan, DRC and Burundi. As of October 2017, Uganda was hosting more than 1.3 million refugees, with estimates suggesting this would rise to 1.8 million by the end of 2018 (Government of Uganda, 2018). Daily arrivals of refugees for more than a year have created a ‘perpetual cycle of emergency response to urgent needs as well as a growing protracted refugee population’ (Government of Uganda, 2018). The refugee response in Uganda is not camp-based, but follows a settlement-based approach, meaning there is a high degree of integration of refugees within host communities, and refugees have freedom of movement and employment.

Uganda is one of the first countries globally to roll out the CRRF, and indeed was one of the countries that inspired the New York Declaration that led to the design of the CRRF approach. Inter-sectoral efforts to address the refugee crisis in Uganda in a coherent way are framed by the road map for the implementation of the CRRF in Uganda from 2018 to 2020, a government document developed collaboratively with UNHCR and other key humanitarian and development partners. Education is highlighted as a focus area in the CRRF and it is recognised as one of six sectors of work that contributes to risk mitigation and is a priority in the short and medium term for both refugees and host communities (Government of Uganda, 2018). A key component in the application of the CRRF in Uganda is The Refugee and Host Population Empowerment (ReHoPE) initiative, which has been explicitly designed as a collective humanitarian and development response to support the Government’s integration of refugees into the National Development Plan (ReHoPE, 2017).

Box 8 Education coordination during the Ebola crisis in Liberia

The response to the Ebola crisis in West Africa, labelled a health rather than a humanitarian emergency, was initially led by the World Health Organization (WHO). The UN Secretary-General then appointed a Special Envoy and established the UN Mission for Ebola Emergency Response (UNMEER) to coordinate UN action across the emergency when it was recognised that WHO had ‘neither the capacity nor the ability to manage a crisis of this scale’ (DuBois et al., 2015). Because the crisis was considered a health crisis, the cluster approach was applied inconsistently across the affected countries – in Sierra Leone an official Education Cluster was never activated, and in Liberia it was only activated in September 2014, some months into the response. In the absence of a Liberia-focused HRP or equivalent inter-sectoral strategic plan, the Education Cluster – led by the MoE with support from UNICEF and Save the Children – developed its own Education Cluster Strategy (Liberia Education Cluster, 2015). This strategy was one of the first Education Cluster Strategies developed globally and was a model that informed the GEC’s subsequent Guide and Toolkit on Strategy Development (GEC, 2018); an example of a challenging coordination context leading to an innovative approach that has resulted in useful lessons that are applicable in contexts. The Liberia Education Cluster Strategy noted the temporary nature of the cluster but established a plan for transition that would see the cluster morph into an EiE Working Group under the Education Sector Development Committee – the sector-wide coordination entity, which could then be reactivated as a cluster in the event of a future emergency.

Box 9 Education coordination during the Rohingya crisis

Beginning in August 2017, targeted violence against Rohingya communities in Myanmar has forced over 650,000 people to flee their homes and has resulted in one of the fastest-growing refugee crises in the world. The humanitarian response in Cox’s Bazar, Bangladesh, in response to the influx of mostly women and children from Myanmar is hugely complex and still evolving. The response is led and coordinated by the Government of Bangladesh, which operates through a National Task Force, chaired by the Ministry of Foreign Affairs and includes 22 Ministries and entities. The Government of Bangladesh does not recognise the Rohingya as refugees and, for various historical and political reasons, it has mandated IOM as its lead international partner for the response, rather than UNHCR, although UNHCR’s role has expanded since the August 2017 influxes (Sullivan, 2018). For humanitarian agencies, therefore, there is a hybrid coordination system involving UNHCR and IOM, as well as the Resident Coordinator (JRP, 2018). Within the education sector, an Education Sector coordination group has been established in Cox’s Bazar, staffed by Education Cluster Coordinators and Information Managers hired by UNICEF and Save the Children. UNHCR Chairs the Education Sector’s Strategic Advisory Group. The government is official co-lead of the Sector, though the engagement as co-lead at the Cox’s Bazar level is very limited, as the National Task Force at the Dhaka level has been active in discussions around the Learning Competency Curriculum Framework and Approach. Also, the head of the Refugee Relief and Repatriation Commission is engaged at the Cox’s Bazar level. At the same time, the Government of Bangladesh is leading a national education plan to strengthen the country’s education system and chairs the Education Local Consultation Group.

5.5 Overlaps and gaps

The literature review and key informant interviews revealed that the mandates and roles for leading coordinated planning and response are clear across the cluster, refugee and development approaches, and that each is taking steps to clarify, on paper at least, actions for better coordination across the nexus. However, key informant interviews also identified gaps within and across approaches to coordinated education planning and response, as summarised below.

The Education Cluster has a clear mandate for coordinated education planning and response in all humanitarian crises, except refugee crises, as these remain the mandate of UNHCR.

It also has established linkages within, and benefits from the technical expertise of, the humanitarian system, and has developed strong capacity for first response. When working well, Education Clusters at country level can support effective coordination in the education sector by providing a forum for key stakeholders to come together to collectively agree on priority needs and a collaborative approach to the emergency response using common tools. Moreover, the Education Cluster's Strategic Plan revision explicitly addresses key actions for Education Clusters to support links across the nexus. This includes supporting government leadership, aligning humanitarian strategic objectives to the respective education sector strategies and Integrating the Education Cluster into education sector strategies, formal integration being a central theme of the LEG. However, there are gaps within the humanitarian approach, including the extent to which Education Clusters are truly led or co-led by governments and education authorities.

Similarly, at the core of UNHCR's approach to coordinated planning and response is its mandate: the protection and assistance of a well-defined group of the crisis-affected, vulnerable population, with responsibility for supporting education for refugee children and youth while they remain in exile. This has necessitated a focus on continuity of education provision from the acute emergency response phase through to development, without the concerns around 'mission creep' or loss of

foundational principles that some humanitarian actors are faced with when considering work across the nexus. Moreover, UNHCR's efforts to ensure that structures are accountable to and inclusive of refugees themselves is a comparative strength, as is its technical expertise on refugee law, rights services and protection. At the same time, issues include the lack of dedicated staff within UNHCR for sector coordination and the fact that staff who lead refugee education working groups are not specifically trained in coordination, as many Education Cluster Coordinators are. While UNHCR has improved education technical capacity, its low numbers of specialist staff remain a gap that has an operational impact on refugee coordination.

The mandate of a LEG is to serve as a platform for coordinated planning and response to support the national education sector plan. GPE's new policies, frameworks and guidance to incorporate crisis-affected and refugee contexts into long-term development processes promote a foundation for better coordination and dialogue across development and humanitarian actors. Moreover, by working with governments and national partners to develop and implement national education plans with preparedness mainstreamed, LEGs are increasingly focused on building resilient national education systems. A comparative strength of GPE and LEGs cited by key informants is their access to and relationship with governments, funding officials and decision-makers across partner organisations at the highest levels. These relationships are beginning to be leveraged to move forward a collective agenda that focuses on interventions that accompany children throughout a country's progress from preparedness through to recovery, recognising that securing education services across the nexus is critical to realising sustainable development. At the same time, in crisis-affected contexts, there is much fragmentation and lack of government ownership on the ground, which negatively impacts coordination and sustainability.

Moreover, in complex emergencies involving refugees and IDPs, there are particular challenges and overlap between mandates for coordination. In such contexts, for example where there is a UNHCR refugee operation underway and

the cluster system is also activated, UNHCR retains the mandate for refugee response coordination. In many such countries, there is also an LEG involved in coordinated planning and response in line to a previously established education sector plan. How coordination bodies interact with each other is, as detailed above, determined on a case-by-case basis. There is also a lack of clarity and predictability

around roles and responsibilities, which leads to confusion and ineffective coordination in mixed contexts. Moreover, there is a high potential for duplication, overlap and conflict, especially in contexts which lack national leadership and capacity (see Table 1) for a summary of the comparative advantages of education coordination approaches in emergencies and protracted crises.

Table 1 Comparative advantages of education coordination approaches in emergencies and protracted crises

Mandate and role	Leadership	Membership	Strengths	Weaknesses
Humanitarian cluster coordination				
The IASC Cluster Approach strengthens system-wide preparedness and coordination of technical capacity to respond predictably to humanitarian emergencies and provide clear leadership and accountability in the main areas of humanitarian response	The GEC is led by UNICEF and Save the Children At the country level, leadership is context specific. In some cases, Save the Children and UNICEF co-lead at the national level, while in other cases just one co-lead agency leads. In many contexts the national government leads with support from co-lead agencies and other cluster partners	UN agencies, international and local NGOs	Linkages within and technical expertise of the humanitarian system Capacity for first response Strong standardised tools that present a common framework for coordinated planning and response	Processes for local civil society engagement and capacity development Funding Planning and response in protracted crises when the government is weak or an unwilling partner
The Education Cluster prepares and deploys resources in support of national education coordination mechanisms				
Refugee coordination				
The RCM is a standardised approach to refugee response coordination designed to ensure inclusiveness, predictability and transparency as well as clear lines of accountability	The UNHCR Refugee Coordinator leads and coordinates, overseeing a Multi-Sector Operations Team made up of UNHCR staff and partners who facilitate needs assessments, planning, monitoring, reporting and information management	The government, other UN agencies, national and international NGOs	Mandate across the nexus through to durable solutions Technical expertise on refugee law, rights, services and protection Inclusive coordination structures, including with affected populations	Capacity Funding Planning and response in protracted crises when the government is weak or an unwilling partner

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Table 1 cntd

Mandate and role	Leadership	Membership	Strengths	Weaknesses
Development coordination				
To mobilise global and national efforts to contribute to the achievement of equitable, quality education and learning for all, through inclusive partnership, a focus on effective and efficient education systems and increased financing	Global level: GPE Country level: LEGs	National government and development partners, including financing partners, bilateral and multilateral agencies, teacher unions, education implementation partners (private or NGOs), religious organisations, the private sector and civil society organisations	High-level access to and relationship with governments, funding officials and decision-makers across partner organisations Interventions that span preparedness through to recovery	Lack of technical expertise in fragile and humanitarian contexts Lack of standards specific to fragile and humanitarian contexts Lack of a strategy for capacity development in fragile contexts Planning and response in protracted crises when the government is weak or an unwilling partner
Mixed				
There is an overlap of mandates for coordination and roles are determined on a case by case basis	IASC Cluster and/or UNHCR Sectors and/or Local Education Groups			Lack of clarity and predictability around roles and responsibilities Challenge of who steps into the gap where there is a lack of national leadership and capacity, potential for duplication, overlap and conflict, etc.

