

SLE TOOLKIT

SAFER LEARNING ENVIRONMENTS
QUALITATIVE ASSESSMENT TOOLKIT



USAID
FROM THE AMERICAN PEOPLE



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

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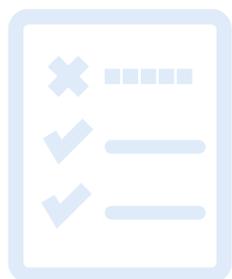
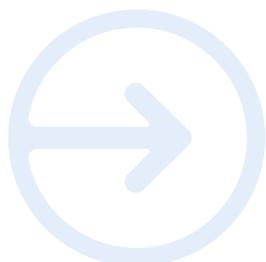
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DISCLAIMER

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

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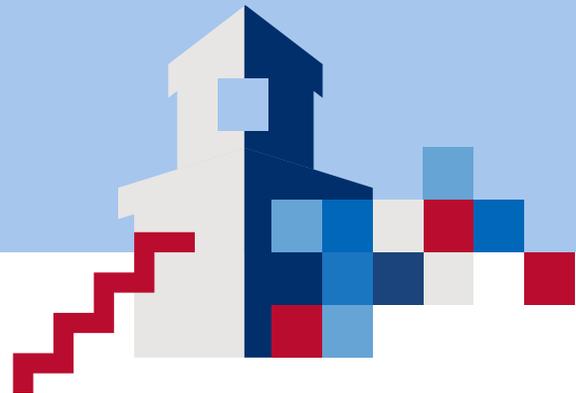
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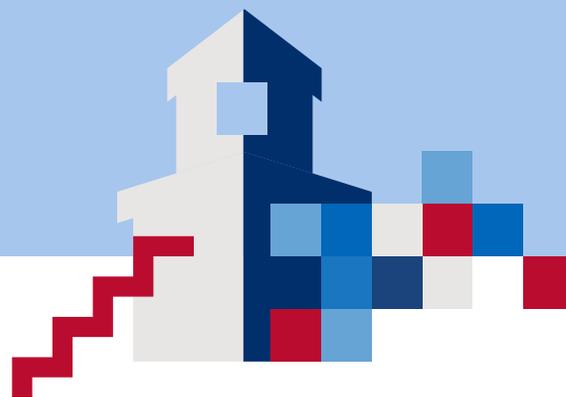
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ACRONYMS



CBO	community-based organization
FGD	focus group discussion
FGM/C	female genital mutilation/cutting
ECCN	Education in Crisis and Conflict Network
IP	implementing partners
IRB	Institutional Review Board
KII	key informant interview
M&E	monitoring and evaluation
NFE	non-formal education
NGO	non-governmental organization
PWD	persons with disabilities
RERA	Rapid Education and Risk Analysis
SGBV	sexual and gender-based violence
SLE	safer learning environment
SLE WG	Safer Learning Environments Working Group
SRGBV	school-related gender-based violence
USAID	United States Agency for International Development

EXECUTIVE SUMMARY



Through its Education Strategy, the United States Agency for International Development (USAID) is committed to work with partners to increase equitable access to education for learners living in countries affected by conflict and crisis. Of the 67 million primary school-age children around the world who do not attend school, 40 million live in countries affected by armed conflict. Millions more have had their education disrupted by natural disasters, crime, and violence.

Achieving results in these challenging environments calls for innovative approaches to the design, management, and evaluation of education programs. The USAID Education in Crisis and Conflict Network (ECCN) Team developed the Safer Learning Environments Qualitative Assessment Toolkit to support implementing partners (IPs) to better understand the situation of learners and school personnel in complex and volatile contexts. Everywhere USAID works, there is some degree of contextual risk—whether it is the possibility of conflict, gang violence, natural hazard impacts, gender-based violence, political instability, lawlessness, health emergencies, or food insecurity and

famine. Countries affected by conflict and crisis, which are a focus of USAID's Education Strategy, have high levels and multiple types of contextual risk.¹ USAID education programs must holistically analyze and factor in contextual risks, avoid worsening them (do no harm and be conflict sensitive), and reduce them, as appropriate. To not do so increases the probability that education programs not only will fail to achieve results but also exacerbate tensions and increase vulnerability.

Recently adopted global policy frameworks² have called on the development and humanitarian communities to transform how they work in these contexts. They have specifically highlighted the critical role of education in addressing the root causes of conflict and violence, enhancing equity, and reaching the most marginalized, thereby reducing disaster risk, building community resilience, and transcending the humanitarian-development divide. Given education's important role in these transformations, more systematic and rigorous analysis of the context within which education takes place is essential.

Understanding contextual risks can also be considered a due diligence measure taken by USAID IPs to safeguard investments in education programs and improve results in crisis and conflict-affected contexts, as well as situations in which the risk of conflict or crisis is low or latent. An assessment of safety within the learning environment can provide critical information that supports efforts at reducing programmatic, fiduciary, and institutional risks.

The *Safer Learning Environments Qualitative Assessment Toolkit* (SLE Toolkit), like the *Rapid Education and Risk Analysis* (RERA) Toolkit³ with which it is closely aligned, aims to provide users, and in particular IPs seeking a quick diagnostic exercise that focuses on a specific project, with guidance on understanding these contextual risks. Initially developed by the ECCN SLE Working Group in 2016, the SLE Toolkit went through two rounds of pilot testing in six countries during 2017:

- **Draft 1** was tested in Somalia (Mercy Corps) and El Salvador (Glasswing International).
- **Draft 2** was tested in Philippines, Honduras (ChildFund), Lebanon (World Learning), and Jordan (Relief International).

The toolkit is written for the team leader(s)—those who will lead the assessment process (including conducting the desk review and preparing the report) and who can train and oversee additional field researchers.

Although other tools are available that aim to measure safety, either generally or in learning environments specifically, this toolkit stands out for several reasons:

- The specific research questions align with the ECCN conceptual framework of safety, which differentiates 16 types of internal, external, and environmental risks, and prescribes field research only on the specific risks that have been identified as relevant to the context in question.
- It is highly prescriptive and employs a relatively basic qualitative methodology to be user-friendly to junior researchers or non-researchers who serve as team leaders and field researchers, but can still be used to be used to gather and report on important information. It can also be adapted by those with more experience for a more complex exercise.
- It employs a rapid qualitative methodology—the entire process (inception to report) can be completed within four weeks—for which the end result is a database of rich qualitative data and a short, user-friendly, descriptive report of findings.
- It can be used at any stage during the program cycle to inform program design and/or adaptation, which is particularly important in dynamic conflict and crisis environments.
- It can also be used as a capacity-building tool for research and/or programming teams interested in collecting and using data for program design.
- It aligns with and comprises a part of ECCN's RERA Toolkit, which allows for a more fulsome examination of the intersection of education and risks.

There are a few key limitations to consider when using the SLE Toolkit:

- **This is strictly a research toolkit:** It will help the users to uncover risks and assets related to safer learning, but it does not provide guidance on how to programmatically overcome those risks.
- **This is a diagnostic toolkit:** It will provide important but broad/general information about the risks and assets to SLE, but it may be necessary to conduct additional follow-up research. Also, this tool can be used as a supplement to—not a replacement for—a project's M&E plan.
- **This is a rapid qualitative toolkit:** While it can quantify some of the data, it will not produce representative or statistically significant data.
- **This toolkit focuses on the safety of the learning environment only, which includes the space to and from the learning environment:** The toolkit does not aim to explore all areas that may impact a child's life and contribute to schooling experiences. For instance, if armed groups are recruiting children in neighborhoods, leading to them dropping out, this is clearly an issue related to access but not one directly related to school safety. But if recruitment takes

place because children on their way to and from school walk past a place where recruiting occurs, then this would be within the scope of the assessment.

The toolkit uses a four-step approach, which will be detailed in the pages that follow:

STEP 1 Desk research

STEP 2 SLE scoring rubric

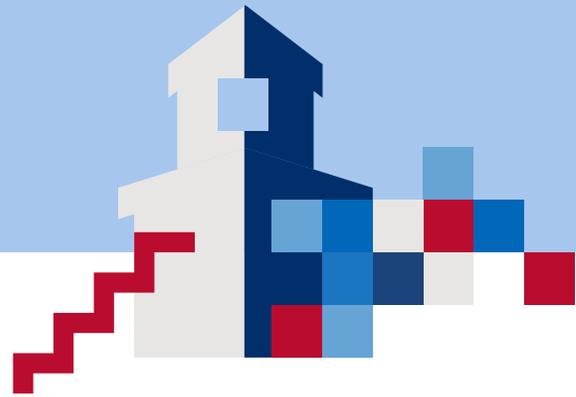
STEP 3 Fieldwork

STEP 4 Data entry, analysis, and reporting

Additional supplementary materials are available on [ECCN's website](#), including the following:

- Training videos that go through the four steps
- Recommended agendas and presentations to use in training your own field team
- Excel database for organizing and analyzing the data collected
- Reports generated from the utilization of this toolkit

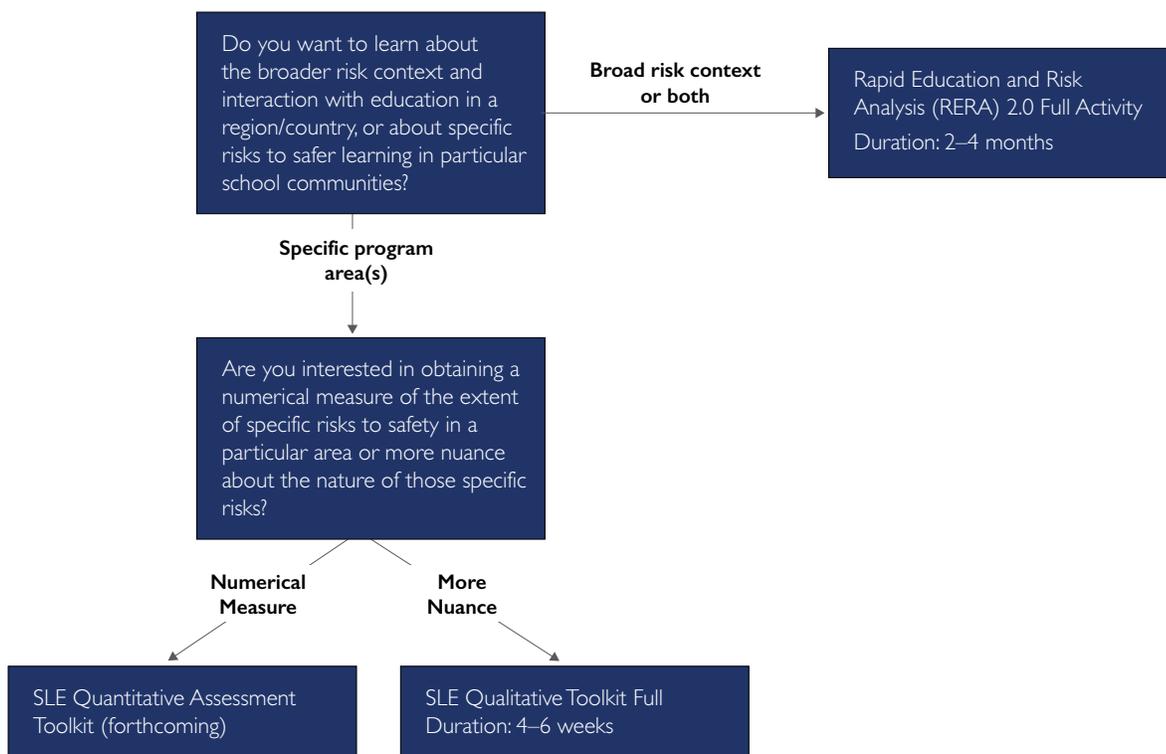
MAKE LEARNING SAFER: WHAT TOOL SHOULD I USE?



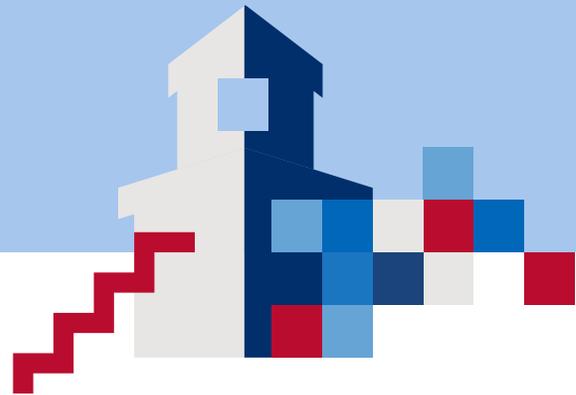
There are multiple tools and resources available when designing, implementing, adapting, and evaluating programs that aim to make learning safer. This decision tree is designed to help missions, IPs, and researchers

select the appropriate methodology (e.g., qualitative vs. quantitative, RERA vs. SLE toolkits) for answering their research questions.

Figure 1: Decision tree for approaches to research/assessment about how to make learning safer



INTRODUCTION



Education continues to be an essential component to improved livelihoods and socioeconomic growth. Children and youth in crisis and conflict environments, however, face particular and complex challenges related to schooling, especially in terms of their ability to access a Safe Learning Environment (SLE). Identifying the specific risks students face by being in a learning environment and going to or from one—and also the ways that they already try to or successfully overcome those risks—is critical for understanding how to create an effective program to help communities and schools overcome those risks. Without a clear vision of the learning environment, programs often do not achieve results, are unsustainable, and most significantly, may exacerbate the conflict and/or crisis, possibly harming the individuals they seek to benefit.⁴ Different risks

to safety require different response interventions, but often the nature of those specific risks and the assets (that which is already in place to try to overcome the risks) are not known to programmers. To overcome this knowledge gap, this SLE Qualitative Assessment Toolkit (SLE Toolkit) has been designed to be adaptable to the type(s) of risk present in a given environment. The toolkit aims to provide users with a nuanced picture of the risks and assets present in and around a learning environment so that they may use that evidence to design, implement, and adapt education programs to be context-specific and conflict-sensitive. This purpose supports USAID's 2011-2015 Education Strategy⁵ to increase access to education in conflict and crisis environments to over 15 million learners, and to ensure that learning is safe.

Figure 2: Conceptualization of risks to safe learning environments (SLE)

MAPPING SAFE LEARNING ENVIRONMENTS	
Risks	Specific Risks
<p>Environmental Risks</p>	<p>Natural Hazards (Earthquake, Tsunami, Flooding, Wind, Mudslides, Fires, Volcanoes, etc.)</p> <p>Health Emergencies (infectious disease, malnutrition, food insecurity)</p> <p>Crosscutting: Trauma</p>
<p>Internal Risks from within school by:</p> <ul style="list-style-type: none"> • Teachers/Staff • Student Peers (including those in violent groups) 	<p>School-Related Gender Based Violence (SRGBV) Corporal punishment, emotional, sexual and physical abuse, bullying</p> <p>Crosscutting: Trauma</p> <p>Gang Activity (Targeting students and teachers)</p>
<p>External Risks (physical and psychosocial consequences) by:</p> <ul style="list-style-type: none"> • Community members/family violence • Gangs • Extremist Groups • Armed groups in conflict 	<p>School-Related Gender Based Violence (SRGBV) Corporal punishment, emotional, sexual and physical abuse, bullying</p> <p>Crosscutting: Trauma</p> <p>Gang Activity (Targeting students and teachers)</p> <p>Individual attacks to/from school (Sexual harassment, violence, theft)</p> <p>Ideological Attacks (Targeted towards learning environment and students/staff)</p> <p>Caught in the Crossfire (School used by armed groups; fighting between groups breaks out near school)</p>

BOX 1: USAID STANDARDIZED CUSTOM INDICATOR FOR SAFE LEARNING ENVIRONMENT

A safe learning environment is typically defined as a place where structured learning happens that is free from environmental, internal, and external risks to learners' and education personnel safety and well-being . . . where infrastructure of a learning environment and also to the people within a learning environment) is deemed safe. Environmental risks can include, but are not limited to, natural disasters and public health risks. Internal risks can include, but are not limited to, school-related gender-based violence (which includes rape, unwanted—including both physical and sexual—touching, unwanted sexual comments and abuse, corporal punishment, bullying, and verbal harassment), and gang activity/recruitment within a school. External risks can include, but are not limited to, attacks on the way to/from school, ideological attacks on learning environments, armed/violent attacks on learning environments, and occupation of learning environment infrastructure by armed groups. Because the factors relevant to safe learning environments vary from context to context, the criteria used to define a safe learning environment should be determined in consultation with local stakeholders before school improvements are made.

—USAID Draft New Standard Indicators PIRS for SLE, January 2016

As both Figure 2 and Box 1 indicate, the ECCN's concept of SLE articulates risk according to three categories, which may overlap at times: (1) environmental, (2) internal, and (3) external risks. Similarly, school environment encapsulates any place where structured learning and/or training happens. This definition is sufficiently broad to accommodate many of the contexts in which education in crisis and conflict takes place. With this in mind, the toolkit applies to all learning contexts and learners. For convention's sake, the toolkit maintains use of the terms "school" and "students," but implementers should note the flexibility of these terms and adapt the toolkit accordingly.

DEFINITIONS

A **learning environment** is any space in which education is delivered. "Space" includes temporary structures, such as camps or community pop-up schools. "Education" includes both formal and non-formal (NFE) education, including skills training. This toolkit uses the terms "school" and "learning environment" interchangeably.

A **student** is any youth or adolescent who attends any type of learning environment, in any capacity, and includes boys, girls, male and female youth, and other gender identities as well as people with disabilities (PWD).

A **risk** to safe learning means an individual's or group's safety is currently being threatened or has a chance of being threatened in the near future.

The SLE toolkit is a diagnostic tool that provides a snapshot of the situation and, as a general rule, can always be followed by a more in-depth analysis as needed and if feasible. It is important to emphasize the narrow scope of the assessment—it cannot explore all areas that may affect a child’s life and contribute to schooling experiences. For example, if armed groups are recruiting children in neighborhoods, resulting in the children dropping out, this is clearly an issue related to access, but not one directly related to school safety. It is outside the scope of the assessment. However, if the recruitment takes place because children walk by a place where recruiting occurs, this would be within the scope of the assessment.

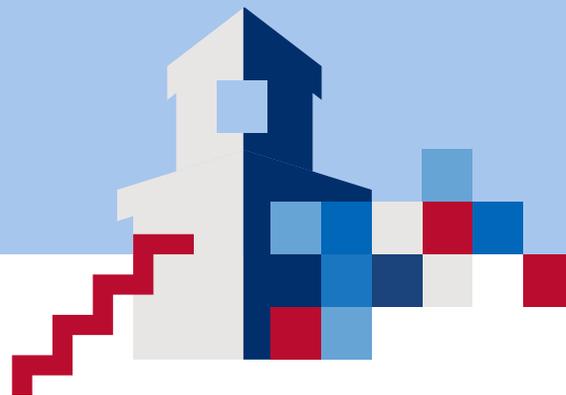
Additionally, the SLE toolkit will not necessarily provide a complete account of the causes, nature, and nuances behind the risks and assets present, nor will it necessarily provide recommendations for how a program should be delivered. Nonetheless, the school-based insights obtained from the assessment should contribute to a more comprehensive and systems-oriented view of the overall educational context within a country than a broader conflict assessment or analysis⁶ could produce. Table 1 provides a summary of the SLE toolkit’s origin, scope, and purpose.

Table 1: The SLE toolkit at-a-glance

<p>What is the purpose of the toolkit?</p>	<ul style="list-style-type: none"> • To identify what are the specific risks to safer learning in a geographical location through desk review. • To learn more details and nuance about the specific risks—and any existing local strategies (assets) to overcome those risks - through primary field research.
<p>How was the toolkit developed and tested?</p>	<ul style="list-style-type: none"> • Developed in consultation with ECCN SLE Working Group and ECCN Research Team. • Piloted draft 1 of tool in El Salvador (Glasswing International) and Somalia (Mercy Corps). • Piloted draft 2 of tool in Philippines (ChildFund), Honduras (ChildFund), Lebanon (World Learning), and Jordan (Relief International).
<p>What are the reasons to use this toolkit instead of others?</p>	<ul style="list-style-type: none"> • Specific research questions in toolkit align with ECCN’s conceptual framework (prescribes field research only on specific risks that have been identified in geographical context). • The toolkit is highly prescriptive but also adaptable throughout to be user friendly for junior researchers or non-researchers. It can also be significantly adapted by those with more experience. • It employs a rapid qualitative methodology—the entire process (inception to report) can be completed in four weeks (of active work).
<p>Can I just use certain parts of the toolkit?</p>	<ul style="list-style-type: none"> • Yes. The entire tool is composed of four steps, but each step (and respective section in this toolkit) can stand alone as needed. For example: <ul style="list-style-type: none"> • If program implementers are already well aware of the context of their programming and know which risks they wish to pursue with field research, then they can skip steps 1 and 2. • If the aim is to conduct only a preliminary desk review, then Step 1 would stand alone. • If all the steps are followed, they reinforce the systematic, rigorous, and objective nature of the exercise.

<p>Who needs to be involved to use this toolkit and how do I set up the team?</p>	<p>It is flexible but requires at least a five-person team of junior researchers or capable non-researchers who are in-country. (See Annex 3 for example team structures and Tool 5 for a sample SOW.) These can be project staff (M&E or implementation), consultants, or volunteers.</p> <p>A Team Leader is necessary to centralize, drive, and be the technical lead for the entire process. This person can be anyone with knowledge of the program and/or geographical context, but intermediate computer, writing, and analysis skills are essential for the report-writing phase.</p> <p>The field team should have at least two women with knowledge of cultural context (and, ideally, local languages, although interpreters can be considered in some cases). It can be made up of anyone who has respect for ethical research practice and good note taking and speaking skills, and who is eager and willing to conduct field research in potentially uncomfortable environments.</p> <p>Organization M&E staff can provide oversight and backstopping, as needed and if feasible; data entry clerks can quicken the process.</p>
<p>When should this toolkit be used?</p>	<p>The SLE toolkit can be used:</p> <ul style="list-style-type: none"> • At any stage during the program cycle to inform program design and/or adaptation • To supplement and/or inform M&E processes
<p>What are the limitations and important things to consider about this toolkit?</p>	<p>The SLE Toolkit:</p> <ul style="list-style-type: none"> • Is strictly a research toolkit: It will help the users uncover risks and assets related to safer learning, but it does not provide guidance on how to programmatically overcome those risks. • Is a diagnostic toolkit: It will provide important but broad/general information about the risks and assets to SLE, so it may be necessary to conduct additional follow-up research. Also, this toolkit can be used as a supplement to—not a replacement for—a project’s M&E. • Is a rapid qualitative toolkit: While some of the data are quantified, the toolkit will not produce representative or statistically significant data.
<p>How much does it cost?</p>	<ul style="list-style-type: none"> • The cost will vary depending upon context, scope of the exercise, and whether external consultants are hired instead of project staff. Piloting teams remarked that it had excellent value-for-money, particularly when existing project staff were part of the team.

OVERVIEW OF TOOLKIT



The SLE toolkit is designed to lead program implementers with little research training and/or experience (e.g., junior local M&E staff) through a systematic four-step process (see Figure 3) that assists in the prioritization of data collection and supports rapid analysis and reporting. The narrative of the toolkit is written for those who will commission and/

or lead the assessment process, referred to henceforth as the “Team Leader.” Ideally, the Team Leader will be present in the field with the research field team, but it is possible for the Team Leader to oversee virtually, provided she or he has excellent knowledge of the program and the geographical context that is being assessed.

Figure 3: The SLE Toolkit’s Systematic Four-Step Process



The intention is that by following the processes outlined, users will produce reliable findings they can then use to inform or modify their program design and activities.

The SLE Toolkit’s four-step process that includes the following:

1. Preliminary remote **desk research** into the context of the location and/or risk environment in which a program is ongoing or planned.
2. A rapid comprehensive **scoring rubric** that will assist in the prioritization of risk and asset categories.⁷
3. A **primary data collection** exercise that uses focus group discussions (FGDs) and key informant interviews (KIIs) and is qualitative in nature.
4. **Data entry, analysis, and reporting** of findings—Systematic and prescriptive process designed for junior researchers on how findings may be presented in short and simple reports that are accessible to and actionable by practitioners.

Figure 4 provides a toolkit summary that outlines the tools (in bold) and depicts their relationship to one another.

Figure 4: Detailed SLE Assessment Four-Step Process

	STEP 1: Desk Research	STEP 2: SLE Toolkit Scoring Rubrics	STEP 3: Fieldwork	STEP 4: Analysis and Report Writing
OUTCOME	Outline of general contextual risks	Completion of scoring rubric of risks specific to SLE—Results will guide Step 3 additional research	Data collected on risks identified in scoring rubric (Step 2)	Compiled findings for each risk/asset category—Includes frequency, who is involved, and existing solutions (if any) to try to overcome risks and to enhance assets
PURPOSE AND METHOD	<p>PURPOSE: Identify broad contextual risks to education</p> <p>METHOD: Literature review, key informant interviews (virtual), and analysis of existing data</p>	<p>PURPOSE: Identify specific SLE risks; create short list of those requiring Step 3 research</p> <p>METHOD: Rapid scoring rubric summarizing risks</p>	<p>PURPOSE: Deeper dive into specific risks and assets related to safer learning environments</p> <p>METHOD: Field-based rapid qualitative research with tools specific to identified region(s)/school(s); 2 communities (minimum)</p>	<p>PURPOSE: Entry and analysis of notes collected in Step 3 to produce a simple report to inform programming and/or future research</p> <p>METHOD: Simplified thematic analysis; report composition; presentation of findings</p>

	STEP 1: Desk Research	STEP 2: SLE Toolkit Scoring Rubrics	STEP 3: Fieldwork	STEP 4: Analysis and Report Writing
TOOL(S) / GUIDE(S)	Desk Review Tool (Tool 1) SLE Research Guiding Questions	SLE Scoring Rubric (Tool 2)	FGD and KII Questions Matrix (Tool 3) SLE Assessment Activity Fieldwork Design (Tool 4) Sample Scope of Work and timeline for Team Leader (Tool 5) Field Team Training Agenda (Tool 6) Training Presentation (PPT file, e-annex on ECCN website) Field Planning Checklist (Tool 7) Recommended Daily Field Team Debrief (Tool 8) Example Forms for Conducting Ethical Research (Tool 9)	Qualitative Data Entry Guide (Tool 10) SLE Qualitative Database (Excel file)
DURATION	1–2 weeks (desk)	4 hours	2 weeks (+1 week per additional community visited)	1–4 weeks (desk)

ADAPTING THE TOOLKIT

The *SLE Qualitative Assessment Toolkit* provides implementers with a set of tools and associated discussion and interview questions that can be used to better understand their operating environment. The methodology and tools presented in this toolkit should be considered the most simplistic version of what could be (as needed) a more in-depth exercise that would be more costly and time consuming.

Before going any further into the toolkit's four steps, the Team Leader, in collaboration with relevant colleagues in the organization, needs to identify what the desired output is, how that output will be used by the organization, and who else may see or use the output.

For example:

- ▶ Will there be a final report that is only used internally to refine aspects of an ongoing program?
- ▶ Will there be a final report that is meant to be shared with local ministries to encourage participation and collaboration in a program?
- ▶ Will there be no final report, but instead a presentation and summary brief of findings to be delivered at a country-wide event?

With the clear objective and audience in mind, implementers are then encouraged to adapt all or various parts of the toolkit to their context and needs (see Box 2).

It is essential that research questions, methods, and analysis are adapted to take into consideration any harmful social and gender norms. Defined as disparities, these are the result of biological, structural, socioeconomic, and cultural conditions, as well as stigma and discrimination—all of which impede individuals' access to resources, including education.