6 How: Ways of working

The next element in our conceptual framework, ways of working, looks at the processes, tools and factors that enable and constrain coordinated education planning and response. It takes as its central question the research framework's Q2: *How can coordination of education planning and response be made more effective?*

In this section, we begin by highlighting critical processes, guidance and tools utilised within the coordination structures to enable coordinated planning and response across the nexus, as well as gaps identified through key informant interviews. We then share findings, triangulated across the literature and key informant interviews, relating to factors that support coordinated planning and response as well as obstacles or constraints that undermine it across contexts, using the Faerman Factors of predisposition, incentives, leadership and equity to frame this relating to the success or failure of inter-organisational coordinated efforts.

6.1 Critical processes, guidance and tools

This research highlights critical processes (see Table 2), guidance and tools for coordinated education planning and response across the humanitarian programme cycle (HPC).¹⁷ The HPC provides a framework for coordinated action to prepare for, manage and deliver humanitarian response. Designed to shift humanitarian organisations away from a focus on individual corporate priorities, mandates and fundraising concerns towards an approach that allows for joint ownership of evidence-based

plans for collective response: 'Organizations are required to act with the collective in mind, to collaborate together, share information and hold each other accountable for working towards better decisions and improved outcomes at the field level' (IASC, 2015b: 1).

The HPC consists of five elements:

1. Needs assessment and analysis
2. Strategic response planning
3. Resource mobilisation
4. Implementation and monitoring
5. Operational review and evaluation

As depicted in Figure 3, the inner ring of the HPC includes two 'enablers': coordination and information management. The centre of the HPC depicts the affected people, emphasising that the process is intended to enhance accountability. In line with theories common in organisation science, the HPC articulates coordination as a process where the outcomes of one part of the process set the stage for the next steps (Faerman et al., 2001; Ring and Van de Ven, 1994).

While not an extensive survey, during key informant interviews and across the literature, the following processes and tools were highlighted as enabling coordinated education planning and response. Many of these processes and tools do not fall neatly within one element of the programme cycle but span multiple elements of the programme cycle. The processes, guidance and tools detailed below, and gaps related to the alignment of these processes and tools across coordination approaches, will be investigated further in the country-based case study research.

¹⁷ The HPC is a planning process applied to IDPs and non-refugee contexts for the effective assessment, planning and response of inter-sectoral/inter-agency responses, and is part of the IASC protocols (latest version 2015) for the IASC Cluster Approach. The operational programme cycle for UNHCR and refugee responses is very similar and contains more or less the same steps (<https://emergency.unhcr.org/entry/266466/unhcr-operations-management-cycle>). Therefore, while not 'universal', the HPC is illustrative of programme cycles used across humanitarian contexts.

Table 2 Key processes and tools for education coordination across programme cycle elements

Processes	Guidance and tools
Needs assessment and analysis	
Education sector needs assessments/ Joint needs assessments	Needs Assessment Guide and Package (GEC, 2016). IASC Education Cluster. The new GEC Guide to Education in Emergencies Needs Assessment is an accompaniment to and provides a theoretical foundation for the Needs Assessment Package contained within the Education Cluster Toolkit. The purpose of the Guide and Needs Assessment Package is to provide practical, relevant guidance and resources to EiE coordination staff conducting, coordinating and participating in secondary data reviews and joint, harmonised and/or multi-sector needs assessments.
Multi-sector needs assessments	The Joint Education Needs Assessment Toolkit (GEC, 2010a) The Short Guide to Rapid Joint Education Needs Assessments (GEC, 2010b) Needs Assessment Handbook (UNHCR, 2017b) The Multi-Cluster/Sector Initial Rapid Assessment (MIRA) is a joint needs assessment tool that can be used in sudden onset emergencies, including IASC System-Wide Level 3 Emergency Responses (L3 Responses). It is a precursor to cluster/sectoral needs assessments and provides a process for collecting and analysing information on affected people and their needs to inform strategic response planning (IASC, 2015b) A Post-Disaster Needs Assessment and Recovery Framework (PDNA/RF) and Guidelines (VOLUME B) on Education. The PDNA/RF comprise an approach to harmonise the assessment, analysis and prioritisation of damages, losses and needs by a range of stakeholders (UN agencies and programmes, the World Bank, donors, NGOs) in support of the national government.
Strategic response planning	
SDG 4 national planning/Education 2030 Framework for Action	IASC Education Cluster Strategy Package – Cluster Strategy Guidance and Tools The GEC’s Guide to Developing Education Cluster Strategies
GEC’s Development of Education Cluster Strategies	UNHCR Contingency Plan
UNHCR’s Refugee Response Framework and CRRF processes	Refugee Response Plan UNHCR’s Emergency Handbook, Refugee Coordination Model
GPE’s Education Sector Analysis, Planning and Appraisal processes	UNHCR’s Emergency Handbook, Refugee Response Plan, including RRP template and Guidance Note GPE’s Education Sector Plan Preparation Guidelines and Transitional Education Plan Guidelines
Resource mobilisation	
Education Cannot Wait’s (ECW) process for resource mobilisation through its Multi-Year Resilience window	ECW Multi-Year Resilience Programme Guidance ECW Multi-Year standard operating procedures for in-country coordination and communication Advocacy Guidance: A Note for Education Cluster Coordinators (IASC EC)
GEC’s Development of Education Cluster Strategies	Guide to Developing Cluster Strategies, IASC Education Cluster
UNHCR’s Refugee Response Framework and CRRF processes	
GPE’s Education Sector Analysis, Planning and Appraisal processes	

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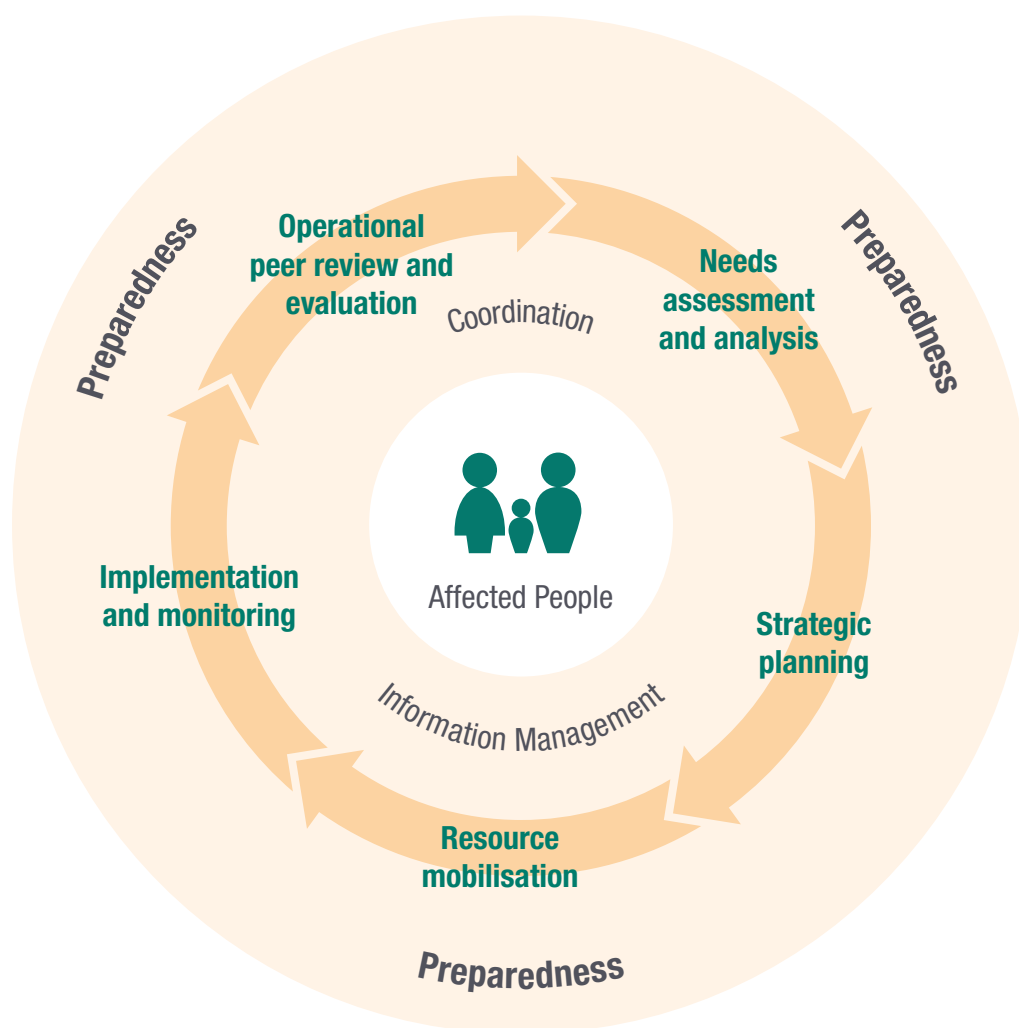
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Processes	Guidance and tools
Implementation and monitoring	
GEC's Development of Education Cluster Strategies	Guide to Developing Cluster Strategies, IASC Education Cluster (including chapter on <i>Developing Monitoring Tools and Plan</i>)
UNHCR's Refugee Response Framework and CRRF processes	IASC Education Cluster Strategy Package – Cluster Strategy Guidance and Tools The GEC's Guide to Developing Education Cluster Strategies
GPE's Education Sector Analysis, Planning and Appraisal processes	UNHCR Contingency Plan INEE Education Sector Contingency Planning (http://www.ineesite.org/en/minimum-standards/contingency-planning) Refugee Response Plan UNHCR's Emergency Handbook, Refugee Coordination Model UNHCR's Emergency Handbook, Refugee Response Plan, including RRP template and Guidance Note GPE's Education Sector Plan Preparation Guidelines and Transitional Education Plan Guidelines INEE Minimum Standards and Contextualisation Package Education in Emergencies Harmonized Training Package (INEE and GEC, 2012) The EiE harmonised training package combines training materials from the original INEE Minimum Standards, UNESCO International Institute for Education Planning (IIEP) and GEC's Front Line Responders training packages.
Operational review and evaluation	
–	INEE Minimum Standards and Contextualisation Package
Preparedness	
–	The Preparedness Package for Refugee Emergencies (PPRE) sets standards for preparing for refugee emergencies. It guides users while they implement <u>risk analysis</u> , and <u>minimum</u> and <u>advanced</u> preparedness actions, including scenario-based contingency planning. Education in Emergencies Harmonized Training Package – INEE and the GEC (2012) The EiE harmonised training package combines training materials from the original INEE Minimum Standards, UNESCO IIEP and the Cluster's Front Line Responders training packages. INEE Minimum Standards and Contextualisation Package Integrating conflict and disaster risk reduction into education sector planning: Guidance Notes for Educational Planners – UNESCO IIEP (GEC, 2011) Developed by UNESCO IIEP and UNICEF WCARO, on behalf of the GEC, these Guidance Notes aim to support MoE officials to integrate C/DRR into their planning processes.
Capacity Development	
–	Education in Emergencies Harmonized Training Package – INEE and the GEC (2012) The EiE harmonised training package combines training materials from the original INEE Minimum Standards, UNESCO IIEP and the Cluster's Front Line Responders training packages. GEC CTT

A tool that cuts across the HPC is the INEE Minimum Standards, with contextualisation of the standards a key process for coordinated planning and response. The INEE Minimum Standards Handbook is the only global tool that articulates the minimum level of educational quality and access in emergencies through to recovery. The aims of the Handbook include ensuring a common language for accountability and coordination in the provision of EiE through to recovery, as well as enhancing the quality of educational preparedness, response and recovery. The Minimum Standards are most effective when they are contextualised to each individual setting. Since every context is different, the key actions in the handbook must be adapted to each specific local situation.