BOX 2: ADAPTATIONS TO CONSIDER

Following are possible options for adapting the toolkit:

Overall:

- Expanding the scope beyond the recommended minimum for a more wide-reaching or in-depth exercise
- Adjusting the team structure as appropriate (consultants, staff, volunteers, stakeholders)
- Ensuring questions, methods, and analysis take into account local social and gender norms
- Tailoring risk categories to the local context
- Skipping steps if sufficient information is already available or not needed—each step stands alone

Step 1:

- Producing desk review report for review or sharing

Step 2:

- Refining specific risks within the scoring rubric to fit local context (e.g., earth risks, but only earthquakes, not landslides) or considering new risks not already covered

Step 3:

- Translating toolkit components for use by team and for fieldwork
- Refining language of fieldwork questions to be appropriate for the context: understandable terms, age-appropriate phrasing, culturally relevant and context-relevant terminology
- Revising most appropriate response types for each question set
- Selecting certain questions for certain groups; skipping others

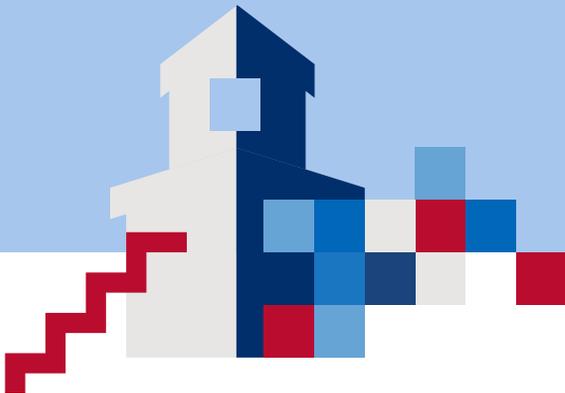
Step 4:

- Expanding recommended report structure to organization needs and capabilities
- Utilizing own qualitative data analysis software instead of SLE qualitative database ([an e-annex file available on the ECCN website](#))

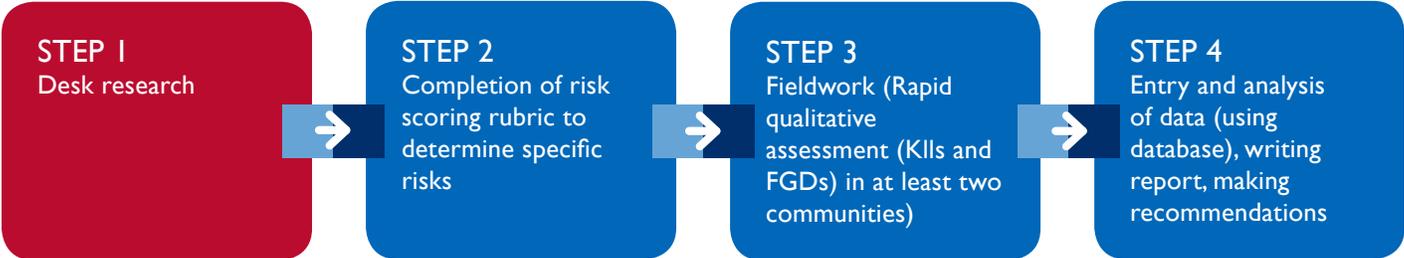
The toolkit also includes 10 tools and six annexes. It may not be advisable to adapt and/or translate all of these sections, which would be time consuming, until the organization, or the project that commissions the assessment, is clear about the scope and goals and

selects which tools, sections of tools, and annexes are needed. Each tool and annex provides an 'at a glance' cover page to facilitate this initial Step 0 review. The next section provides detailed information on the four steps of the SLE Qualitative Assessment process.

TOOLKIT STEPS IN DETAIL



STEP 1: DESK RESEARCH



OUTCOME: Exhaustive review of secondary data related to main risk(s) in geographical context

INPUT: Team Leader, 3 days



Overview of Step 1

The first step in the SLE Toolkit is a desk research process that draws upon existing information to answer one broad question: “What are the main risks and assets that are present in the schools where the program/project will be implemented?”. Answering this question through the desk research process will produce a broad outline of the types of school-related risks already identified in the targeted country and region(s) of interest. Existing literature, secondary data analysis, and discussions with subject matter experts lay the foundation for the review. Information will be needed to describe the pre-crisis situation as

well as the in-crisis situation (and in some cases, post-crisis situation). Supplementing the document analysis with discussions with experts will allow for a more updated account of present risks, given that a conflict and crisis environment is constantly changing. Such an overview will also provide insights into the variety between regions and/or schools within the program area. The information produced will be useful in the completion of the SLE scoring rubric (Step 2) and ultimately inform the planning of the upcoming field visit(s) (Step 3). The focus of the desk research should be on the education sector while also considering relevant relationships to other sectors. Table 2 provides an overview of Step 1.

Table 2: Overview of Step 1

At a glance	<ul style="list-style-type: none"> • Desk research process that draws upon secondary data to inform subsequent steps • Data sources: Uses relevant background documents and preliminary discussions with key informants • Methodology: Two full days (16 hours) spent searching for existing resources and one additional full day (8 hours) conducting preliminary (virtual) interviews • Conceptual focus: Collecting and reviewing information related to the main risks to education and safe school communities that may impact project areas • Optional: Produce a desk review report that includes literature and interview data; gaps in knowledge and data (add one day for production of report)
Tools Included	Desk Review Framework Tool (Tool 1)
Additional materials	Computer with internet access, telephone
Additional (optional) resources to consider	Rapid desk reviews: VCU, Rapid Review Protocol National Collaborating Centre for Methods and Tools–Rapid Review Guidebook: Steps for Conducting a Rapid Review

Conducting Desk Research

The main research question this toolkit aims to answer is: “What are the main risks and assets that are present in the schools where the program/project will be implemented?”. The time period that the desk review should cover depends on the context; the key is that it should help the team to understand present and potential risks in the school environment. If previous and historical information

is useful for understanding present risks, then it is relevant and should be included. If other risks are of greater concern than historical risks, then more time should be spent uncovering present risks. The desk review process will begin uncovering information related to this broad question, but also in the process, a number of SLE-specific sub-questions will help focus the initial review. Some ideas for these are provided in Box 3.

BOX 3: DESK RESEARCH GUIDING QUESTIONS

General

What are the main risks in the country—conflict, natural disaster (rapid and slow onset), organized crime and gang violence? And where?

What are the root causes of those risks?

Differences within a country/region

How do the risks differ throughout parts of the country? [There may be obvious differences when it comes to certain geographical features (e.g., near oceans or fault lines) or ongoing conflicts. But also consider differences that may be present depending on whether the community is urban or rural, proximity to borders, proximity to extractive industries, and predominant ethnic or religious groups.]

Relationship to education

Who are the main stakeholders related with each risk at the community—and school—levels?

What is the impact of the risks at the school and community levels (policies, materials, school management, practices, etc.)? Who is most affected (schools, staff, learners, communities)?

What are the barriers to access to school, and how are they affected by various risks?

At both the school and relevant community level, what are the main sources of division?

(continued...)

Assets

At the school and relevant community level, which actors, capacities, and/or resources exist to assist students, teachers, school staff, parents, and others deal with present risks?

At the school and school community levels, what are the main sources of social cohesion? What issues and events bring people together? What fosters collaboration?

Inclusivity / equity

What are some of the factors that contribute to or detract from inclusivity and equity (factors related to gender, disability, sexual and gender orientation) as they relate to safety?

What are some of the prevailing gender and social norms that may impact safety?

What specific research protocols need to be considered given the gender and social norms?

The Desk Review Tool (Tool 1) can be used to help teams organize the literature and key messages by specific risk area identified (as aligned with the conceptual framework). In addition, it may be helpful for the Assessment Team to produce a brief report or documentation (e.g., bullet points under headings) on the desk review findings that will be helpful in sharing with partners, framing refinement of interview questions in Step 3, and helping contextualize findings when presented in the report in Step 4.

Many types of print resources are appropriate to include for the desk review, provided you can be confident that they are reliable (and if not, it is necessary to triangulate information with additional resources). These include the following:

- USAID guidelines
- USAID RERA report
- National policies

- Research studies
- Risk-related reports
- Secondary data reports (Demographic and Health Surveys, census data, labor market assessments)
- News articles
- Program documents and reports
- Evaluations
- Scholarly journal articles

There are also a number of approaches to searching for appropriate resources. The Assessment Team should use whichever approach they are most experienced and comfortable with. Annex 1 includes examples of databases, search engines, and repositories that teams may consider. Annex 2 provides a number of keywords and suggested search combinations that may be used if teams are struggling to find relevant resources.

Exploratory Interviews

Exploratory interviews are also a good way to gather information. These can be conducted in-person as is convenient (e.g., within your normal office setting) or virtually. Detailed notes should be taken to document the conversation.

It is important to conduct as many interviews as possible before beginning fieldwork so that time in the field can be spent with beneficiaries who are not so easily accessible (e.g., students, school personnel, parents). The following key partners may be useful key informants who are available virtually:

- Local field offices of organization
- Ministries of education, planning, labor, community development, and/or finance
- Local and regional governments
- Local and regional educational officials
- Local and regional law enforcement authorities
- National disaster management authorities
- International and local NGOs
- International and multilateral organizations (e.g., World Bank, United Nations, International Monetary Fund, European Union)
- Other bilateral development partners

If time and resources allow, it may be prudent to travel to potential communities before beginning Step 3 field research to conduct an initial assessment—interviews, observations, and informal conversations. This is especially useful in areas that are not well-documented or known about by individuals you have interviewed from the home-base.

REMEMBER

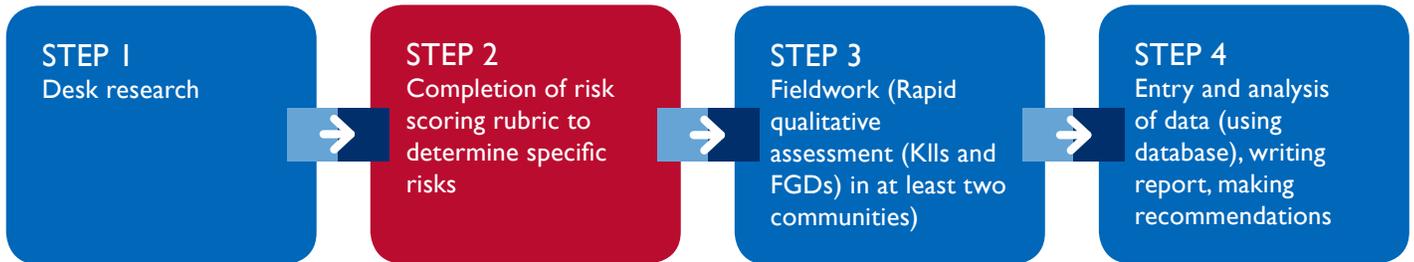
The focus of your assessment is the safety of the learning environment specifically (in or on the way to and from). Other safety issues that impact schooling (e.g., recruitment into gangs around a student's home that then impact his or her retention), while important, are beyond the scope of this study.

Narrowing Focus in Preparation for Data Collection

Because it will be impossible to perform the SLE Qualitative Assessment throughout all program sites and regions, during Step 1, program implementers should begin thinking about the areas they wish to prioritize as assessment sites for Steps 2 and 3. This determination should be made based on previous experience and knowledge of the program areas and especially upon the results of the desk research from Step 1. The level of risk will be a critical factor to selecting sites for additional fieldwork exploration. Similarly, it is likely that political considerations may also influence site choice. Finally, where there are significant data gaps and the degree of or type of risk is simply unknown, field research may be necessary.

As stated above, although resources and time will not allow for an in-depth investigation of all program areas, the SLE Toolkit offers the opportunity to learn more information about select current contexts in order to inform programming within the region(s) and/or school(s) researched. While this investigation will have too small a sample size to allow for generalization, findings may apply to other areas beyond the data collection sites. In this way, the SLE assessment exercise provides the opportunity to learn about risks that may improve understanding of particular region(s) and/or school(s) as well as the overall catchment area.

STEP 2: COMPLETE THE SLE SCORING RUBRIC (TOOL 2)



OUTCOME: Identification of most significant risk areas (of 16) in geographical region that require primary research in communities

INPUT: Team Leader + Assessment Team, half day

Overview of Step 2

The SLE scoring rubric accompanies the preliminary desk research process. It uses insights gleaned from the desk research of existent key resources and initial conversations with experts to provide a more systematic framework for assessing the main risks to school communities and safe learning. It helps

identify those school communities and contextual risks that require additional investigation through limited fieldwork (Step 3). The scoring rubric can also help the SLE Assessment Team refine its primary data collection methodology it helps identify the key risks that will inform field data collection. Table 3 provides an Overview of Step 2.

2

Table 3: Overview of Step 2

At a glance	<ul style="list-style-type: none"> • Follows preliminary desk research • Internal document that informs the SLE Assessment Team's decision about field data collection parameters and sites • Data sources: Uses relevant background documents and preliminary discussions with experts • Methodology: Rapid completion of scoring rubric based on desk research • Conceptual focus: Understanding and ranking the main risks to education and safe school communities • Recommended additional output: Fieldwork design report
Tools included	SLE Scoring Rubric (Tool 2)
Additional materials needed	None

How to Use the SLE Scoring Rubric

The SLE Assessment Team can complete a scoring rubric (Tool 2) for an identified region and/or school or for one or more specific subnational geographic territories. The SLE Assessment Team is encouraged to complete scoring rubrics for all of the regions and/or schools that they may be considering, as this analysis may help to establish priority areas.

The scoring rubric is divided into sections focused on possible specific risk categories in the country. These categories build upon the conceptual framework laid out in the above section: environmental, internal, and external risks to a safer learning environment. The categories also reflect consultations with the ECCN SLE Working Group and the RERA Reference Group. Each risk-specific section contains three questions that can be scored as follows: one (low risk), two (medium risk), or three (high risk) (see Figure 5).