It is important to highlight that, while multiple key informants identified capacity building as a critical process for coordinated planning and response across the nexus, this is not part of the HPC. They also noted that the education community has the tools but does not yet have a comprehensive and coordinated strategy to use them to build capacity, especially national and local capacity. At present, the education community also lacks experts with knowledge and skills across development and humanitarian planning and response. One key informant suggested that the education community needs to come together across coordination approaches ‘to build a new cadre of experts who understand all the modalities and processes well and can help to bring the pieces together’.

Figure 3 The humanitarian programme cycle



Source: author's elaboration based on IASC 2015b

6.1.1 Needs assessment and analysis

Needs assessment and analysis, as well as context analysis, presents a safe space to coordinate planning because no one is implementing yet, so data is shared and accessible and there is not yet competition for funding or roles.

However, given that there are multiple assessment tools that have been developed by individual agencies (see Box 10), coordination structures and donors, it is a challenge to harmonise and apply these tools in practice. Multiple actors assessing and analysing the situation with different tools at the same time is not only an issue of duplication and inefficiency, but also creates assessment fatigue on the part of affected populations.

At the same time, key informants identified a gap area as the mapping of coordination processes at the outset of a crisis, including key stakeholders *within* and *across* coordination approaches. Such a mapping tool and process are needed to support the identification of comparative advantages and transparently define roles and responsibilities within a coordination mechanism and across coordination mechanisms that exist in-country. Key informants also identified a gap in data collection and analysis, particularly in IDP contexts, and the fragmentation of data across coordination mechanisms. The inability of education stakeholders to get a comprehensive big picture of the situation negatively impacts

Box 10 Incentivising coordination through funding guidelines for needs assessments

ECW's Grantee Manual notes that proposals for needs assessments must include a 'clear plan to conduct the assessment, including a consultation plan of relevant stakeholders.' The guidelines state that ECW will not fund duplicative work; if needs assessments have already been carried out, ECW will only fund supplementary assessments that help to build a broader understanding of needs. The manual also notes that coordinating entities (e.g., education clusters, refugee coordination groups, Local Education Groups) will be consulted during the application process to confirm the proposal need and ensure complementarity and additionality.

coordinated education planning and response across humanitarian, refugee, development and hybrid approaches.

6.1.2 Strategic planning

A strong Education Sector Plan, anchored in SDG 4, should be the point of convergence for all education actors, across humanitarian and development contexts. This process is supported by the Education 2030 Framework for Action, which explicitly references the need for countries to develop education sector plans across the nexus: 'Education sector plans and policies should anticipate risks and include measures to respond to the educational needs of children and adults in crisis situations; they should also promote safety, resilience and social cohesion, with the aim of reducing the risks of conflict and natural disaster' (UNESCO, 2015: 9–10). At national level, ministries of education lead in the development of national education sector planning to reach the SDG 4 goal and targets, with UNESCO and partners providing support through coordinated policy advice, technical assistance, capacity development and monitoring of progress at global, regional and national levels (UNESCO, 2016; UNESCO, 2018a).

Several new processes for coordinated education planning and response are focused on strategic planning but have implications that reach beyond to resource mobilisation and implementation and monitoring. Beyond Education Sector Plans, this includes Transitional Education Plans, Education Cluster Strategies and UNHCR's Refugee Response Framework and Comprehensive Refugee Response Framework (see Box 11).

A key process guiding strategic planning across the nexus is interim or transitional education planning (TEP). TEPs are the basis for a coordinated approach to planning and response within LEGs that is designed to maintain progress towards longer-term education goals while allowing for a process that is realistic and sensitive to crisis-affected contexts. As such, TEPs are explicitly designed to provide a common framework to help governments align development and humanitarian partners in support of education. There have been 11 TEPs implemented with GPE support between 2012 and December 2017 (GPE, 2018).

Box 11 Linking humanitarian response and development in South Sudan

In South Sudan in 2016, the local education group began to develop a multi-year hybrid approach between an Education Sector Plan and a Transitional Education Plan. The first two years within the plan are focused on crisis-related priorities, including integrating conflict analysis and conflict mitigation elements and spanning the humanitarian–development nexus. The plan is also focused on systems building for long-term development, such as curriculum development.

Linkages across coordination approaches through TEP processes are being made in both directions. The TEP Guidelines, developed in 2016, guide the harmonisation of emergency or early recovery education activities within the cluster, and approach HRP with longer-term development priorities for the education sector. They guide LEGs to coordinate on a few priority education programmes over the span of three years while facilitating access to technical and financial support for development actors working within a LEG *and* humanitarian actors working through the Education Cluster. Moreover, the GEC’s *Strategic Plan Revision* (GEC, 2017) highlights that Education Clusters are integrating EiE and C/DRR into Education Sector Analysis and/or Plans/Transitional Education Plans.

A further relevant strategic planning process is Education Cluster Strategy development, which falls across the HPC. The process described in the *Guide to developing Education Cluster Strategies* links with the key steps in the HPC, using needs analysis to inform response planning, including plans for monitoring and evaluation, but also includes guidance on how to align with (and influence) other sectoral and inter-sectoral plans, tools to enhance accountability, and benchmarks for transition (GEC, 2018). Education Cluster Strategies are intended to facilitate planning among cluster partners on medium- to long-term objectives, capacity building and preparedness activities which are sometimes discouraged from yearly inter-sectoral Humanitarian Response Plans. Countries where strategies have already

been drafted, Yemen and Nepal (see Box 12) for example, include a strong focus on alignment and continuity with development plans and processes. The GEC has reformulated its capacity-building framework and core coordination and information management training materials to focus on strategy development as *the* key process that cluster staff should have the capacity to lead. The GEC’s elevation of cluster strategies as a critical process and product for coordinated, effective, timely and quality response is based on country-level experiences, with national strategies for Liberia, Yemen and Nepal shaping the guidance and accompanying tools (GEC, 2017).

Like the Education Cluster Strategy development process, the RRP process within the refugee coordination approach is significant because it was designed to bring stakeholders together to share analysis on the protection and solution needs and priorities of refugees, host communities and other persons of concern, and articulate ‘how and by whom’ the needs will be addressed. Common elements of RCM processes include:

- inclusive strategic planning
- partners (co)leading sectors with the possibility of using cluster capacity to deliver
- refugee appeals include requirements for partners.

Box 12 Developing the Nepal Education Cluster Strategy

In Nepal, the development of the Education Cluster Strategy was undertaken in a rapid onset scenario. It articulated the education response to the earthquakes in 2015 in more depth than was possible in the inter-sectoral Flash Appeal. The Nepal Education Cluster Strategy development was an opportunity for both humanitarian and development actors to consider issues of transition and links between the acute emergency response and longer-term reconstruction planning (Nepal Education Cluster, 2015). The Nepal Education Cluster Strategy was also used as an effective tool for resource mobilisation, and several donors in-country used the Strategy to inform their funding decisions.

Building on any existing national preparedness measures or contingency plans, RRP are developed in two stages – an Initial RRP within two weeks to guide immediate response, and a Consolidated Operational RRP which includes a more detailed strategy and implementation plan to guide all partners and agencies involved in the response (UNHCR, n.d.). Sector coordination co-leads work with partners to determine sector-specific objectives and key activities within RRP.

While the RRP is a stand-alone document, if an HRP has also been developed in a given crisis context, a summary of the RRP, including resource requirements, will be included in the

HRP as a separate chapter. In situations of a regional refugee crisis, a Regional RRP is developed, which is made up of the inter-agency plans from all the host countries, together with a regional overview of the context (UNHCR, n.d.).

6.1.3 Resource mobilisation

There are a whole range of resource mobilisation approaches used in humanitarian response and others used in the education sector. There are very few, however, specifically designed to address education needs in crisis contexts. Two main tools that do exist are via the ECW (see Box 13 and below) and GPE (see Box 14).

Box 13 Education Cannot Wait: incentivising coordinated education planning and response across the nexus

Education Cannot Wait (ECW), a new global fund for education in emergencies and protracted crises, was explicitly designed to address the obstacles that have prevented humanitarian and development actors from delivering quality education. ECW's broad mandate is to 'generate greater shared political, operational and financial commitment to meet the educational needs of millions of children and young people affected by crises, with a focus on more agile, connected and faster response across the humanitarian development nexus in order to support sustainable education systems' (ECW, 2018).

Box 14 Global Partnership for Education accelerated financing mechanism: a modality that supports coordinated planning and response across the nexus

Through its accelerated financing mechanism and Guidelines for accelerated support in emergency and early recovery situations, countries with an existing GPE allocation are able to draw down on up to 20% of this allocation within eight weeks to meet immediate needs when a crisis strikes. Through this mechanism, GPE can provide rapid assistance to countries that are: (1) eligible for Education Sector Plan implementation grants; (2) affected by a crisis for which a humanitarian appeal has been launched and published by OCHA, with education as a part of that appeal; and (3) able to demonstrate that GPE funds will be in addition to other resources (GPE, 2015b).

The use of funds is based on the Education Cluster needs assessment and agreed by the Local Education Group and the Education Cluster at country level. While accelerated support should be implemented within one year, an extension may be considered according to the nature of the activities and context. It is expected that by the end of the one-year implementation period, the application for the remaining 80% of the country's indicative allocation will have been submitted for longer-term development programming, thus promoting a link between shorter-term emergency response and longer-term development needs (GPE, 2015b).

The process to receive accelerated funding is designed to ensure that development and humanitarian actors work together in a way that helps strengthen the link between emergency response, recovery and development, and promotes improved coordination as well as coordinated decisions about efficient and best use of resources in crisis settings. Notably, this model is purported by GPE to have ensured rapid response, sustained financing and improved donor alignment and coordination in countries such as Central African Republic, DRC, Madagascar, Yemen and, more recently, Chad (GPE, 2015b).

While ECW is only one mechanism, and not the bulk of EiE financing, it is a useful process to review in terms of resource mobilisation through its Multi-Year Resilience window, as this was identified as critical for enabling more effective coordinated planning and response across the nexus. Notably, ECW's third objective is to improve joint planning and response. Working through established humanitarian coordination structures, ECW brings together host governments and all relevant partners amidst a crisis, including the Education Cluster, Refugee Coordination Mechanisms and Local Education Groups. By bringing together these actors from the outset, ECW-facilitated joint programming is intended to respond to immediate needs and address medium-term interventions, while facilitating ties to longer-term ESPs as well as development frameworks (ECW, 2018).

Comprising the bulk of ECW's assistance, the Multi-Year Resilience window facilitates joint humanitarian and development programming and financing that is designed to strengthen linkages across and collaboration between the nexus, linking with the HRP, the Refugee Resettlement Programme and the CRRF as well as Transitional Plans and Education Sector Plans. Initial joint programmes may have a duration of three to four years and are renewable.

6.1.4 Implementation and monitoring

While implementation is more typically organisational, monitoring can be usefully approached as part of coordination efforts to identify shortcomings in delivery and to improve accountability. For instance, the Periodic Monitoring Report (PMR), an internal management tool that provides in-depth data and analysis, can be produced to regularly examine whether sufficient progress is being made in reaching strategic as well as cluster objectives. It is mainly designed to aid in determining why an objective has been met and to provide evidence for taking decisions about the direction of the response. A complimentary product to the PMR tool is the humanitarian dashboard, which provides a graphical overview of needs and gaps (OCHA, 2019).

6.1.5 Operational peer review and evaluation

Across the programme cycle, the importance of review and reflection was identified as critical, particularly the opportunity to reflect on coordination, learn lessons and adapt and adjust for future efforts.

New quality standards guiding GPE's planning, implementation, monitoring and data capture include a focus on strengthening coordinated education planning and response at both country and global levels. This includes tracking indicators on transparency (*strengthened clarity of partners' roles, responsibilities and accountabilities in country processes*) and accountability (*results reports, evaluations and reviews published*). However, these standards do not yet account for tracking progress in fragile and conflict-affected environments; this is a challenge acknowledged by GPE, which is working to adapt its approach to ensure it is appropriate for such contexts. Moreover, one key informant noted that these new quality standards are highly complex and lead to increased transaction costs, so there is some question as to their potential usefulness in crisis contexts.

The utilisation of the processes, guidance and tools detailed above, and gaps related to the alignment and connection of these processes and tools *across* coordination approaches, will be investigated further in the country-based case study research.

6.2 Factors that enable or constrain coordination

Faerman et al. (2001) have identified four factors that appear in organisational research relating to the success or failure of inter-organisational coordinated efforts: predisposition, incentives, leadership and equity. The framework has been tested for this research through an initial analysis of the key informant interviews conducted thus far; and are part of the study. Headline findings are as follows:

6.2.1 Factor 1: Predisposition

Predisposition refers to the initial tendencies and dispositions that entities have towards potential partners that facilitate or inhibit working collaboratively (Faerman et al., 2001).

These predispositions can be both institutional and personal: ‘structures channel behaviour in particular ways, making it more likely that certain types of personal relationships will form; thus the system as a whole may tend to encourage or inhibit cooperation, with these tendencies in turn shaping personal interactions’ (Faerman et al., 2001: 378). The following issues have emerged as enabling and constraining factors relating to predisposition from key informant interviews and the literature:

Mandates: There are different normative structures and mandates at work when considering coordinated education planning and response across the nexus. On the one hand, there are organisations with a strong humanitarian mandate, focused on the lifesaving nature of their work and committed to humanitarian principles. On the other hand, there are development-focused organisations which look at long-term sustainable development. There are also dual mandate organisations, which are engaged in both. There is also the issue of mandates in relation to types of populations served and mandates for coordination of different typologies of emergency; IDP vs refugee responses for example. The mandate of national governments as primary rights holder is also critical.

The different mandates that organisations bring to coordinated work across the nexus is both a challenge and an advantage. There seems to be agreement that, while it is neither feasible nor desirable to try to alter global mandates, coordinated planning and response should not be mandate-driven and organisations and coordination entities should ensure their approach is adaptive to the context. More than one interviewee noted that there is a mandate gap when it comes to coordinated planning and response across the nexus; with no single agency responsible, the result is confusion and ineffective coordination. This perception may be signalling a lack of clarity across coordination approaches about the other approaches, their mandates and how to link across them. It also may signal, in practice, a lack of government-led national ESPs that integrate multiple coordination mechanisms and are supported by SDG 4 national planning. However, it could also be explored further through the case studies as an issue of perception rather than an actual gap; one of the arguments for

work across the nexus is that common outcomes would be relevant to mandates of organisations across the spectrum of humanitarian, development and peacebuilding work. Overlap of mandates in mixed situations also leads to confusion and ineffective coordination.

MoUs and other advance agreements: Predictability of roles and responsibilities was raised by multiple interviewees as a key enabling factor for coordination, a finding that is supported by the literature. MoUs and other predefined written agreements can be a way of delineating differences in mandates, exploring comparative advantage, detailing accountabilities, and lessening the challenge of duplication in advance of the need for coordinated planning and response. These documents can then predispose actors to work together, though the extent to which global agreements are then translated into action at country level may be dependent on broader issues relating to incentives and leadership.

This links to a gap in predictability in terms of how the different approaches – cluster, refugee and development – link together to ensure coordinated education planning and response across the humanitarian–development nexus. A structural gap is the lack of a standing forum for actors across these coordination approaches to meet and work across the nexus unless particular individuals take it on. While guidance such as the GPE-UNHCR MoU is helpful, more clarity as to roles and responsibilities spanning the nexus is needed across cluster coordination, refugee coordination and development coordination approaches. GPE is currently adjusting its model, examining policies and practices in emergency and refugee responses in crisis and more stable contexts as well as quality standards for assessing Education Sector Plan proposals in crisis-affected contexts (Ruddle et al., 2018). This work represents an opportunity for those leading education coordination structures to input into this work to avoid overlaps with mandates or, at least manage overlaps and put in place processes that can facilitate better alignment across the nexus.

Previous experience: Common sense is supported by organisational theory, which notes that lived experience shapes the extent to which we are predisposed to collaborate: ‘we

learn who we can or cannot trust from personal experience' (Faerman et al., 2001: 376). Given the relatively small cadre of EiE experts and the high turnover in crisis contexts, this factor might be particularly important. Nolte et al. note that, at the institutional level, entities do not come to coordinated planning and response processes with a clean slate; positive and negative stereotypes, as well as reputations, precede most if not all stakeholder groups (Nolte et al., 2012). Identifying an enabler of a positive predisposition, one informant noted that INEE provides a neutral space for communication, collaboration and capacity development between key stakeholders. Opportunity for entities to coordinate on global goods, such as the INEE Minimum Standards, without the extreme pressures found in an emergency, may be a useful contribution that supports a positive predisposition towards coordinated planning and response in crisis contexts.

6.2.2 Factor 2: Incentives

While predispositions form elements of the structures for collaboration, incentives relate to the ongoing 'structuring' of collaborative relationships over time, and the benefits obtained from coordinating with partners. Of course, there are also incentives not to engage in coordinated planning and response; the costs and benefits for different actors will be something to examine during the case study research. Emerging issues relating to how incentives enable and constrain coordinated planning and response include:

Coordination as give and take: Several key informants discussed the importance of coordinated planning and response processes that ensure that the partners engaged get tangible benefits from the process. Ensuring that demands on partners – for data or delivery of programmatic results or the time and risk involved in attending meetings, for example – are balanced by benefits, such as aggregated information and analysis flowing back to partners, or support in the form of collated lessons learned and relevant technical guidance, which will ultimately lead to improved planning and response and results for beneficiaries. Faerman et al. also reference 'pragmatic necessity' as an incentivising factor for some, in

light of the benefits of pooling knowledge and analysis and dealing with the interdependencies more effectively, all very relevant in light of the discourses in the Grand Bargain and calls to work more efficiently together across the nexus.

Funding as a double-edged sword: Multiple interviewees and the literature note funding as a key incentive that can both enable and constrain coordinated planning and response across the nexus. Funding was seen as an enabling factor when it was designed in a way that explicitly incentivised coordination and lessened competition between education actors. The relationship between funding and coordination structures is complicated, however, and issues of competition, neutrality, transparency and accountability were also raised by multiple interviewees who shared experiences of how funding had disrupted or undermined coordinated planning and response processes. This is particularly true when partners cannot easily distinguish activity under the coordination mechanism from activity under the coordination lead or grant agency's own programme and funds. In addition to how funds and donors interact with coordination structures, the substance of what is funded and the role flexible and multi-year funding plays in facilitating coordinated planning and response across the nexus was raised by several interviewees as enabling and constraining factors.

6.2.3 Factor 3: Leadership

Leadership of coordinated planning and response processes emerged strongly as a key enabling factor in the literature and across interviews. Faerman et al. argue that leadership in the early stages and during particularly tense moments in the collaborative process is particularly important. Leadership can, of course, also undermine coordinated actions; studies show 'failures of cooperation stemming from leaders acting in narrowly self-interested ways or relishing political battles' (Faerman et al., 2001: 377). Leadership interacts with the other factors; leaders at all levels of an organisation can influence how people think about incentives and even alter initial dispositions as well as equity and power dynamics within coordination mechanisms.

Clarity of leadership roles: In crisis contexts especially, the links between predisposition and leadership are pronounced, especially in relation to defining who is in the lead and what these roles entail in particular contexts, including those involving government actors. In cases where there is a strong government in place, government leadership accompanied by a clear leadership structure within the coordination mechanism has been documented as contributing significantly to effective coordinated planning and response. In LEGs, for instance, ‘coordination agencies feel that engagement and communication with the government is a major determinant of their success’ (Ruddle et al., 2018).