Figure 5: Scoring rubric tallying



The scoring rubric is simply an orienting tool to discern next steps for data collection based on preliminary desk research evidence. It is not a quantitative assessment. As such, the SLE Assessment Team may wish to discuss various considerations and criteria for determining the risk ranking for this exercise. Recall that risk is the possibility of harm, and this in fact takes into account both the likelihood of harm (or an event) and the potential impact or severity of that harm (or event). The following matrix (Figure 6) is a standard risk matrix used in risk management and can provide a simple framework for determining the level of risk in the scoring rubric.

Figure 6: Risk matrix

	High	Low	Medium	High
IMPACT	Medium	Low	Medium	Medium
	Low	Low	Low	Low
		Low	Medium	High
		LIKELIHOOD		

Completing the SLE scoring rubric requires a great deal of discussion among the SLE Assessment Team. These discussions allow teams to arrive at a common understanding of terms, which provides greater validity to rubric results. Recall that the terms used in the toolkit are general, but they will have local meanings. For instance, the term “gang” may mean something different in different places. Teams will need to understand the meaning, document that meaning for use in future field activities (e.g., defining terms to participants) and for report writing, and make adjustments in the checklist as needed. These revisions will serve as the foundation for later adaptations of the tool to ensure cultural relevancy and accuracy during the fieldwork phase.

Teams have several possible approaches for completing the scoring rubric:

- ▶ Hold a team meeting and complete the rubric collectively
- ▶ Complete the rubric individually and meet as a team to produce an average score

When completing the rubric, be sure to:

1. Allow enough time for a detailed discussion (2–3 hours).
2. Consider translating the rubric for a more engaging discussion. This may be done orally.
3. Clarify technical terms and document definitions based on local context.
4. Discuss how risks may or may not be present within the regions and/or schools identified for review. Make a special note of how risks are different, depending on the region/school, and complete a separate scoring rubric for each region and/or school in question.
5. Record the main points from these discussions and include them in the final report to clarify sampling decisions.

The criteria and scale for ranking risks should be determined internally among the team members conducting the assessment. While each individual score will be subjective, remember that as long as you are consistent in applying the criteria across all risks, then the exercise will be, ultimately, objective.

Moving from the Scoring Rubric to the Fieldwork Planning Phase

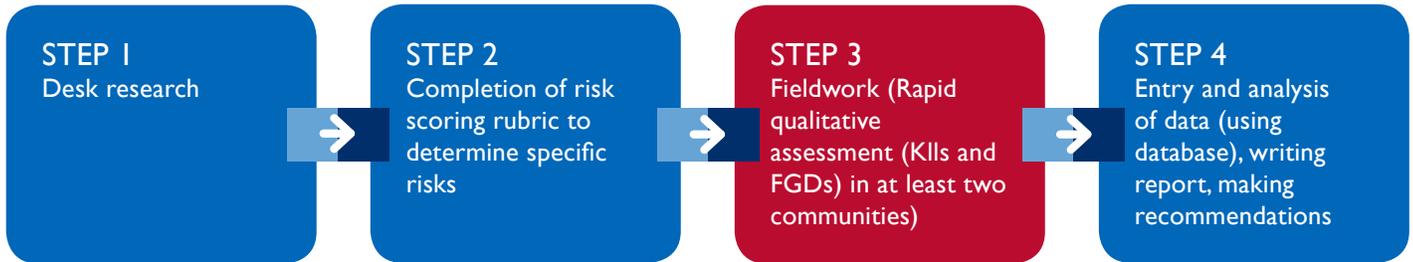
Once the SLE Assessment Team has met to review the scoring rubric, they need to make a decision as to the risks they will focus on during the fieldwork phase. As described in Step 3, the fieldwork phase includes both focus group discussions (FGDs) and key informant interviews (KIs). With limited time and personnel, teams will need to prioritize the questions they wish to investigate with participants. In general, scoring rubric risk categories with higher total scores will be explored, and specific questions that delve more into that risk will be asked during FGDs and KIs in Step 3 fieldwork. Also, reviewing separate regional scoring rubrics may help the team determine which communities to visit (e.g., those with the highest number of risks, or those with risks that are less well-documented).⁸

The SLE Assessment Team should discuss and agree upon the specific threshold for further investigation,

taking into account other factors that will play a role in this decision: programming objectives, programming coverage, national priorities, operating environment, available resources, etc. Ultimately the scoring rubric will not make the decision for the team, but it will provide a systematic method to help that team make an objective and well-informed decision. A Fieldwork Design Table is provided in Tool 4 to help teams with this process.

At this stage, it is recommended that the team produce a brief design to share with others in the organization, including (1) anyone providing backstopping so that issues can be flagged early on and (2) the field team to help them remain focused and on the same page in terms of the intended utilization of the report and main research questions. This will not add a significant level of effort to the broader exercise, because it will serve as the methodology section of the assessment report.

STEP 3: FIELDWORK



OUTCOME: Primary qualitative data providing insights about risks to safer learning environment from students, teachers, parents, leaders, others.

INPUT: Team Leader + Field Team (4 people), 2 weeks

Overview of Step 3

The next step in the SLE assessment process is conducting fieldwork—that is, visiting specific schools and meeting with key stakeholders to collect data for analysis in a systematic way. The purpose of the fieldwork is to do ethical and conflict-sensitive research to provide additional nuance to the previously identified risks. The School Community Fieldwork Tool (Tool 3) provides the recommended questions for the field team to ask across at least two selected school communities via in-person KIs and FGDs with government officials, community based organizations (CBOs), non-governmental organizations (NGOs), students, teachers and school staff, parents, and other key stakeholders. It is envisioned that this process will require a team

comprising a Team Leader and four team members (at least two of whom are female), and it will take approximately 2 weeks (for two communities).

Because this toolkit is designed to be diagnostic, the data and conclusions from this limited, purposive sample of school communities are not intended to be generalizable to all school communities in a country. However, the tool can offer crucial insights into the complex, dynamic relationships between existing contextual risks and select school communities—learners, teachers and staff, families, and surrounding communities—and complement secondary data findings. These insights can also warrant more comprehensive investigation. Table 4 provides an overview of Step 3.



Table 4: Overview of Step 3

<p>At a glance</p>	<ul style="list-style-type: none"> • Duration: 2–3 days (training in office and field test) + 1–2 weeks (in the field)—Allow 1 week per community visited, including travel and logistics, but visit no fewer than 2 communities • Sample: Limited, purposive sample of school communities • Conceptual focus: Understanding the dynamic, two-way interaction between school communities and contextual risks and the factors behind school community resilience to these risks • Data collection approaches: FGDs and KIIs • Methodology: Qualitative data collection
<p>Tools included</p>	<ul style="list-style-type: none"> • FGD and KII Questions Matrix (Tool 3) • SLE Assessment Activity Fieldwork Design (Tool 4) • Sample Scope of Work and timeline for Team Leader (Tool 5) • Field Team Training Agenda (Tool 6) and PowerPoint e-annex • Field Planning Checklist (Tool 7) • Recommended Daily Field Team Debrief (Tool 8) • Example Forms for Conducting Ethical Research (Tool 9)
<p>Additional materials needed</p>	<ul style="list-style-type: none"> • Adapted Field Form Templates (1 for each question) • Flip chart paper • Markers • Easel and tape or tacks (for hanging paper)
<p>Additional (optional) resources to consider</p>	<ul style="list-style-type: none"> • Research ethics—USAID’s Policy Brief: <i>Ethics in Research and Evaluation in the Education Sector</i> • Qualitative methods: <ul style="list-style-type: none"> • Qualitative Research Methods: A Data Collector’s Field Guide (FHI360) • What We Know about Ethical Research Involving Children in Humanitarian Settings (UNICEF) • Additional data collection tools related to specific risks: <ul style="list-style-type: none"> • The Joint Education Needs Assessment Toolkit (Global Education Cluster) • Positive Youth Development Measurement Toolkit (YouthPower Learning) • Conceptual Framework for Measuring School-Related Gender-Based Violence (RTI for USAID) • A Guide to Assessing Your Community’s Youth Gang Problem (National Gang Center) • Knowledge on Fire Questionnaire (CARE International) • Implementing the Guidelines...for Protecting Schools and Universities from Military Use During Armed Conflict (GCPEA) • School Disaster Reduction and Readiness Checklist (RiskRed.org) • KAP Guidance for Oral Cholera Vaccine Stockpile Campaigns (WHO) • Global School-Based Student Health Survey (WHO) • National Center for PTSD: Brief Trauma Questionnaire

Fieldwork Preparation

Field Site Selection

One of the first objectives of Step 3 is to confirm which communities (a minimum of two) will be visited for field research. “Community” should be clearly defined by the Assessment Team, but essentially “community” means the location of the school itself and also the area around it in which students and teachers may travel to and from their residence. The choice of school community sites for primary data collection is purposive (see Box 4) and guided by the preliminary desk research and consultations with key partners. During the desk research, the SLE Assessment Team should consider the following factors when deciding on the primary data collection sites:

- Gaps in knowledge about the dynamic interaction between contextual risks and school communities
- School communities that feature comparatively high levels of contextual risk and low levels of resilience
- School communities that have high levels of risk but many assets that help overcome and manage those risks
- School communities that are of particular importance or relevance for programming
- Views of key stakeholders and national partners (such as the Ministry of Education)

It is likely that the SLE Assessment Team will need to make compromises when deciding upon primary data collection sites. Factors such as distance between sites, non-permissive or high-risk operating environments, and political imperatives can arise and require the SLE Assessment Team to modify its selections.

At least two communities should be visited, purposefully selected to capture some degree of variety across all relevant school communities. If time and resources allow, visiting more school communities with distinct features will only enrich the data collected. Allow around one calendar week, including travel, for each additional community.

BOX 4: SAMPLING STRATEGIES

Representative/probability sampling/random sampling allows for generalizability (of the whole population in question), but it can be time consuming and may not be appropriate for all studies.

Purposive sampling (non-probability) uses the (informed) judgment of the analysis team to select locations and/or informants that may show the variety across the entire population. This strategy may also be referred to as “purposeful” sampling and allows for diverse perspectives but not generalizability.

Convenience sampling focuses on easily accessible locations or informants.

Field Site Planning

Collaborative, advance site planning is vital in these sensitive environments. The SLE Assessment Team should conduct in-person planning discussions with each selected school community to adequately prepare for each data collection visit. Priority stakeholders to be consulted include school directors and teachers. As time allows, the SLE Assessment Team may wish to reach out to local government representatives (or the mayor, as warranted), local NGOs and CBOs, other IPs with programs in the area, and religious leaders concerning the visit.

Advance planning with school communities can also optimize the data collection methodology (e.g., adapting potentially controversial questions), strengthen conflict sensitivity by surfacing unforeseen sensitivities, and manage expectations of the school community about the exercise. A checklist of planning activities is provided in Tool 7.

Establishing Ethical Safeguards and Protocols

Such research requires close attention to ethical guidelines as per USAID ADS (Automated Directives System) Chapter 109 guidance, and more specifically for research with vulnerable populations, young people, and topics of a sensitive nature as guided by typical ethical guidelines provided by the American

You must follow safeguards and protocols to ensure your research is ethical. Clearance through the institutional review board (IRB) of the organization conducting the research is required prior to any data collection. See Annex 5 (Guidelines for Conducting Ethical Research) for additional details and resources.

Sociological Association, World Health Organization, country guidelines, and organization Institutional Review Boards (IRBs). Most basically, the benefits of the research must clearly outweigh any potential risks of harming human subjects from the research. Also, all human subjects must be fully informed about the purpose of the research, their role in the research, and the types of questions they will be asked (and that some questions will be of a sensitive nature and could be upsetting), and they must be clearly aware that they are under no pressure to participate in the research. If, at any moment during the interview, a participant no longer wants to speak, the researcher must (a) notice it readily and (b) immediately allow the participant to end his or her participation. The participant must never be forced or pressured to participate in the survey or to “keep on answering.” It is imperative that women conduct KIs and FGDs with women and that minors under 18 receive consent to participate from a parent or guardian (in some cases for in-school research, the school can provide consent for the minor).

Another issue that the SLE Assessment Team must address is how to handle sensitive information that requires follow-up, either because a question triggers a participant or because information is shared that requires reporting and/or a professional response. This may include a participant reporting incidents of abuse or illegal behavior. Additional details on conducting ethical research are found in Annex 5; sample Informed Consent forms and team Code of Conduct forms are found in Tool 9.

Reviewing FGD and KI Questions Matrix (Tool 3)

The FGD and KI Questions Matrix (Tool 3), serves as a template for data collection and provides options to the SLE Assessment Team. Structured according to the 16 specific risks, the matrix includes questions and response options particular to various respondent type(s). Each risk category has a corresponding letter and discussion question number, and these categories correspond to the risk categories used in the scoring rubric. The fieldwork design table described under Step 2 and provided in Tool 4 (SLE Assessment Activity Fieldwork Design Table) will help to plan which questions will be asked to which focus groups, noting the time limit for FGDs, and which questions are most appropriate for certain groups.

An illustrative excerpt of the questions matrix provided in Tool 3 is provided in Figure 7. In addition to the main question (in bold), question blocks include instructions for the facilitator/note taker (in italics and brackets) and additional follow-up questions in plain text, which should be asked if the discussion has not already covered these points. Each of the questions also has a number of associated response types that may be anticipated (based on previous piloting of this tool), and which will become important to consider for the note taking and field coding processes (detailed in the Taking Notes section below).

It is imperative that women conduct KIs and FGDs with women and that minors under 18 receive consent to participate from a parent or guardian (in some cases for in-school research, the school can provide consent for the minor).

Figure 7: Excerpt of questions matrix with question, guidance, and response types, for Risk A. Internal: SRGBV

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
A.1	<p>A. Internal: SRGBV: These questions address issues within the school environment that are gender dependent. Boys and girls may experience these issues differently. While some of the items may be similar to later questions, the purpose of this question is to probe for gender-specific information.</p>	<p>Of the following types of SRGBV, which occur at this school regularly? Bullying between students? A student sexually abusing another student? Corporal punishment? Teachers abusing students (emotional, physical, sexual) or vice versa? <i>[Blind vote: Have group respond with heads down and hands up. Write answers on flip chart and invite participants to discuss their answers if they wish, but do not pressure them to do so.]</i></p>	<ul style="list-style-type: none"> a) Bullying between students (including cyber-bullying) b) Student sexually abusing another student c) Teachers using corporal punishment/ physically abusing students d) Teachers emotionally abusing students e) Teachers sexually abusing students f) Students abusing teachers in any way
A.2		<p>If you hear about a student victim of SRGBV, how do you report it (or, if you haven't ever heard of one, what would you do)? Is the reporting mechanism different depending on the type of abuse or who is involved? What response is supposed to occur? What response actually occurs? What communication gaps might prevent resolution of this problem?</p>	<ul style="list-style-type: none"> a) Don't report it b) Complaint box/anonymous reporting c) School management committee or similar d) Police e) Other
A.3		<p>What is the school doing to reduce the incidence of SRGBV? Please be specific when talking about the types of SRGBV already discussed. Are these actions successful? What would it take for them to be more successful? How can others help? What communication gaps might prevent resolution of this problem?</p>	<ul style="list-style-type: none"> a) Workshops/school-wide sensitization meetings, posters, etc. b) School codes of conduct c) Teacher/student/parent committees d) Safe spaces for girls (e.g., latrines) e) Internalizing positive gender attitudes and norms f) School is not doing anything

Adapting and Translating the Questions Matrix (Tool 3)

As mentioned in the Adapting the Toolkit section earlier, the SLE Toolkit is intended to be adapted to context. Decisions for issues outlined in Table 5

should be made by the SLE Assessment Team. These decisions can be made before or during the training activity, depending on what is most practical and effective. Note that this process will take a lot of time during training, but it will be helpful to have as many voices as possible involved in making these decisions.

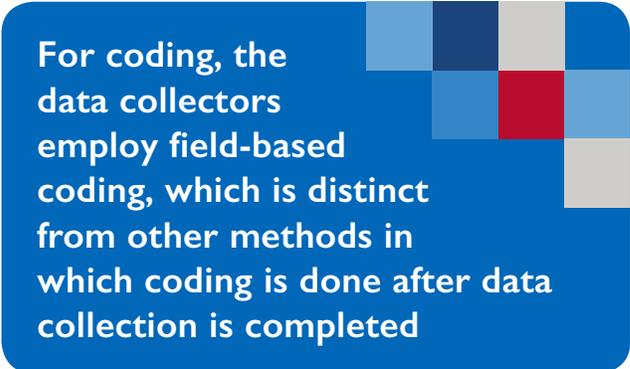
Table 5: Adaptations to questions matrix

<p>Risk categories</p>	<ul style="list-style-type: none"> • Users can select the relevant risk categories and corresponding question sets and response options. • All, some, or none of the individual questions within risk categories can be chosen depending on the respondent type (e.g., teachers are asked all three questions in A., but students are only asked A-1 and A-2; parents are not asked any questions from A).
<p>Question and response options— Sensitivity to context</p>	<p>The questions and response options should be adapted so that they acknowledge complex political, cultural, and social contexts in which programs operate (which can include actors from government, donors, NGOs, religious institutions, unions, and many others) and ensure that questions are sensitively worded. For example:</p> <ul style="list-style-type: none"> • Sex as a topic may not be appropriate to bring up directly in a given context. The issue can be approached, however, by asking about “gender-based community roles.” • Asking directly about “armed groups” may make facilitators and participants uncomfortable or bring unwanted attention from political actors. The issue may be addressed indirectly by asking about, “any security risks.”
<p>Questions and response options— Clarity</p>	<ul style="list-style-type: none"> • The questions and response options should be adapted and translated (as needed) so they are sufficiently clear to respondents but still obtain the same general information being suggested in the original question text. • The team may need to distinguish the type of learning environment that is being assessed, especially if work is being done in a variety of types of learning environment. • If the research is being done with one set of students in a non-formal education/training program in a refugee camp setting and another set of students in a permanent structure who are receiving formal education, the term “school” may not be appropriate to use in both cases. In some cases, different words should be used (e.g., instead of “trauma” use “negative experience that makes you feel scared now”).
<p>Sequencing of questions</p>	<ul style="list-style-type: none"> • The sequencing of questions may be reordered. • However, it is strongly suggested that the first “general” question be used as the lead question for all FGD and KIIs as it also serves as an ice-breaker.
<p>Methodology</p>	<p>For researchers with qualitative expertise, more sophisticated methodologies may be considered, provided these methodologies still solicit the information suggested in this toolkit. For example:</p> <ul style="list-style-type: none"> • Community mapping activities were used by one of the piloting teams. • Another piloting team employed voting using tokens during FGDs.

FGD and KII Procedures

Facilitation

An FGD will ideally have six to eight people and at least two members of the field team—one facilitator and one note taker (matching gender for single-gender groups where possible). The facilitator should make sure that the conversation continues until either (a) everyone has spoken (or in some way indicated their opinion, e.g., by nodding) or (b) there is not much variety in the responses, and everyone seems in broad agreement. After conversation on the main question has stopped, follow-up questions can be used. However, this measure is crucial: while we hope that all the information we need will emerge spontaneously, we want to make sure that we do not move on without talking about certain issues. It is important to note that this is not simply a group interview; it should be an active conversation in which participants feel free to speak about the topic without too much encouragement from the facilitator. No identifiers will be noted. KII protocols are largely the same except of course the conversation will



For coding, the data collectors employ field-based coding, which is distinct from other methods in which coding is done after data collection is completed

only occur with one individual. Additional guidance on facilitation techniques is provided in Annex 4 and in the training PPT e-annex available on the [ECCN website](#).

Taking Notes

For both KIIs and FGDs, data collectors should use a field form that is tailored for each question (Figure 8). Each question uses one form (both front and back page), so, for example, 10 questions will result in 10 pages of field forms. Each form will also list the range of response types that are expected from answers to that particular question.

The FGD protocols that are prescribed are more closely related to group interviews, which demand frequent facilitator intervention to keep the conversation alive. A true FGD would have the group engaging with one another, largely uninterrupted (but closely observed) by the facilitator. As a rule, the more free-form the discussion is, the better; however, this is not easy to achieve. FGD will be used to refer to the group interview, noting that the degree of facilitator engagement may vary depending on the expertise of the team and the willingness of the participants.

For coding, the data collectors employ field-based coding, which is distinct from other methods in which coding is done after data collection is completed and is based on frequency of key words and other methods (often requiring qualitative software). Instead, based on the responses provided, the note taker adds a tally mark next to the response type that most closely matches each respondent's answer (or for a KII, the one response). For some groups,

a blind vote is taken. Therefore, if there are seven respondents in an FGD, then there should be seven tally marks across all response types. Figure 8 shows an example of a field form with one page prepared for a discussion of question A.2 (Internal Risks–SRGBV), which had seven female student participants in “East Community, DH School”.

Additional guidance on good facilitation and note taking skills is provided in Annex 4.

Figure 8: Example of completed “Field Form” for one Step 3 question (A-2)

Community/School Name: EAST Community, DH School Respondent type: Female Students
 Date: 23 October 2017 KII: (FGD) (Circle)
 Risk Category: SRGBV (A) Question #: A.1 If FGD, # participants: _____ # F: 7 # M: _____

Question (in bold on tool):
If you hear about a student victim of SRGBV, how do you report it (or if you haven't ever heard about it, what would you do? Is the reporting mechanism different depending on the type of abuse / who is involved? What is the response that is supposed to be taken? What is the response that is actually taken? What gaps might occur in communication that prevent resolution?

a) Don't report it	b) Complaint box/Anonymous reporting	c) School management committee or similar	d) Police	e) Other

NOTES:
 a) I worry about repercussions if I report such a thing people can talk here and then if someone hears I reported a fellow student, they might want to hurt me further—here it is usually not acceptable to speak out so others are in trouble (x2)
 b) This would be better—so voices are heard about the risk of repercussions. I heard of such a system in West community and it is working—a friend of mine said that and she said since the box was installed, reports are coming in so students are safe. Teachers watch themselves. That is making girls to be safer.
 c) We have this committee and they take our complaints seriously
 b) Yes, but sometimes the perpetrator sit on that very committee so who is going to make a report to them

Consider audio-recording in addition to note taking so that you may refer back to the conversations in case notes taken were insufficient or need to be clarified, or in case, the raw data is of interest to other researchers or practitioners so that they may transcribe, code, and conduct their own analysis.

It is not recommended that you rely on audio-recordings only, though—transcription and translation of full conversations takes many hours.

Training and Field Testing

Office Training

The field team should undergo a training exercise to familiarize themselves with the following:

- Ethical guidelines for conducting field research—This training is extremely important. Any field team member who demonstrates any reservations about ethical conduct or is unable to fully understand the protocols should be replaced immediately.
- Methodology and questions—Here, further adaptation of the questions may occur if field team members think it is necessary.

It is expected that the Team Leader will plan the training event, using his or her team members as needed to ensure anyone who is expected to make contact with students, teachers, and other school community members is well-trained on research ethics and methodology. A recommended outline for a full day of in-office training is provided in Tool 6 (Recommended Field Team Training Agenda) and a PowerPoint is available as an e-annex on the [ECCN website](#).

Field Training/Field Testing

After the in-office field team training, a combined field training and field test **must** be conducted to ensure the following:

**Field testing/
field training is a
critical step before
beginning the research!**

- The members of the field team have 'live' experience in using the tools.
- The questions are asked in a way that makes sense to participants (in terms of translation, phrasing, and appropriateness) and also obtains the desired information.

A field test should be conducted with participants who are roughly analogous to those the team will encounter in the field—young people and adults, men and women, and ideally some teachers and school staff. All protocols that will be followed in the primary field research should be followed during the field test, including adherence to research ethics. The team should reconvene after the field test to review the question protocols and notes collected, make necessary revisions, and conduct further training as needed. If it is determined that the field team requires additional training and/or field tools need to be adjusted, then a second field test should be conducted.

In addition to providing an overview of the methodology and refining the questions, the office training should involve sufficient time for conducting mock FGDs and KIIs with team members. Allow time after each mock exercise to go over the questions to make sure they are understood by the team and appropriately worded.

In the Field: Selecting Participants for KII and FGD

At each school community site, the SLE Assessment Team should seek to identify participants relevant to the program and context; for example:

- Students and out-of-school youth
- Teachers and school staff
- Community and religious leaders
- Parents
- Local government officials
- Police
- Local CBOs
- NGOs
- Civic leaders
- Women's leaders
- Social workers

The SLE Assessment Team must ensure balanced gender representation in each of these respondent types and should also include persons with disabilities in the research activities.

KIIs help provide an overview of the situation and explore specific issues or themes in more depth. Purposive sampling should be used to reach respondents who hold particular knowledge and insights. The selected key informants should be diverse and representative (especially, as much as possible, in terms of gender) and capture divergent views. KIIs also support the identification of additional background documents and, ideally, the verification of findings from FGDs. See the sidebar for guidance on when to use an KII instead of an FGD.

WHEN TO USE AN KII INSTEAD OF AN FGD

You are unable to find a sufficient number of participants (6–8).

An individual in an FGD is reluctant to speak in the group setting but appears to have something to say.

An individual in an FGD has a particularly interesting or relevant story and you need more detail.

It is not possible (e.g., unsafe or not logistically possible) to gather groups.

An individual is not in the student/parent/teacher group (e.g., community leader, NGO staff member).

FGDs help provide an in-depth understanding of a situation and can confirm findings from KIIs, and they provide the opportunity to gather multiple stakeholders together at the same time.

Guidelines for FGDs include the following:

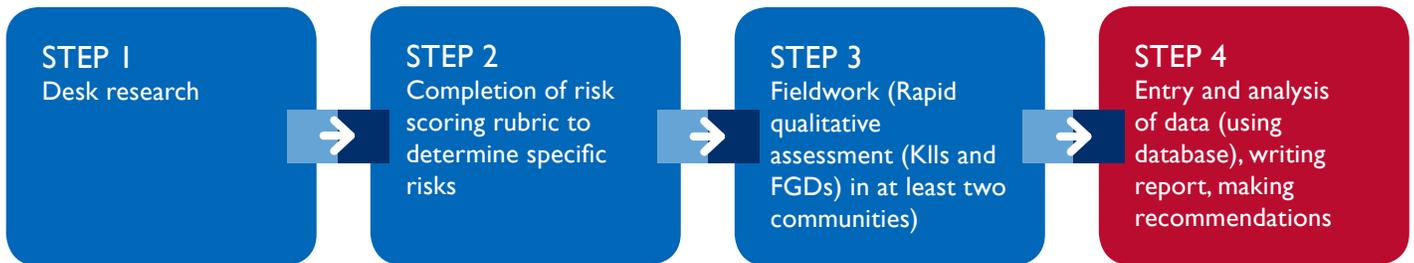
- Discussions should indicate shared as well as divergent views.
- Participants should be purposefully chosen so they are diverse and capture a wide variety of types of people. For example, in a female student group, efforts should be made to capture a range of ages, income levels, and ethnic groups (as appropriate). In a male parent group, efforts should be made to capture a range of education levels, job types, and religions (as appropriate).

- ▶ Young people participating in FGDs should be separated by sex, and the sex of SLE Assessment Team members who facilitate these FGDs should mirror the sex of that group.
- ▶ Sex separation and same-sex facilitators may also be necessary for adults in some cases.
- ▶ Particular attention to conflict sensitivity is also important when forming FGDs. Like groups (e.g., ethnic-group-specific or education-level-specific

FGDs) may be necessary to avoid the discomfort or silencing of certain participants, while also ensuring all types of people are represented in the research.

These steps will help create trust, foster the most candid responses as possible, and elicit the differentiated experiences and perceptions of various groups.