Perhaps in education, more than in other sectors, leadership almost always involves more than one organisation or entity, which adds layers of complexity. This links to the discussion above within the subsection of *Predisposition* about the various normative structures and mandates involved in coordinated education planning and response across the nexus. While there are clear leadership roles and responsibilities in some contexts, in many of the most challenging situations, leadership roles are far from clear, decisions are not always transparent and debate over leadership undermines entire coordination processes. Alongside these constraints to coordinated planning and response relating to leadership identity, the neutrality and transparency of and accountability for leadership are seen as important enabling factors.

Resourcing leadership: Linked to this issue of neutrality, interviewees noted the need for dedicated capacity to lead coordinated planning and response processes. Ensuring that the leadership role for coordination is not having to ‘double-hat’ with organisational programmatic responsibilities is a common concern and is perceived to be a constraining factor for coordinated planning and response. Ensuring leadership also has the relevant skills, expertise and experience to maintain a neutral role as well as undertake complicated negotiations and advocacy tasks was also highlighted as an enabling factor. Experience is important, as we consider how structures can innovate and improve; experienced leaders can draw on past

arrangements as they repeat, bend or challenge what worked or did not work previously (Whittington, 2015).

Recent research has found that the difficulties in identifying and hiring the right staff act as a constraining factor on effective coordination, associated with finding the right expertise, the necessary remuneration and security costs. Similarly, challenges for resourcing national leadership in crisis-affected contexts constrain coordinated planning and response, including security issues, high turnover of government staff and the need to work with multiple governments and groups in the political context (Ruddle et al., 2018).

Capacity remains a gap across coordination approaches and structures, particularly in terms of cross-nexus strategies to build the capacity of coordination mechanism leaders and local civil society to participate fully within and across coordination mechanisms. On the former, key informants highlighted the dearth of actors who understand each of these coordination approaches, their mandates and policies, and who have the skills to utilise that knowledge across fora for effective coordinated education planning and response. Other key informants highlighted the importance of developing local capacity, particularly transparent and user-friendly processes for affected populations and civil society to participate meaningfully, which would not only help to inform plans and process in acute crises but would also ultimately benefit long-term sustainable development. Protracted crises present a challenge across these coordination structures, especially in contexts where the government is weak or an unwilling partner. In such contexts, Education Clusters and sector groups are far less temporary than initially envisaged, and coordinated planning and response is limited by capacity and resources, particularly in refugee contexts. Furthermore, overlapping and divergent data collection systems across actors and coordination structures, including governments, give way to gaps in data collection and information management systems, which constrain efforts to analyse evolving needs against which to plan and coordinate response.

Personality: Alongside the structural issues of which organisation has the leadership

role and how it is resourced, multiple key informants discussed experiences whereby the personalities and personal agency of those in leadership positions was seen to be a critical enabler or constrainer of effective coordinated planning and response. This is upheld by the literature. In situations where there is a co-lead arrangement, the relations between the lead agency representatives are seen as an important facilitative factor. Positive traits mentioned included persuasiveness, independence, transparency and diplomacy.

6.2.4 Factor 4: Equity

This final factor is slightly adapted from the original sources. Faerman et al. (2001) talk about ‘number and variety of groups’, while Nolte et al. (2014) add the concept of equality among the actors involved in coordination. Given the latest thinking relating to localisation and accountability in aid, we propose the term ‘equity’ to ensure consideration not just of the number of ‘equal’ actors, but also the recognition of the difference between, and comparative advantages of, actors and the consideration of the power dynamics present in any inter-organisational process. Equity also reminds us to factor in the historical and current inequities among groups and how this impacts on participation and access to resources and opportunities within coordination processes.

Managing difference: While Faerman et al. (2001) suggest that that homogeneity of groups can aid coordination when considering the context of this research and efforts to work on some of the world’s most complex and intractable issues, diversity and a range of expertise is perhaps paramount. Gray (1990) suggests that recognition of interdependence is an essential prerequisite for collaboration and sees collaboration as ‘the constructive management of differences’ not the reduction of self-interest or the end of conflict as being the key enabling factor. Resource disparities between partners are highlighted by Emerson et al. (2012) as potential barriers to engagement in collaborative action. Well-managed coordination processes can identify, leverage and redistribute resources as shared resources to achieve common goals. Identifying and constructively managing differences between actors and leveraging comparative advantage and resources in a

transparent manner is likely to reduce conflict within or between the coordination structures and enable effective coordinated planning and response.

Capacity of coordination partners: Ensuring that coordination body members have the technical capacity – the relevant skills and expertise – on equitable and inclusive provision of education across a range of levels and types of education was highlighted as an enabling factor. The lack of capacity of local NGOs and civil society to respond within coordination mechanisms was raised during interviews as a constraint on inclusive participation in coordinated planning and response. Another constraining factor raised by key informants is the lack of knowledge and skills among education actors to understand and utilise mandates, functions, tools and processes across coordination mechanisms; more capacity is needed on this front to work effectively across coordination mechanisms and approaches.

National, sub-national and local: Several interviewees discussed the importance of fully engaging stakeholders from all levels to have successful and sustainable coordinated planning and response. The role and commitment of national government was highlighted by many as a critical enabling factor, and enabling factors such as language – ensuring that a coordination body translates relevant documents into the national and, where necessary, local languages for national, sub-national and local government and partner participation and ownership – were also raised. Sub-national coordination structures were highlighted as a useful way to engage with government actors and ensure that planning is not too far removed from the local of the response.

Providing scaffolding to ensure local actors are fully engaged in coordinated planning and response was a priority for several interviewees, in line with the localisation discourse at the global level, but still seen as a constraining factor by some interviewees, due to the lack of progress at country level to ensure targeted support for local actor involvement. One interviewee also highlighted the importance of engaging affected populations in coordinated planning and response. The CRRF was given as a positive example of where this is happening in practice.

7 So what: Contributions of coordination

The fifth element in our conceptual framework, contributions of coordination, begins to explore the potential outcomes and impact of coordination. It links to the research framework's Q3: *So what does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?*

Coordinated planning and response is not an end in itself. Coordination activities aim to provide a series of improvements to humanitarian and development responses that enhance their ability to achieve collective education outcomes. In this section, we investigate the available literature on the benefits of coordination and its links to improved collective education outcomes. Our review found a paucity of literature that bridges the gap between coordination activities and its impacts, particularly for education. What is presented here is the available literature that forms the basis of the current knowledge around the benefits of coordination, upon which we intend to build in this research project. It is not intended as a comprehensive outline of coordination benefits, but as a reflection of what is currently covered by literature on coordination in emergencies.

Coordination of humanitarian activities tends to be extremely costly both in time and in financial terms. Any solution will be the best (or often 'least worst') trade-off between costs and benefits. This being the case, it is very important to consider the expected benefits of coordination (and, in the case studies, the degree to which these have been achieved) and to recognise that different options may well bring different benefits. Improving coordination is a resource-heavy activity, and conscious choices should be

made about how resources are deployed: it doesn't just happen by tweaks!

7.1 Challenges in measuring coordination outcomes and impacts

Coordination of EiE is, like emergencies themselves, disparate, complex and unpredictable. It consists of vast networks of groups and individuals, coordinated through different means, and, as identified in the earlier framework, consists of many overlapping layers of social, as well as political and structural, factors (Faerman et al., 2001). It also exists within contexts influenced by the successes and failures of initiatives beyond education – both governmental and humanitarian – and the affected populations that engage in disparate ways with responses and responders. As such, identifying the impact of coordination or making claims that coordination will result in any predictable outcome is problematic (Steets, 2010).

Much of the existing research has also focused on anecdotal evidence captured from interviews with humanitarian and development responders. The evidence for this is generally based on perception – interviewees tend to think that coordination has improved planning and response and they base these perceptions on particular examples where gaps and overlaps have been avoided. While providing useful insight in to operational experiences, it is important to recognise the risk that interview candidates may reflect their personal or organisational agendas and that the voices of the fiercest critics of coordination activities are obscured due to their rejection of the humanitarian networks used to identify interview candidates.

7.2 Adapting and connecting frames

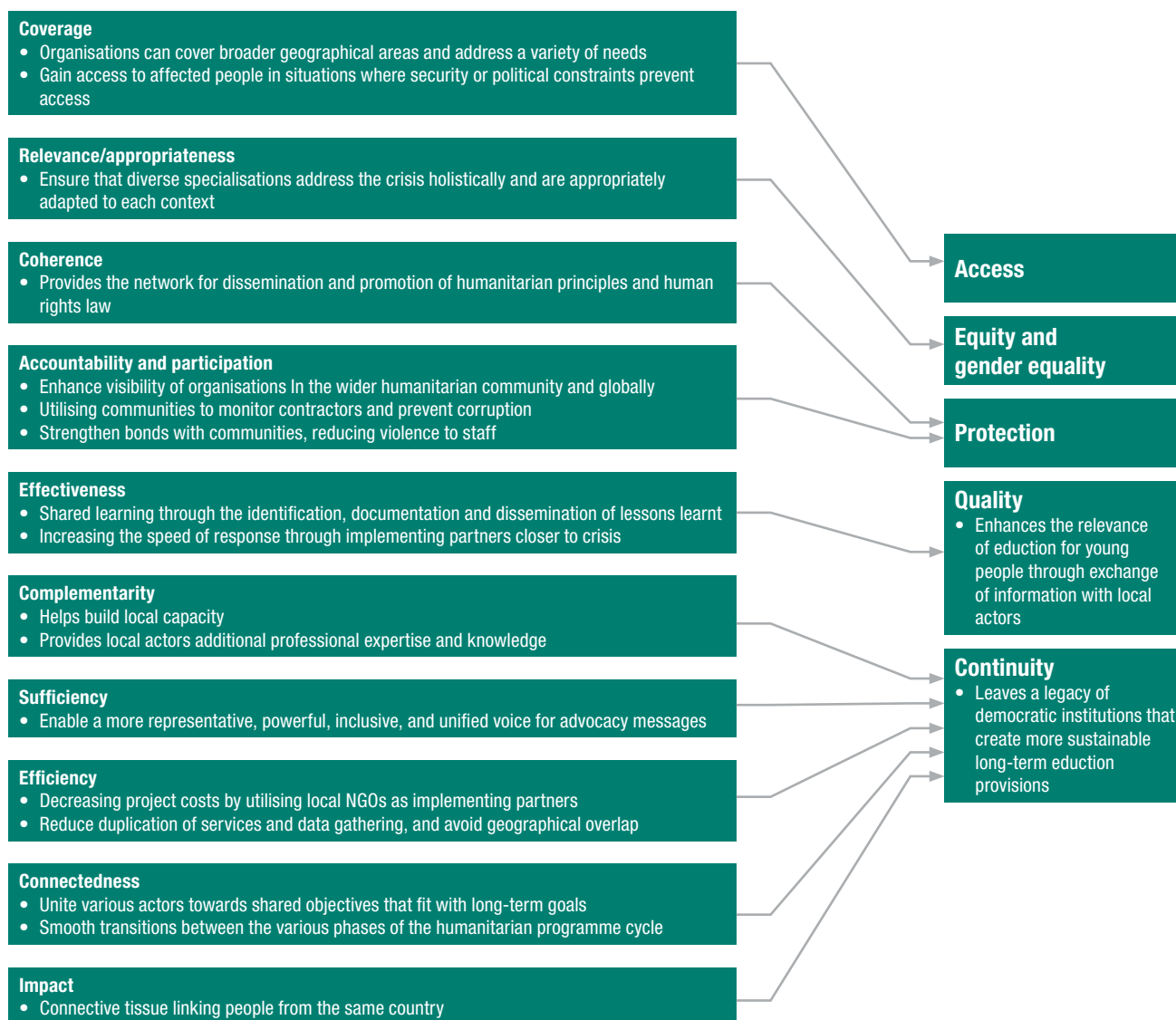
We organise the potential benefits according to a revised version of the OECD DAC Criteria modified by ALNAP’s *State of the Humanitarian System* (SOHS) report (ALNAP, 2018) that will be utilised throughout the case studies. We found the OECD DAC framework to be widely used across assessments of coordination, and the adaptations made in the SOHS report to add clarity and better align the criteria with current humanitarian and development thinking.