STEP 4: DATA ENTRY, ANALYSIS AND REPORTING



OUTCOME: User-friendly report with summary of findings based on objective and systematic analysis of field data, with recommendations for programming around risks to safer learning.

INPUT: Team Leader, 1–4 weeks



Overview of Step 4

Step 4 involves the following activities:

- Entering data, including response type tallies, from field forms. Note: This activity could be done at the same time as the fieldwork if a data entry clerk is on the team.
- Observing response distributions to notice trends and variations within and between communities/schools, respondent type(s), genders, etc.

- Reviewing the notes taken for additional nuances around those response distributions.
- Preparing a report that summarizes the findings and makes conclusions.

The analysis process is facilitated by using the SLE Qualitative Database,⁹ an e-annex file available on the [ECCN website](#). Table 6 provides an overview of Step 4.

Table 6: Overview of Step 4

At a glance	<ul style="list-style-type: none"> Duration: 1–4 weeks (but allow for possibly more time for translation) Team: Team Leader, data entry clerks, field team (to clarify any gaps in notes) Methodology: Data entry of all field notes and response distributions into the Excel database; exploration and analysis of data using built-in pivot tables that summarize response type tendencies by FGD/KII type (e.g., male student, female teacher) and that link numerical data with the full field note transcript associated with that response Conceptual focus: To produce a user-friendly and simple descriptive report on the findings from the field research that answer the research question(s), such that programming can be designed or adapted to account for those findings (with more complex analyses done as needed by analysts with more experience)
Tools included	<ul style="list-style-type: none"> Qualitative Database Entry Guide SLE Qualitative Database (Excel) File
Additional materials needed	Computer with Excel software and database already downloaded; internet connection not necessary
Additional (optional) resources to consider	Pivot Tables Tutorials: <ul style="list-style-type: none"> Microsoft Excel Pivot Table Tutorial for Beginners Why Learn Pivot Table in Microsoft Excel Qualitative Analysis and Reporting <ul style="list-style-type: none"> NERA Education Slideshow on the broad approach to Qualitative Analysis (Billups) A Step-by-Step Guide to Qualitative Data Analysis (O’Conner and Gibson) Wolcott, H. Transforming Qualitative Data, chapter 2 Galman, S. The Good, the Bad, and the Data: Shane the Lone Ethnographer’s Basic Guide to Qualitative Data Analysis

Overview of the Qualitative Database

The database not only provides a way to store and organize data, but it also contains built-in pivot tables to analyze the coded responses and highlight trends. Remember that the tallies are not reliable quantitative measurements. Rather, they provide an idea of the general tone of the group and must be linked with the notes taken along with the tallies. Use of the database does require basic familiarity with the Excel software program and a period of learning to navigate the features, but piloting teams agreed that it was worth the effort in terms of ultimately producing an objective and detailed report. Teams are encouraged to use this database to analyze their data for these reasons. But if teams already have familiarity with and preference for an existing qualitative analysis software, then they may use that software. However, the SLE coding patterns must be followed (frequency of response types is calculated) to ensure that the same broad themes are explored, which will facilitate comparisons across different data sets. Also, the numerical data must always be linked directly with the qualitative responses. For teams using their own qualitative software, they should skip to the section on Reporting.

Data Entry

The Excel database allows for up to 40 KIIs and FGDs.¹⁰ Following are the steps for data entry:

1. Open the database.
2. Select “Enable Macros” when prompted.
3. Navigate to “Risk Worksheet” tab.
4. On the Risk worksheet, enter “yes” wherever you had identified a risk in Step 2: The SLE Scoring Rubric.
5. Click “Go.” This will automatically prepare the data entry template and analysis tabs that are relevant to the team’s particular research.

DATA ENTRY

Allow adequate time for entering all field notes.

Consider identifying data entry clerks who are not with you in the field who can type notes during the fieldwork portion—you can send photos of each page of notes using messaging apps, such as WhatsApp.

Early data entry also enables you to do some preliminary analysis!

It may help to practice typing one page of sample notes into the database to get a sense of how long it takes, then, plan accordingly!

TRANSLATION

You may wish to translate all your notes into another language before analysis. Note: This can take a long time—many weeks depending on the volume of notes—and it can also be costly.

It is generally better to conduct the analysis in the language of the data collected, if the Team Leader understands that language.

Any translation that is needed for the purpose of a report can be conducted after the report is finalized.

6. Enter the data into the “FGD and KII Template” tab. A screenshot of this tab is provided in Figure 8. Details on the column labels are provided in Tool 10 (Qualitative Database Entry Guide).
7. When data entry is completed, navigate to any of the analysis tabs, right click, and select “refresh.”

The data entry step can be very time consuming, especially if it also involves any translation. It is good practice to try to keep up with the data entry while in the field (e.g., do in the evenings or designate one team member to enter data during the day while the

others are conducting interviews). However, if this is not possible, note that it is essential that all data are entered before any meaningful analysis and reporting are conducted (preliminary analysis of course can be conducted along the way, but making any broad conclusions is not advised).

Data Analysis

Figures 9 and 10 provide an example of the types of data that can be reported by using the qualitative database analysis table for SRGBV (A) questions. The numbers correspond with individual responses based on approximate field coding. Recall that this information only provides a snapshot of the tone and tendencies of the various groups. It should **not** be considered quantitative data.

Figure 9: Example of numerical portion of analysis table for FGD student response coding of SRGBV (A) Questions

	A	B	C	D	E	F	G	H	I
1									
2	Community Name	(Multiple Items) <input checked="" type="checkbox"/>							
3									
4		Column Labels <input checked="" type="checkbox"/>							
5		Teacher	Male Student	Female Student	Total #	Total %			
6	Row Labels <input checked="" type="checkbox"/>	#	%	#	%	#	%		
7	▼ A.1								
8	a) Bullying between students	4	57%	9	60%	2	13%	15	39%
9	b) Student sexually abusing another student	0	0%	1	7%	4	25%	5	13%
10	c) Teachers using corporal punishment/physically abusing students	2	29%	4	27%	0	0%	6	16%
11	d) Teachers emotionally abusing students	0	0%	0	0%	0	0%	0	0%
12	e) Teachers sexually abusing students	1	14%	1	7%	9	56%	11	29%
13	f) Students abusing teachers in any way	0	0%	0	0%	1	6%	1	3%
14	▼ A.2								
15	a) Don't report it	2	29%	7	47%	10	67%	19	51%
16	b) Complaint box / anonymous reporting	1	14%	5	33%	5	33%	11	30%
17	c) School management committee	4	57%	3	20%	0	0%	7	19%
18	d) Police	0	0%	0	0%	0	0%	0	0%
19	e) Other	0	0%	0	0%	0	0%	0	0%
20	▼ A.3								
21	a) Workshops / school-wide sensitization meetings, posters, etc.	4	57%	10	67%	9	60%	23	62%
22	b) School codes of conduct	2	29%	1	7%	3	20%	6	16%
23	c) Teachers / Student / Parent Committees	0	0%	0	0%	0	0%	0	0%
24	d) Safe spaces for girls (e.g., latrines)	0	0%	0	0%	0	0%	0	0%
25	e) Internalizing positive gender attitudes and norms	0	0%	0	0%	0	0%	0	0%
26	f) They are doing nothing at all or nothing effectively	1	14%	4	27%	3	20%	8	22%
27									
28									

The data can also be filtered by community using the drop-down option in cells A2/B2 in Figure 9. It is important to note that the labels in row 5 in Figure 9 vary depending on those that you have assigned to your FGDs and KIs in the data entry process (see notes about column C of the data entry tab in

Tool 10). It is important to reiterate again that the numerical data presented in Figure 9 is *not* to be treated as quantitative data. Box 5 provides clear examples of how it should (check mark) and should not (X) be treated.

BOX 5: APPROPRIATE INTERPRETATION OF CODING FROM RESPONSE TYPES

You are not dealing with quantitative data! Be careful in how you explain the response distributions!



“In the project, 39% of beneficiaries believe that bullying is the most important risk, which was 16% more than those saying sexual abuse from teachers was the most important. This shows that bullying is the most important issue in the project areas, and sexual abuse is not that big of a concern relatively speaking.”



“Nearly half (15 people) of those who participated in the FGDs indicated that bullying was the most important risk; fewer (5) said that teacher sexual abuse was also an issue, but their explanations suggest that it is very serious nonetheless. One female student in Community B explained ‘people don’t talk too much about it, but I know it [sexual abuse] happens to the girls here. I have heard of a teacher who will offer to help them with studies after school, and then have his way’, to which others in the FGD nodded in agreement. Male students, however, had different ideas, as one in Community A said ‘I’ve never heard or seen anything about teachers abusing girls. But I see and have personally faced bullying here. The kids who don’t have the clean clothes or the good shoes, they are picked on for being poor. Boys especially’. There was one person across all groups, though, with quite a distinct opinion: “The problem here is that the students are out of control. I know one group of boys who are always threatening one teacher. I think it is something gang related, I don’t really know, but the teacher is afraid to discipline as a result.”

Figure 10 illustrates how the qualitative notes will be presented by interacting with the analysis table (Figure 9). To display the notes, go to the analysis table:

1. Double click the cell in which the desired data intersects. For example, if you want to see all notes corresponding with FGD discussion question A.2 responses coded as “a) Don’t report it,” then double-click the cell that intersects “a) Don’t report it” and “Total#” (I-15 in Figure 9).
2. A new tab will open that will contain all the available notes in column I. (Note: Blank cells where notes were not recorded will also show up. You can filter out blank cells or sort by “ascending,” which will put the cells containing notes at the top of the spreadsheet).

Figure 10: Example of summary of notes (quotations) pulled from database for the same question set (A-2) for all respondents and response “a) don’t report it”

	A	B	C	D	E	F	G	H	I
	Community Name	Date of Interview	FGD or KII Type (e.g Male Student, Female Parent)	Q. Code	Risk Cat	Question Text	Response option(s)	# Chose response	Notes
1	West Community	10/26/17	Teacher	A.2		If you hear about a	a) Don't report it	0	
2	West Community	10/26/17	Teacher	A.2		If you hear about a	a) Don't report it	0	
3	East Community	10/23/17	Teacher	A.2		If you hear about a	a) Don't report it	2	Honestly, we don't have a good system set up. There is no way for students to report anonymously, and then for the complaint to be elevated. We need a reporting system and a school board to receive and follow up on the complaints. We just don't have the resources or time to set this up, and we don't really know how to do it. I've heard of complaint boxes before, but I don't understand how that could work - who reads the complaint? Then what?
4	West Community	10/26/17	Male Student	A.2		If you hear about a	a) Don't report it	5	There's no reason to report it, nothing will happen or if anything will happen, there will be repercussions (x4)
5	East Community	10/23/17	Male Student	A.2		If you hear about a	a) Don't report it	2	- I stand up for myself, I am responsible for myself and nobody else. I worry about repercussions if I report such a thing. People can talk here and then if someone hears I reported a fellow student, they might want to hurt me further. Here it is usually not acceptable to speak out so others are in trouble (x2)
6	West Community	10/26/17	Female Student	A.2		If you hear about a	a) Don't report it	3	Even the complaint box is insufficient, because teachers know our handwriting and they will identify us if we complain about them. Then we'll be beat or get poor grades, so we just remain silent.
7	East Community	10/23/17	Female Student	A.2		If you hear about a	a) Don't report it	7	We don't report it - how would we report it? There are some female teachers but they would just have to tell the other teachers. We fear repercussions from this, so we just deal with it.
8									
9									

By examining the data by type of FGD/KII, community, gender, etc., you will be able to better see trends and outliers and then report on them. It is important you spend a good amount of time simply looking through the analysis tabs (in particular noting community differences and differences across gender, student, parent, teacher, and any other groups you had determined as relevant during the inception phase) and reading through all the notes. You can take notes at the same time to help you identify any trends that are emerging or to remind yourself of some of the outliers (just because a response option is rare doesn't mean it is unimportant).

Reporting

Sharing the findings and conclusions from fieldwork is the last step in the SLE Qualitative Assessment Process. Reporting—which is another way of representing data based on the analysis—may take multiple forms. A fieldwork report is an important outcome of the research, but it may also be prudent for implementers to share findings and conclusions with stakeholders (via the report, a presentation, or an event).

Fieldwork Report

The fieldwork report is designed to be simple and involve reporting on the trends observed in the qualitative database alongside with quotations from the detailed notes that serve to enrich the findings. The intention of this report is to be largely descriptive—a presentation of the findings—and one that can be easily written and easily read and/or acted upon by a variety of individuals, including non-researchers. It should be in narrative format, although bullet points may make certain sections (e.g., the recommendations) more concise, and it should also be sufficiently short (around 10 pages) to maximize readability. Ultimately, though, it is up to the organization that is commissioning the assessment to determine the type of report that would be most useful, and the team should keep this in mind

WHAT IS THE DIFFERENCE BETWEEN A FINDING AND A CONCLUSION

Finding: Fact based, direct report of data, does not include an interpretation

Conclusion: Developed from findings, interpretation of findings, typically bigger-picture items

throughout the entire assessment process. Box 6 provides a recommended outline for the report and in Annex 6 is an example of how to report findings and conclusions.

BOX 6: REPORT OUTLINE TEMPLATE

Introduction (2 pages)

- Brief country context
- Project description
- Summary of risks identified by Step 2 Scoring Rubric

Methodology (1 page)

- Describe communities visited, tools used at each visit, and respondent counts (by type and gender)
- Limitations and challenges with fieldwork

Findings

- Include one section per specific risk category. For each subsection include a relevant summary table of response distributions and key quotations (2 pages per question set). Be sure to cite all quotations, including as a minimum, the gender and group (e.g., student, teacher) of the participant. If appropriate, it may be important to identify the community. (But if it puts any participants at risk, assign labels like Community A and Community B to differentiate the two).
- Scope of risk and implications on students and teachers

(continued...)

- Assets: Existing interventions and methods that try to address risk and foster resilience

Conclusions and Recommendations (3 pages)

- The main / most critical risks observed
- How risks relate to project as a whole
- How the project might address the observed risks, and in particular, how the project might take advantage of the assets observed
- Anticipated challenges to addressing the observed risks
- Any recommended modifications to the project as a result of findings

It is envisioned that a field Team Leader with limited experience doing such an analysis and reporting would be able to author this basic report, provided the analysis steps have been followed thoroughly, and the report is understood to be largely a presentation of findings. In this case, it may be prudent to work on conclusions and recommendations with others working on implementing the program. Still, with so much rich data contained in the database, the report can be longer and go into deeper analyses to produce more findings and more nuanced and in-depth conclusions and recommendations, depending on the needs and capacities of the implementing organization. However, this will require the author to have a reasonable level of experience in authoring research reports.

Sharing Findings at Stakeholder Meetings

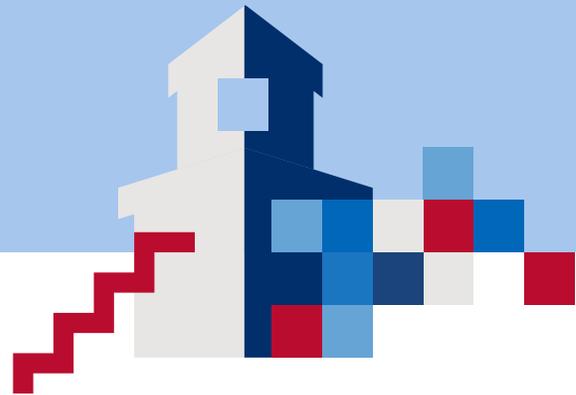
In addition to developing a written report, the SLE Assessment Team may wish to identify a mechanism for meeting with the key stakeholders to share the findings. These discussions foster continued stakeholder engagement and may allow for even greater collaboration among the concerned parties.

Moreover, such meetings may promote open dialogue about key issues facing the learning communities visited during the SLE assessment process. Possible methods for sharing findings and conclusions with stakeholders include the following:

- Newsletters, bulletins, briefs, blogs, and brochures: Short communications vehicles to share particular findings
- Conference: Convening a large number of people to present and discuss findings
- PowerPoint slides: Presenting findings and analysis using digital slides
- Verbal briefings: Providing specific information to an audience of interested participants and discussing the information during a question and answer session

Defining key stakeholder interests, developing objectives for the feedback session, and determining processes for incorporating comments from the discussion into the final report and subsequent programming are important steps for a successful sharing session.

CONCLUSION



Understanding the risks to safety in learning environments along with existing (local) strategies to overcome those risks is imperative for education programming in crisis and conflict environments. While an extensive and highly rigorous research exercise may be ideal, this toolkit takes into account that time, funding, capacity, and access to communities may be limited. As such, this rapid and relatively simple toolkit allows implementing organizations and researchers to conduct exploratory research that helps them to take a first step to learning more, either to design or adapt a

program to be better or to determine where more-in depth research is needed before any actions are taken. It is envisioned that the findings and conclusions will not only help those who implement the toolkit, but also that they will become public knowledge so others can benefit. ECCN has therefore provided [online space](#) for users of this toolkit to upload their reports, as well as discussion boards for toolkit users and reports so users can engage with one another to learn more and share beyond the life of ECCN. We encourage you, as a user of this toolkit, to become an active participant.

ENDNOTES

1. For more information on the nature and level of multiple contextual risks in countries around the world, see the INFORM Index for Risk Management, a collaborative project of the Inter-Agency Standing Committee (IASC) and the European Commission, found at <http://www.inform-index.org>.
2. These include the UN Sustainable Development Goals; UN Summit for Refugees and Migrants; World Humanitarian Summit Commitments to Action; Paris Agreement on Climate Change; Security Council Resolution 2250 on Youth, Peace, and Security; and the Sendai Framework for Disaster Risk Reduction.
3. USAID, Rapid Education and Risk Analysis 2.0, 2018.
4. In the literature, (lack of) safety in learning environments is often explored in reference to specific risks to demonstrate how it negatively impacts access to quality education and/or can make people less safe. For example related to SRGBV risks, see RTI International. (2016). *Literature Review on School-Related Gender- Based Violence: How it is Defined and Studied*. Washington, DC, USAID; Pereznieto, P, Harper, C., Clench, B., & Coarasa, J. (2010). *The economic impact of school violence*. London, UK: Plan International and ODI. For gang violence risks, see Guerra, N. G., Dierkhising, C. B., & Payne, P. R. (2013). *How should we identify and intervene with youth at risk of joining gangs? a developmental approach for children ages 0–12*. In T. R. Simon, N. M. Ritter, & R. R. Mahendra (Eds.), *Changing course: Preventing gang membership*. Washington, DC: National Institute of Justice and the Centers for Disease Control and Prevention; Howell, J. C. (2013). Chapter 1. Why is gang membership prevention important? In T. R. Simon, N. M. Ritter, & R. R. Mahendra (Eds.), *Changing course: Preventing gang membership* (pp. 75–88). Washington, DC: National Institute of Justice and the Centers for Disease Control and Prevention. For natural hazard risks, see World Bank and GFDRR. (2016). *Roadmap for Safer Schools: Guidance Note*; Inter-Agency Network for Education in Emergencies. (2015b). *Safe access to learning, during and after the Ebola crisis*. Joint Advocacy Brief. For education under attack risks, see Global Coalition to Protect Education from Attack. (2014a). *Education under attack 2014*. New York, NY: Author; Global Coalition to Protect Education from Attack. (2014b). *The role of communities in protecting education from attack: Lessons learned*; UNESCO. (2011). *The hidden crisis: Armed conflict and Education: Education for All Global Monitoring Report*. For trauma, see Inter-Agency Network for Education in Emergencies. (2015). *Education in Emergencies*. Retrieved from <http://www.ineesite.org/en/education-in-emergencies>; Affolter, F.W. (2003, January 1). *Development discourse for socio-emotional well-being* (Doctoral dissertation). Available from Proquest. (Paper AAI3078666); Winthrop, R., & Kirk, J. (2008). Learning for a bright future: Schooling, armed conflict, and children's well-being. *Comparative Education Review*, 52(4), 639–661.
5. USAID, Education Strategy: Opportunity Through Learning, February 2011. The strategy is in effect until September 2018.
6. For example, USAID's Rapid Education and Risk Analysis (RERA) is intended to provide USAID program planners and managers with a fast and "good enough" situation analysis of the interactions between education and the multiple risks that may exist in any given crisis and/or conflict-affected environment in order to inform Mission policy and programming.
7. The risks and assets that the SLE toolkit investigates evolved from ECCN's conceptualization of the broad and specific risks to SLEs found in crisis and conflict environments. This conceptualization is based upon a comprehensive literature review of resources related to SLE and presented in a ECCN workshop focusing on themes related to SLE that was conducted in mid-2015. These concepts were then expanded to incorporate a more dynamic resilience framework focusing on risks and assets.
8. Note that the scoring rubric is simply a tool to support decision-making by the SLE Assessment Team. It should not be considered a quantitative data analysis tool or a definitive assessment of risk that would determine a decision.
9. A similar methodology has been used with good success in other rapid qualitative research in fragile contexts. See especially Weedon Champan, E., & Heaner, G. K. 2016. *Social Protection and Labor Discussion Paper: Volume 1—Report* and Weedon Champan, E., & Heaner, G. K. 2016. *Social Protection and Labor Discussion Paper: Volume II—Annexes*. (No. 1608). Washington, DC: World Bank Group.
10. The solid black line in the data entry tab indicates the end of one FGD or KII and numbers them 1 to 40. The first goes from row 3 to 333, the second from row 334 to 663, and so on.

SLE TOOLS AND RESOURCE ANNEXES

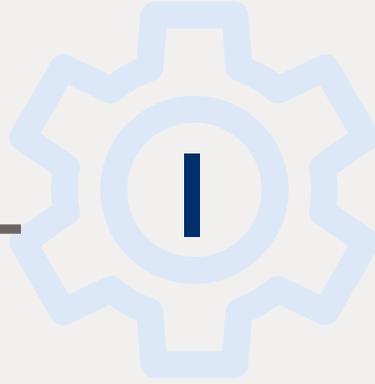


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TOOL



DESK REVIEW FRAMEWORK TOOL

AT A GLANCE

- An Excel worksheet that helps organize existing research around the sixteen specific risk areas that are explored in the toolkit, and identify gaps.

TEMPLATES INCLUDED

- Desk Review Framework Tool

HOW TO USE THIS TOOL

- Complete fields based on literature review and preliminary (virtual) interviews; note where there are gaps in information.

TOOL I: DESK REVIEW FRAMEWORK TOOL

Resource (include where appropriate)	Risks Identified									Personal thoughts/ conclusions
	Environmental		Internal		External				Cross-Cutting	
	Natural Hazards	Health Crises	SRGBV	Gang Activity	SRGBV and Other Violence to or from School (from community members)	Gang Activity	Ideological Attacks	Caught in the Crossfire	Trauma	

INSTRUCTIONS

Book or article: Title, author, year of publication, publisher, website link, journal, page numbers

Person: Name, job title, location, date of interview

- Fill in the columns when different risks are mentioned: Brief detail
- Make a note of the page number where appropriate
- Don't worry if many of the columns are empty!
- Record any key quotes

- Anything else to be highlighted?
- Anything striking regarding the project context?
- Anything you want to look into more/do follow-up? If yes, what steps should you take (person to contact, further resources to check)?
- Anything surprising/unexpected?

TOOL

2

SCORING RUBRIC

AT A GLANCE

Guides the analysis of secondary data to inform primary data collection

Data sources: Uses relevant background documents and preliminary discussions with experts

The tool should be used for every assessment

- Methodology: Rapid completion of scoring rubric
- Conceptual focus: Understanding and ranking the main risks to education and safe school communities
- Internal document that informs the Assessment Team's decision about field data collection parameters and sites

TEMPLATES INCLUDED

- SLE Scoring Rubric

HOW TO USE THIS TOOL

- Based on desk review, score each of the three items under the sixteen specific risks with a 1 (no risk), 2 (medium risk) or 3 (high risk). Total the scores for each specific risk to identify the highest overall risks that will help in selecting which topics require field research.

TOOL 2: SCORING RUBRIC

Scoring Rubric Guidance: This scoring rubric is completed based on the preliminary desk review. Please cite or indicate source(s) for each ranking. The form will auto-sum your scores in column E. Scores of five¹ or more indicate the need for primary data collection.

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1 = low; 2 = medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
A. Internal: School-related gender-based violence (SRGBV)	Students face risk of physical, sexual, or emotional abuse from teachers			
	Students face risk of physical, sexual, or emotional abuse (including bullying from individuals or groups of individuals) from other students			
	Students face risk of or teachers use corporal punishment (hitting, hard labor, standing in sun, etc.)			
B. Internal: Gang or armed group violence	Students face risk of violence from gang members or armed groups in schools			
	Students face risk of recruitment by gang members or armed group in schools			
	Teachers/staff face risk of violence from gang members or armed groups in schools			
C. Internal: Negative and unsupportive school climate	Students and teachers have a generally positive perception of their school (enter 1 if yes, 3 if no).			
	Teachers generally refrain from punitive disciplinary strategies for behavior management, such as corporal punishment, suspension, and expulsion (enter 1 if yes, 3 if no).			
	School has sufficient and adequate chairs, roof, walls, tables, and chalkboards for students; toilets for girls; and a source of potable water (enter 1 if yes, 3 if no).			

¹ Alternatively, the threshold can be determined by the SLE Assessment Team, with the rationale clearly explained in the report accompanying findings.

TOOL 2: SCORING RUBRIC

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1= low; 2= medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
D. External: Caught in the crossfire–gang violence	Students and/or teachers face risk of violence from gang members on the way to and from schools			
	Students face risk of recruitment by gang members on the way to and from schools			
	The school is at risk of gang attack or control			
E. External: Caught in the crossfire–armed conflict	Students and/or teachers face risk of violence by armed groups on the way to and from schools			
	Students and/or teachers face risk of kidnapping or recruitment by armed groups as soldiers, wives or for sexual enslavement, or coercion by criminal groups on the way to and from schools			
	The school itself is at risk of armed group attack or control			
F. External: Education under attack (ideological /extremist anti-school)	Students face risk of being direct targets of violence by extremist groups or individuals (within school or on way to and from)			
	Teachers face risk of being direct targets of violence by extremist groups or individuals (within school or on way to and from)			
	The school itself is at risk of being a target of violence by extremist groups or individuals			

TOOL 2: SCORING RUBRIC

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1= low; 2= medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
G. External: Incidental SRGBV and other physical threats to and from school (e.g., from community members or neighboring community members, not related to conflict or gang activity)	Students face risk of SRGBV (bullying, sexual harassment or abuse) or kidnapping from community members and/or strangers on the way to and from schools			
	Students face risk of non-human/ intentional physical threats (including animals, rough walking terrain, vehicle accidents) on the way to and from schools			
	Teachers/staff face risk of intimidation, extortion or forced recruitment into criminal activities by community members and/or strangers on the way to and from schools			
H. Environmental: Geological hazards: (earthquake, landslide, tsunami, volcano)	Schools and surrounding area are at risk of geological hazards			
	Schools are constructed with geological hazard-resilient materials (enter 1 if yes, 3 if no)			
	Schools have preparedness plans for earth-related hazards (enter 1 if yes, 3 if no)			
I. Environmental: Water-Related hazards (flood, storm, surge, drought)	Schools are at risk of being affected by water-related hazards			
	Schools are constructed in a water-related hazard resilient manner (enter 1 if yes, 3 if no)			
	Schools have preparedness plans for water-related hazards (enter 1 if yes, 3 if no)			