We chose to use the OECD DAC Criteria as we expect a large amount of the anecdotal evidence gathered in this research to speak to

broad improvements to the humanitarian and development response that cannot be directly evidenced as impacting education responses but contribute to conditions conducive to improved education outcomes. For example, we expect to be more likely to gather anecdotal evidence on how coordination between education partners increased capacity-building opportunities than how that capacity building directly led to improved education outcomes.

Recognising the importance of both, we propose a framework that combines the SOHS OECD DAC Criteria and the ECW Collective Education Outcomes. Figure 4 outlines this framework and includes evidence identified in

Figure 4 Key contributions of coordination to collective education outcomes



Source: Authors’ own elaboration

this literature review that speaks to each. It also highlights associations between the benefits of coordination and collective education outcomes, which, while unlikely to cover all the diverse array of overlaps between each, provides a useful heuristic tool. The research undertaken as part of this project will look to contribute to this limited evidence base and this framework.

While the benefits have been separated into different categories, it is important to note that the benefits gained under each are rarely achieved independently, instead requiring simultaneous achievements within other criteria. This is seen in the overlap that exists between many of the benefits and the difficulty entailed in placing evidence under only one. In a similar vein, conflict between criteria is to be expected; where, for example, progress made in coverage requiring flexible and speedy responses may create challenges to connectedness – in terms of the degree to which it informs development objectives. It does, however, provide a useful frame for anecdotal evidence reviewed as part of this literature review and for the case studies to come.

7.3 Potential contributions of coordination

This section presents a synthesis of the sparse literature on the potential benefits of coordination in emergencies categorised by the SOHS 2018 OECD DAC Criteria (ALNAP, 2018). It does not suggest the presented benefits of coordination are inevitable or that this list is comprehensive. Instead it highlights potential outcomes of one or more of the many coordination models when they are appropriately adapted to each context. Box 15 summarises the findings of the literature and highlights those with a direct link to education outcomes.

7.3.1 Coverage

The degree to which action by the international humanitarian system reaches all people in need (ALNAP, 2018).

Most education crises that require international assistance are too large for responses to cover in its entirety. By coordinating with civil society groups and local NGOs, organisations are seen covering broader geographical areas and

addressing a wider variety of needs (Saavedra and Knox-Clarke, 2015). Moreover, responders are seen as being more likely to access affected people in situations where security or political constraints prevent access (Saavedra and Knox-Clarke, 2015; Scriven, 2013). In Yemen, two-thirds of active organisations in the response are national NGOs able to reach inaccessible areas and establishing effective partnerships between national and international partners is highlighted as a ‘central priority’ for ensuing humanitarian coverage (OCHA, 2018c: 23).

7.3.2 Relevance/appropriateness

The degree to which the assistance and protection that the international humanitarian system provides addresses the most important needs of recipients (as judged both by humanitarian professionals and by crisis-affected people themselves) (ALNAP, 2018).

Coordination can enhance the understanding of the context, needs and perceptions of the population, facilitating more appropriate interventions and ensuring that diverse specialisations address the crisis holistically and appropriately in each context (Ramalingam et al., 2013). Coordination with the local community, NGOs and community-based organisations can also provide agencies with a better understanding of local vulnerabilities seen to improve the targeting of assistance, the nature of supported interventions and the location of services (Featherstone, 2013).

7.3.3 Coherence

The degree to which actors in the international humanitarian system act in compliance with humanitarian principles and international humanitarian law (IHL), and the degree to which they are able to influence states and non-state armed groups to respect humanitarian principles and conform to IHL (ALNAP, 2018).

Coordination is seen as providing a network for the dissemination and promotion of humanitarian principles and human rights laws for the protection of people affected by crisis (Saavedra and Knox-Clarke, 2015). Moreover, coordinated planning and response can ensure that organisations are united in approaches that are in the best interests of beneficiaries (Beck, 2006). There have, for example, been

Box 15 Contributions of coordination: summary from the literature

Coverage

- Helps organisations to cover broader geographical areas and address a variety of needs
- Enables access to affected people in situations where security or political constraints prevent access

Relevance/Appropriateness

- Ensure that diverse specialisations address the crisis holistically and are appropriately adapted to each context
- Enhance the understanding of the context, needs and perceptions of the population, facilitating more appropriate interventions
- Provide agencies with a better understanding of local vulnerabilities and increase the usefulness of projects to communities

Coherence

- Provides the network for dissemination and promotion of humanitarian principles and human rights law

Accountability and participation

- Enhance visibility of organisations in the wider humanitarian community and globally
- Facilitate utilising communities to monitor contractors and prevent corruption
- Strengthen bonds with communities, reducing violence to staff
- Create lines of accountability seen to improve the targeting of assistance, the nature of supported interventions and the location of services

Effectiveness

- Leads to shared learning through the identification, documentation and dissemination of lessons
- Increases the speed of response through, for example, international NGOs working with national NGOs that are closer to the ground and private sector
- Enhances the relevance of education for young people through exchange of information with local actors

Complementarity

- Helps build local capacities
- Provides local actors additional professional expertise and knowledge

Sufficiency

- Enables a more representative, powerful, inclusive and unified voice for advocacy messages

Efficiency

- Lowers project costs by utilising local NGOs as implementing partners
- Reduces duplication of services and data gathering, and avoids geographical overlap
- Promotes the acceptance and utility of international humanitarian work

Connectedness

- Smooths the transitions between the various phases of the HPC
- Unites various actors towards shared objectives that fit with long-term goals
- Unifies people thought to be separated by ethnicity, region or religion
- Improves the legitimacy of the government in the eyes of the population
- Allows for improved DRR strategies

Impact

- Creates legacy of democratic institutions that create more sustainable long-term education provisions and strengthen the sense of community among actors at the national level
- Establishes connective tissue linking people from the same country

instances of a UN agency promoting repatriation of refugees while another opposed such an approach (Beck, 2006).

7.3.4 Accountability and participation

The degree to which actors within the international humanitarian system can be held to account by crisis-affected people, and the degree to which crisis-affected people are able to influence decisions related to assistance and protection (ALNAP, 2018).

Coordination can enhance the visibility of organisations in the wider humanitarian community and globally and create lines of accountability seen to improve the nature of supported interventions for beneficiaries (Featherstone, 2013). Where local organisations are involved in a response, they may also be better placed to identify and prevent corruption (Featherstone, 2013).

A literature review supplemented by interviews of over 100 individuals in 45 different international and national implementing organisations, funding agencies and international consortia and networks also found that coordination can create lines of accountability that reduce violence to responding staff:

For several agencies, instances of violence against staff working in difficult environments were reduced after they improved their communication and feedback processes with affected communities. Through increased dialogue and better communication, organizations that had been experiencing violence or threats eventually found themselves on positive terms with local communities, and in some cases were even protected by the local community from armed groups. (CDA Collaborative Learning Projects, 2011: 6)

7.3.5 Effectiveness

The degree to which humanitarian operations meet their stated objectives, in a timely manner and at an acceptable level of quality (ALNAP, 2018).

A key determinant of effectiveness is knowledge, i.e. having information that indicates

that in a given context a certain set of activities is likely to lead to specific desirable outcomes (Saavedra and Knox-Clarke, 2015). Dissemination of knowledge can provide key information, particularly during the early phases of the HPC, that guide responders in decision-making, allowing for more timely responses (Scriven, 2013; Saavedra and Knox-Clarke, 2015). Moreover, shared learning through the identification, documentation and dissemination of lessons through coordinated networks facilitates more effective future responses, while ensuring that organisations work towards harmonious collective results, rather than project-oriented ones (Saavedra and Knox-Clarke, 2015).

Working together can also improve effectiveness by increasing the speed of response through, for example, international NGOs working with national NGOs that are closer to the ground (Hedlund and Knox Clarke, 2011) or through private sector actors able to respond more rapidly than international actors reliant on receiving donor funding (Saavedra and Knox-Clarke, 2015).

Moreover, Sommers (2004) suggests that, ‘a co-ordinated education system ... dramatically enhances the relevance of education for young people’ by sharing information to ensure local needs are met.

7.3.6 Complementarity

The degree to which the international humanitarian system recognises and supports the capacities of national and local actors, in particular governments and civil society organisations (ALNAP, 2018).

International organisations can provide local actors with additional professional expertise, capacity-building opportunities and knowledge of international standards related to crises contexts (Saavedra and Knox-Clarke, 2015). When these local and international knowledges are combined, responses were found to be more complementary (Saavedra and Knox-Clarke, 2015).

7.3.7 Sufficiency

The degree to which the resources available to the international humanitarian system are sufficient to cover humanitarian needs (ALNAP, 2018).

Coordination can enable a more representative, powerful, inclusive and unified

voice for advocacy messages around shared objectives (Scriven, 2013), for example, around negotiated access to affected people (Saavedra and Knox-Clarke, 2015).

7.3.8 Efficiency

The degree to which humanitarian outputs are produced for the lowest possible amount of inputs (ALNAP).

In emergency contexts, where resources are limited, improving efficiency is paramount. Coordinated planning and response is thought to improve efficiency and achieve greater value for money. For example, in DRC a large majority of stakeholders agreed that the IASC Cluster Approach dramatically improved the effectiveness of information sharing, thereby helping to manage existing resources more effectively (Binder et al., 2010).

Research into cluster coordination has also shown that it can reduce duplication of services and avoid geographical overlap, in turn decreasing the gaps in response (Majewski et al., 2012). Steets et al. (2010: 55) find that cluster coordination:

plays an important role in reducing duplications, which improves efficiency and allows greater coverage with the same resources. Most humanitarian actors interviewed in the case study countries can point to examples where clusters have helped to identify and subsequently avoid instances of duplication.

Similarly, coordination is seen as preventing duplication of surveying and data-gathering activities. This was one of the major challenges described in Somalia in 1999, where UNICEF gathered data on socioeconomic situations, unaware that the UNDP for Somalia had been collecting data for six years prior to UNICEF's involvement (Reindorp and Wiles, 2001).

Ramalingam et al. (2013) suggest that coordination with local NGOs as implementing partners decreased project costs as the local provision of aid can be cheaper. This is not to suggest that NGOs should act as a budget option for humanitarian and development responses, but rather that they should be a means of reducing implementation costs by utilising

existing structures and local knowledge, while simultaneously increasing local capacities.

A connected education response also promotes the acceptance and utility of international humanitarian work because it addresses a 'fundamental value shared by families, communities, and nations' (Sommers, 2004).

Finally, increases in community involvement are seen to increase programme efficiency: 'where communities had been empowered to monitor contractors, there was greater efficiency and value for money' (Featherstone, 2013: 5).

7.3.9 Connectedness

The degree to which the international humanitarian system articulates with development, resilience, risk reduction and peacebuilding (ALNAP, 2018).

A 2016 survey of over 4,000 professionals responding to the Syrian crisis found that eight out of 10 respondents agree or strongly agree that the humanitarian aid sector would benefit from the incorporation of more long-term development perspectives (Voluntās, 2016). Connectedness with local and government authorities is deemed to be central to this process (Saavedra and Knox-Clarke, 2015). Holohan (2005) found that individuals from organisations more concerned with making local connections were more successful in creating sustainable programmes even if it meant going against some of their own organisation's policies. Hedlund and Knox Clarke (2011) suggest coordination can also allow for improved DRR strategies (Hedlund and Knox Clarke, 2011).

Moreover, Sommers (2004: 81) suggests that leaving these and other fundamental services unconnected 'constitutes a tragically overlooked opportunity to bind people together across war zones and borders, to unify people thought to be separated by ethnicity, region, or religion by using the very same education system' that can have long-term implications on stability in the region.

Finally, strong connectedness with national NGOs, governments and development agencies is also seen to improve the legitimacy of the government in the eyes of the population (while recognising of course, that the reverse can also be true) (Saavedra and Knox-Clarke, 2015) and smooth transitions between the various phases

of HPC and unite various actors towards shared objectives that fit with long-term goals (Saavedra and Knox-Clarke, 2015; Ramalingam et al., 2013).

7.3.10 Impact

The degree to which humanitarian action produces (intentionally or unintentionally) positive longer-term outcomes for the people and societies receiving support (ALNAP, 2018).

Very few evaluations of humanitarian action attempt to assess impact, with many noting the short funding cycles, which prevent consistent longitudinal research and a lack of baseline data against which to measure progress (ALNAP, 2018). Coordination literature is no exception, with a significant lack of investigation into impact.

What does exist, highlights the potential legacies of coordinated education systems. Sommers (2004) notes a coordinated education system can become ‘connective tissue linking people from the same country’. Coordinated

education systems can leave a legacy of democratic institutions that create more sustainable long-term education provisions and strengthen the sense of community among actors at the national level (Scriven, 2013). In South Sudan, for instance, the failure of international actors to coordinate their efforts during the civil war is attributed to a legacy of disconnected systems, with different curricula and different pay scales for teachers (Berry, 2007). Yet in Kosovo, Holohan (2005) found that humanitarian networks facilitated the emergence of democratic institutions. These networks led to mutually agreed aims based on social and networked relationships and helped lead to effective democratic structures (Eschenbacher, 2009; Holohan, 2005). Democratic systems may well emerge without coordination, but coordination helps to form a system through the recognition and acceptance of its component parts (Eschenbacher, 2009).

8 Principles and potential coordination markers

This section links to our conceptual framework in that it sets out existing principles that, together with research findings, may help develop a set of markers for coordination of education planning and response as part of the final synthesis in this research.

The following list of principles is a consolidated list built from a variety of existing principles and standards that represent what is desirable for coordinated action in and across humanitarian and development contexts. We envisage further using these principles, enhanced and evidenced by findings from the case studies, to potentially develop a set of markers for coordinated education planning and response – in essence, a point of reference against which coordinated planning and response may be assessed. Developing these will also entail the engagement of the ECW Global Partners and may extend outwards for further consultation, for instance via INEE.

The list below encompasses the humanitarian principles related to coordinated planning and response that are articulated within the NWOW, Grand Bargain, Core Humanitarian Standards and the Principles of Partnership. The latter, endorsed by the Global Humanitarian Platform in 2007, support building effective partnerships

to enhance the effectiveness of humanitarian action (Knudsen, 2011). The list reflects the GEC’s Principles of Strategy Development (GEC, 2017), articulating the its approach to coordinated planning response, and the 2010 revision of the INEE Minimum Standards, which put forth a foundational standard on coordination that is meant to be applied by education actors across all domains to promote a holistic, quality response in preparedness, emergency and recovery contexts. The list of principles below reflects the principles of the GPE, which apply and uphold the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), and the Busan Partnership for Effective Development Cooperation (2011). The list also encompasses principles of the ReHoPE initiative in Uganda, which guides a transformative strategy to bridge humanitarian and development approaches and actors across the nexus ranging from protection, assistance and relief to development. Finally, there are also important principles of coordinated planning and response reflected in the NWOW, the Grand Bargain and the Oslo Principles, or the Consolidated Principles for Education in Emergencies and Protracted Crises,¹⁸ which have been incorporated in this list of principles.

18 Built on humanitarian principles of humanity, neutrality, impartiality and independence as laid out in UN General Assembly (UNGA) resolution 46/182 (1991) and subsequent resolutions, the consolidated principles are further based on UNGA resolution ‘The right to education in emergency situations’ (2010); UN Security Council resolution 1998 on monitoring and reporting attacks on schools and hospitals (2011); the Core Humanitarian Standard on Quality and Accountability (2015); the Sendai Framework for Disaster Risk Reduction (2015); OECD DAC Principles for Good International Engagement in Fragile States (2007) and New Deal for Fragile States (2011); the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008); and the Principles and Good Practice of Humanitarian Donorship (2003). They draw particularly on INEE’s Minimum Standards for Education: Preparedness, Response, Recovery (2010) which are officially recognised as the education companion guide to the Sphere Humanitarian Charter and Minimum Standards in Humanitarian Response (2011), as well as the INEE Guiding Principles on Conflict Sensitivity (2013).

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1. **National leadership and international support to coordination:** Governments, which are responsible for fulfilling the right to education for all children in their territories, including national, internally displaced and refugee children, assume a leadership role for coordinated education planning and response. Where government capacity is constrained, international coordination structures support education authorities and reinforce the government's coordination capacity, building on and strengthening existing coordination structures to support better integration of coordination across the nexus.
 2. **Alignment with global frameworks and national and local education plans and systems:** Coordinated education planning and response is aligned with and reinforces existing country education plans and national and local systems, promotes country ownership and nationally identified priorities, and strengthens capacity for nationally led response where needed.
 3. **Harmonisation across the humanitarian and development nexus:** Coordination structures and processes transcend the humanitarian–development divide by shaping a common approach to the identified needs and collective outcomes so as to reduce duplication, mitigate inefficiencies and ultimately reduce people's risks and vulnerabilities and increase their resilience. Coordinated planning and response builds on comparative advantages, with stakeholders complementing each other's roles, contributions and capacities across the humanitarian–development nexus while respecting each partner's mandate, obligations and independence.
 4. **Result-oriented collective outcomes:** Coordinated education planning and response is results-oriented, based on commonly agreed and measurable collective outcomes to reduce people's needs, risks and vulnerabilities, and increase resilience.
 5. **Inclusivity:** Coordination groups and structures engage national and local government authorities, donors, civil society, teachers, UN agencies, NGOs, philanthropy, the private sector, and affected communities and students where appropriate, linking across sectors and the humanitarian–development nexus as needed.
 6. **Local capacity:** Coordinated education planning and response incorporates and builds upon local capacity, enhancing self-reliance and facilitating a transition from humanitarian assistance to development activities.
 7. **Transparency and accountability:** Transparent mechanisms for sharing information, including financial transparency, exist within the coordination structure, across coordination groups and for the beneficiary population. While individual stakeholders have their own mandates, all agree to accountability in coordination, including being transparent about data collection, and its use to inform planning and the results of education planning and response. Moreover, there is mutual commitment by stakeholders to the agreed coordination strategy. Where there are critical gaps in education planning and response, the coordination mechanism leader is responsible for, and should be transparent about, ensuring that relevant stakeholders address the gaps to cover priority needs.
 8. **Data and evidence:** Coordinated response is based on data and evidence, and the process for defining scope and prioritisation of response activities is driven by a robust analysis of needs, which feeds into a shared strategy regarding allocation of resources, division of labour and information sharing. Information and knowledge management systems build on and enhance, rather than duplicate, national education management information systems (EMIS) systems.
 9. **Resource mobilisation:** Inclusive, transparent and coordinated approaches to financing, including facilitating local partners' access to resources, are undertaken in order to secure timely, predictable and multi-year funding. Emergency financing arrangements are harmonised with longer-term arrangements to support sustainable development.
 10. **Equity and a rights-based approach:** Coordinated education planning and response prioritises the equitable and inclusive provision of education across a range of levels and types of education.

9 Conclusion and next steps

This global mapping of coordinated education planning and response in crises provides rich detail to help guide and shape country-level investigation of these issues. It is a contribution to addressing the following central research question and sub-questions.

How can humanitarian and development actors effectively coordinate planning and response to strengthen education outcomes for children and young people affected by crises?

- Q1: *Who* are the main stakeholders contributing to country-level education coordination in emergencies and protracted crises, and how can their roles be optimised?
- Q2: *How* can coordination of education planning and response be made more effective?
- Q3: *So what* does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?¹⁹

It sets out a conceptual framework that considers the starting points of countries in terms of their country context and type and phase of crisis, along with the relevant global frameworks that shape education coordination in crisis-affected countries, and then presents detailed exploration of coordination approaches, ways of working and evidence of outcomes. The latter three elements map onto the above research sub-questions, which are being used to structure the country research.

Our exploration of the ‘who’ of coordination approaches begins to identify comparative advantages of coordination across humanitarian cluster coordination, refugee coordination, development coordination and mixed/regional/hybrid coordination approaches. These global-level findings will be further tested and explored in country case study research.

Research on the ‘how’ of coordination, or ways of working, begins by highlighting critical processes, guidance and tools utilised within the coordination structures to enable coordinated planning and response across the nexus. Further discussion on elements that enable or constrain coordination is provided against the rubric of predispositions, incentives, leadership and equity, as developed by Faerman et al. in relation to the success or failure of inter-organisational coordinated efforts. Country case study research will gather more detailed information on guidance and tools used operationally and use the Faerman Factors to help analyse coordination arrangements.

Finally, a closer look at the ‘so what’ of coordinated education planning and response has helped set out evidence of contribution to learning and collective outcomes. We have here mapped out connections in theory and available evidence, presenting linkages across the OECD criteria for the evaluation of humanitarian performance and ECW collective outcomes as identified in their current strategic plan. This helps to highlight the potential for the contributions of coordination to realising better quality education for children and youth in crisis. Country case study research will, where possible,

¹⁹ There have been some suggestions that Q3 should highlight the ‘why’ of education coordination rather than ‘so what’; however, in our understanding this question is focused on the difference that coordination makes and its contribution to outcomes, rather than exploring the rationale for why it is done.

collect anecdotal evidence that links with this framework to provide further indication of how coordination can best strengthen effective coordinated education planning and response.

Following research on country case studies taking place in the Middle East, Central Africa, Eastern Africa, and South Asia, frameworks and findings from this global mapping will be revisited and presented as part of the final synthesis report for this research. This will also contribute to the development of a set of operational markers, based on the draft principles contained in this report, that can help guide actors on the ground in strengthening coordinated education planning and response.

9.3.1 Implications of case study research

The case study research will provide an opportunity to further examine the *who, how* and *so what* of coordinated planning and response across the nexus, testing the findings of this global mapping against country-level realities. Researchers will further investigate new and updated coordinated planning and response processes across the coordination approaches, and how Education Cluster Strategies, the Consolidated Operational Refugee Response Plan and the CRRE, and the ESP and TEPs are used to harmonise and align not only within coordination structures but also across the nexus at country level.

The case study research will seek to uncover good practices and lessons learned regarding how to close the predictability gap in terms of how the different approaches – cluster, refugee and development – align and interact with each other to ensure coordinated education planning and response across the nexus. Linked to this, the case studies will investigate how the overlap between mandates for coordination in mixed and hybrid approaches affects coordination and resulting education outcomes. Research will seek out lessons learned and good practices to overcome the lack of clarity and predictability around roles and responsibilities in mixed contexts. In particular, the draft marker on harmonisation across the humanitarian and development nexus focuses on the development of a collective plan for education

planning and response as well as common standards, norms, principles and outcomes. As such, case study research will investigate examples of, and strategies for, such collective action across the nexus. Similarly, the case study research will examine country strategies to prevent overlapping and divergent data collection systems across actors and coordination structures.

More broadly, the case study research will seek out practical examples of the ways in which coordination mechanisms balance the need for standardisation and predictability of roles and responsibilities on the one hand, and the need for adaptability and fluidity to respond to a range of dynamic and unique operational contexts on the other. It will investigate practical examples of and strategies for meaningful engagement of affected populations in coordinated planning and response processes at country level. It will also examine good practices and strategies for building local and national capacity to participate within coordination mechanisms, particularly in protracted crises.

Another process that will be explored in the case studies is the mapping of the coordination process at the outset of a crisis and the identification of comparative advantages, with an eye to investigating good practice strategies and useful tools. In addition, while there has been a fair amount written about building resilience to respond to shocks to the education sector through context, risk and vulnerability analysis, the case study research will seek to uncover evidence and impact of how this is being carried out at country level within each coordination approach, including the process to better integrate context and risk analysis into coordinated planning and response.

Finally, the case study research will help to test and refine the factors that enable and constrain coordinated planning and response, as detailed in Section 6, as well as the links between coordination and education outcomes laid out in Section 7. A final synthesis report will be developed, in conjunction with the ECW Global Partners, that brings together key elements of this report alongside further learning from the case study work.

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Annex 1 Research questions and sub-questions

Central research question

How can humanitarian and development actors effectively coordinate planning and responses to strengthen education outcomes for children and young people affected by crises?

Our central research question leads us to three sub-questions that look more closely at the ‘who’, the ‘how’, and the ‘so what’ of coordination of education in emergencies and protracted crises.

Research sub-questions

- 1. What roles do different stakeholders and structures take in coordination of education planning and response and how can this be optimised?**
 - Who are the main stakeholders and what are the main structures and approaches in country-level education coordination?
 - Why and how are they involved in education coordination?
 - To what extent and in what ways does this vary across context?
 - What overlaps and gaps are there in coordination systems and responsibilities?
 - What shifts in roles are needed to create more effective and efficient coordination systems?
- 2. How can coordination of education planning and response be made more effective?**
 - What ‘markers’ can determine effectiveness of education coordination?
 - What enabling factors support effective education coordination? What obstacles and constraints undermine this?
 - What different approaches are used in country-level education coordination?
 - How do coordination processes change across the programme cycle?
 - What coordination support and tools have been most useful across contexts and at different stages of the programme cycle?
- 3. How does coordinated education planning and response contribute to better education and other collective outcomes for children and young people affected by crises?**
 - What is the strength and nature of existing evidence for coordinated education planning and response leading to:
 - Increased access to education?
 - Strengthened equity and gender equality?
 - Increased continuity and sustainability of education?
 - Improved learning and skills outcomes?
 - Safe and protective learning environments?
 - Non-education outcomes that reduce people’s needs, risks and vulnerabilities, and increase their resilience?
 - What additional indicative or anecdotal evidence on the link between coordination and improved outcomes can be gathered from case study countries?

Annex 2 Key informant interviews

- GEC / UNICEF
- GEC / Save the Children
- INEE
- Street Child
- Harvard University
- University of Nairobi
- DG-ECHO
- Education Cannot Wait
- ICRC
- UNESCO
- USAID
- GPE
- OECD
- UNHCR
- USAID

Guiding questions

Questions about ‘who’

1. What would you say are the main structures for coordinated planning and response for education across humanitarian and development contexts?
 - a. What are your views on the comparative advantages of the main structures?
 - i. How does (or does not) X structure support coordinated planning and response at the country level? How does it support planning and response across the hum–dev nexus in particular?
 - b. What do you see as the role of the national government in coordinated planning and response for education across humanitarian and development contexts?
 - i. Does your organisation/structure have any specific policies/tools to guide this relationship with the national government?
 - c. Are there any gaps or overlaps between coordination structures and approaches? Does this change in different contexts (e.g. refugee/mixed/disaster caused by natural hazards/protracted, etc.)?

Questions about 'how'

2. **What do you see as the key enablers that support and constrain coordinated planning and response?**
 - a. What needs to be in place for coordinated planning and response to be possible?
 - i. Do you have concrete examples of good practice? In what ways did the process work well? What were the factors or events that influenced the process? Were there problems that had to be overcome? How?
 - b. What are the constraints for coordinated planning and response?
 - i. Do you have concrete examples? What do you think are some of the root causes for these constraints? (e.g. different organisational mandates and cultures? Lack of incentives? Lack of leadership? Exclusive structures? Etc).
 - c. Do different contexts (refugee, mixed, etc.) need different things? (e.g. different coordination structures? Different agreements in place before or during? Different guidance? Different staffing?)
 - i. What policies/guidance/tools do you/your organisation/structure use to guide coordinated planning and response? What are the most influential and useful pieces out there? What is missing?
3. **What do you see as the critical 'moments' or processes for coordinated planning and response across the programme cycle?**
 - a. Needs assessment? Strategic planning? Resource mobilisation? Implementation and monitoring? Evaluation and review? Preparedness? Other?
 - i. Why is X critical for coordinated planning and response? What impact does it have? Can you share an example? Is there an established policy/guidance about and training on how to accomplish X? If not, what more is needed?
 - ii. Is X critical for a particular context or across contexts (refugee, mixed, hum/dev, etc.)?
4. **Think of a country context where there are challenges for coordinated planning and response; you have three wishes to strengthen the response – what would you wish for?**
5. **In what ways do current financing modalities support or constrain coordinated planning and response?** (financing modalities e.g. on budget support to government, pooled humanitarian funds, bilateral funding directly to partners, etc.). How could financing modalities be adapted in order to better support humanitarian and development actors' coordinated planning and response in general, and also across the nexus?

Questions about 'so what'?

6. **What do you think is the impact of coordinated education planning and response?**
 - a. Are you aware of any evidence (even anecdotal) that coordinated education planning and response has led to better education outcomes, e.g.:
 - i. More access, more equitable access?
 - ii. More continuity of education over time?
 - iii. Better protection outcomes?
 - iv. Better learning outcomes?
 - b. How has coordinated planning and response had this impact? Through addressing prioritisation, funding, capacity, needs, barriers? Or other?
 - c. What about broader inter-sectoral outcomes like protection, stabilisation, health, wat/san, etc.? Are you aware of any evidence that coordinated education planning and response has had a measurable impact on reducing people's vulnerabilities and increasing their resilience?

Closing

7. Is there anything else important about coordinated planning and response across hum–dev nexus that it is important that we should know?
8. Bearing in mind that the ODI research team will be undertaking in-depth country-level case studies, are there any other key people we should talk to for this global mapping piece of the research? Any documents/tools to share?





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