TOOL 2: SCORING RUBRIC

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1= low; 2= medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
J. Environmental: Fire (wildfires)	Schools and surrounding area are at risk of wildfires			
	Schools are not constructed in a wildfire resilient manner			
	Schools do not have preparedness plans for wildfires (enter 1 if yes, 3 if no)			
K. Environmental: Wind-related hazards (cyclones, windstorms, sandstorms)	Schools and surrounding area are at risk of wind-related hazards			
	Schools are constructed in a wind-related hazard resilient manner (enter 1 if yes, 3 if no)			
	Schools have preparedness plans for wind-related hazards (enter 1 if yes, 3 if no)			
L. Environmental: Chemical, biological, radiological, nuclear hazards	Schools and surrounding area are at risk of chemical/manufactured biological/radiological/nuclear hazards			
	Schools are constructed in a chemical/manufactured biological/radiological/nuclear hazards resilient manner (enter 1 if yes, 3 if no)			
	Schools have preparedness plans for chemical/manufactured biological/radiological/nuclear hazards (enter 1 if yes, 3 if no)			
M. Environmental: Health/ Epidemics	The area is at risk of a epidemics or health crises			
	Schools have safeguards for identifying and protecting against health concerns within the school setting only (enter 1 if yes, 3 if no)			
	Schools have preparedness plans to respond when students/staff face the risk of health concerns/epidemics (e.g., hand washing facilities, emergency supplies kit, contacts with health advisors and centers, quarantine plan, etc.) (enter 1 if yes, 3 if no)			

TOOL 2: SCORING RUBRIC

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1= low; 2= medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
N. Environmental: Malnutrition/ Famine	The area is at risk of malnutrition or famine			
	Schools have safeguards for protecting against/identifying malnutrition/ famine within the school setting only (enter 1 if yes, 3 if no)			
	Schools have preparedness plans to respond when students/staff face the risk of malnutrition/famine in the surrounding community/region (e.g., feeding plans) (enter 1 if yes, 3 if no)			
O. Crosscutting: Trauma (related to SGBV e.g., FGM/C, SRGBV)	Students are at risk of SGBV in school and/or out of school			
	Teachers/staff are at risk of SGBV in school and/or out of school			
	Schools have psychosocial support mechanisms for students and teachers at risk of SGBV (e.g., girls having female teachers to talk to) (enter 1 if yes, 3 if no)			
P. Cross-cutting: Trauma (related to conflict, disasters, epidemics (e.g., drought, famine) violence)	Students are at risk of psychosocial and mental health problems related to disasters, conflict, violence or health epidemics			
	Teachers/staff are at risk of psychosocial and mental health problems related to disasters, conflict, violence or health epidemics			
	Students and teachers have access to psychosocial support mechanisms related to violence or disasters (e.g., girls having female teachers to talk to) (enter 1 if yes, 3 if no)			

Step-by-step guidance on using this tool

1. Data sources—enter any of the documents or interviews that you used to complete this portion of the rubric.
2. Enter your score (1, 2, 3) based on the degree or risk of each specific item with the risk category (1=low, 2=medium; 3=high) and guided by the Risk Matrix. If you are using the qualitative database [e-annex](#) to enter the scores (scoring rubric tab), the sum will automatically total. Otherwise, add the numbers to come to the total risk score. Complete for every item in the scoring rubric (16 items).

		Low	Medium	High
IMPACT	High	Low	Medium	High
	Medium	Low	Medium	Medium
	Low	Low	Low	Low
		Low	Medium	High
		LIKELIHOOD		

3. Review the totals and decide which risks should then be explored in Steps 3 and 4. Note that the scores themselves are to help you to be objective in your decision, but that you also need to consider the specific program to help you decide what you'll do. For example, maybe you already have a lot of institutional knowledge about SRGBV, even though it scored highest—in that case, would extra fieldwork benefit you at all? If not, don't do it.
4. If you are using the qualitative database [e-annex](#), complete the risk worksheet tab to prepare your database (it will automatically update to display the questions that are suggested for the identified risks). Enter 'Yes' for each risk that you wish to explore more, and then click 'go' to run the Macro.

TOOL 2: SCORING RUBRIC

Enter 'X' for each of the risk categories that you have identified to require follow-up primary research	
A. Internal: School-Related Gender Based Violence (SRGBV)	
B. Internal: Gang Violence	
C. Internal: Negative and unsupportive school climate	
D. External: Caught in the crossfire—gang violence	
E. External: Caught in the crossfire—armed conflict	
F. External: Education under attack (ideological/extremist anti-school)	
G. External: Incidental SRGBV and violence to/from school (e.g. from community members or neighboring community members)	
H. Environmental: Earth-Related Hazards (earthquake, landslide, tsunami, volcano)	
I. Environmental: Water-Related Hazards (flood, storm, surge, drought)	
J. Environmental: Fire (wildfires)	
K. Environmental: Wind-Related Hazards (cyclones, windstorms, sandstorms)	
L. Environmental: Chemical/Biological/Radiological/Nuclear Hazards	
M. Environmental: Health/Epidemics	
N. Environmental: Malnutrition/Famine	
O. Cross-Cutting: Trauma (related to SGBV e.g., FGM/C, SRGBV)	
P. Cross-Cutting: Trauma (related to conflict, disasters, epidemics (e.g., drought, famine) violence)	

Example scoring rubrics

This scoring rubric indicates that there was high risk for each of the specific items under the risk category A. Internal: SRGBV. The total score was therefore 9. In this case, it would be prudent to focus on this risk area in the primary research and reporting (Steps 3 and 4).

TOOL 2: SCORING RUBRIC

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1= low; 2= medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
A. Internal: School-related gender-based violence (SRGBV)	Students face risk of physical, sexual, or emotional abuse from teachers	<p>“We’re afraid for their future” Barriers to Education for Syrian Refugee Children in Jordan. Human Rights Watch 2016</p> <p>Advancing Adolescence: Getting Syrian Refugees and Host Community Adolescents Back on Track, Mery Corps 2014</p> <p>ADVANCING ADOLESCENTS: Evidence on the Impact of Psychosocial Support for Syrian Refugee and Jordanian Adolescents, Mercy Corps, November 2016</p> <p>Refugee Perceptions Study—Oxfam, 2013</p>	3	9
	Students face risk of physical, sexual, or emotional abuse (including bullying from individuals or groups of individuals) from other students	<p>Comprehensive Child Focused Assessment, Azraq Refugee Camp, Jordan. June 2015, UNICEF/REACH</p> <p>“We’re afraid for their future” Barriers to Education for Syrian Refugee Children in Jordan. Human Rights Watch 2016</p> <p>Access to Education for Syrian Refugee Children in Zaatari Camp, Jordan UNICEF/REACH, September 2014</p> <p>Advancing Adolescence: Getting Syrian Refugees and Host Community Adolescents Back on Track, Mery Corps 2014</p> <p>Refugee Perceptions Study—Oxfam, 2013</p>	3	
	Students face risk of or teachers use corporal punishment (hitting, hard labor, standing in sun, etc.)	<p>Eliminating Teachers Use of Corporal Punishment in Jordanian Public Schools: A Research and Policy Analysis. Torin Peterson, Harvard University</p> <p>“We’re afraid for their future” Barriers to Education for Syrian Refugee Children in Jordan. Human Rights Watch 2016</p> <p>Advancing Adolescence: Getting Syrian Refugees and Host Community Adolescents Back on Track, Mery Corps 2014</p> <p>Refugee Perceptions Study—Oxfam, 2013</p>	3	

TOOL 2: SCORING RUBRIC

Here there was determined to be high risk for the first two items, but not the third. The total score is 7, which may or may not warrant follow up research, depending on the scores in the other risk categories and the time/ financial capabilities of the organization.

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1 = low; 2 = medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
G. External: Incidental SRGBV and other physical threats to and from school (e.g., from community members or neighboring community members not related to conflict or gang activity)	Students face risk of SRGBV (bullying, sexual harassment or abuse) or kidnapping from community members and/or strangers on the way to and from schools	Youth Assessment, Zaatari and Azraq Camps, Jordan. Assessment Report. November 2016. NRC/REACH "We're afraid for their future" Barriers to Education for Syrian Refugee Children in Jordan. Human Rights Watch 2016 Shattered Lives: Challenges and Priorities for Syrian Children and Women in Jordan UNICEF 2013	3	7
	Students face risk of non-human/ intentional physical threats (including animals, rough walking terrain, vehicle accidents) on the way to and from schools	Guidance note on community based CP for Makani Centres—November 2016 "We're afraid for their future" Barriers to Education for Syrian Refugee Children in Jordan. Human Rights Watch 2016	3	
	Teachers/staff face risk of intimidation, extortion or forced recruitment into criminal activities by community members and/or strangers on the way to and from schools		1	

TOOL 2: SCORING RUBRIC

Here are two risk categories who received the lowest possible score of 3, indicating no risk. Follow-up research on these topics would therefore not be necessary.

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1 = low; 2 = medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
H. Environmental: Geological hazards: (earthquake, landslide, tsunami, volcano)	Schools and surrounding area are at risk of geological hazards		1	5
	Schools are constructed with geological hazard-resilient materials (enter 1 if yes, 3 if no)		1	
	Schools have preparedness plans for earth-related hazards (enter 1 if yes, 3 if no)		3	

Risk Category	Specific Issue	Data Source Used to assess level of risk (e.g. Author, Article name, Date of publication, Interview with expert [Name, Title, Date of discussion])	Score 1 = low; 2 = medium; 3 = high	Total Score for Risk Category (3: low risk; 9: high risk)
M. Environmental: Health and epidemics	The area is at risk of a epidemics or health crises		1	3
	Schools have safeguards for identifying and protecting against health concerns within the school setting only (enter 1 if yes, 3 if no)		1	
	Schools have preparedness plans to respond when students/staff face the risk of health concerns/ epidemics (e.g., hand washing facilities, emergency supplies kit, contacts with health advisors and centers, quarantine plan, etc.) (enter 1 if yes, 3 if no).		1	

TOOL



3

FGD AND KII QUESTIONS MATRIX

AT A GLANCE

- Contains all recommended FGD/KII questions and anticipated response types, organized around the sixteen specific risks.

TEMPLATES INCLUDED

- FGD and KII Questions Matrix
- Qualitative Database [e-annex](#) that contains all questions and response options

HOW TO USE THIS TOOL

- Select only the questions for the specific risks that were identified using Tool 2: Scoring Rubric; these will be asked during FGDs and/or KIIs (modifications may be necessary).
- Use All-1 question to begin each FGD or KII; select additional (All-2, All-3 etc.) general questions as needed

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
All-1	Crosscutting (Pertaining to all risk categories—Possible additional questions)	Please tell me a bit about the main challenges faced by this community in terms of access to education and Safer Learning Environments. We will have a chance to talk more about the main issues in detail, but for now I'd like to know: In your opinion what are the most important challenges or risks to education and the school community (students, teachers, etc.)? <i>[Opening question is designed to initiate conversation and get an idea as to where the most significant risks emanate. Each of the issues will be probed in more depth later on, but allow people the opportunity to say what is immediately on their mind. Note what in particular they mention first or most prominently—is this the major issue that was emerging in other work? Note that the term risk does not have to be used—adapt as necessary to employ the most relevant, understandable terms.]</i>	<ul style="list-style-type: none"> a) Internal risks: SRGBV (includes sexual, physical, emotional abuse, corporal punishment, and bullying) and/or gang violence b) External risks: conflict and/or gang violence c) Environmental risks: natural disasters or health emergencies d) Trauma: related to any of the other risks e) General school climate
All-2	Crosscutting (Pertaining to all risk categories—Possible additional questions)	In your opinion, what is driving division and conflict in your community? What is the role of access to (or lack of access to) quality education in division and conflict? Discuss in more detail the issues that are involved.	<ul style="list-style-type: none"> a) Inequality/injustice b) Ideology c) Territorial ambition d) Natural resources e) Other
All-3	Crosscutting (Pertaining to all risk categories—Possible additional questions)	What do you think brings the community together peacefully? What issues or institutions can people agree on? On what issues do people cooperate and collaborate?	<ul style="list-style-type: none"> a) Education/school b) Religion c) Children d) Local identity e) Sports f) Culture g) Nothing

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
All-4	Crosscutting (Pertaining to all risk categories–Possible additional questions)	In your opinion, what are the most important things school communities are doing to improve safety and keep children/youth in school? How are the local police involved in helping schools, students, and teachers stay safe? Structural/physical improvements? Law enforcement/policing? Afterschool programs/extended hours/adapted programs? Joint school–community efforts? School–parent activities? School quality? Dialogue with armed actors?	<ul style="list-style-type: none"> a) Education/school b) Religion c) Children d) Local identity e) Sports f) Culture g) Nothing
All-5	Crosscutting (Pertaining to all risk categories–Possible additional questions)	What support is needed from the Ministry of Education? What does the ministry currently do that is helpful or less helpful, specifically in terms of equitable access to education? What policies are in place? What policies are needed? Is there corruption or rent seeking, and how does this impact the sector? Does it support teachers or teacher training?	<ul style="list-style-type: none"> a) Teacher pre- and in-service training b) Psychosocial support for teachers and administrators c) Materials d) Investment into physical plant e) Changes in curriculum f) Change in policies or systems g) Changes in location of school(s) h) Changes in standards i) None
All-6	Crosscutting (Pertaining to all risk categories–Possible additional questions)	How does violence and/or conflict influence the school's natural disaster preparedness efforts (for earthquake, floods, health emergencies, food insecurity, etc.)? Has violence or conflict limited response to previous disasters in any way?	<ul style="list-style-type: none"> a) No influence b) Limits evacuation drills c) Limits partnerships d) Limits risk mapping, activities outside school e) Limits resources to school

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
All-7	Crosscutting (Pertaining to all risk categories–Possible additional questions)	What are the main reasons students drop out or are excluded from education? Are certain groups more affected than others? What are some of the ways that students can be helped to stay in school or be better served?	<ul style="list-style-type: none"> a) Fear/intimidation b) Lack of relevance c) Family moved d) Need to work/money e) Joined armed group/gang f) Pregnancy g) Marriage h) School too far away or nonexistent i) Other
All-8	Crosscutting (Pertaining to all risk categories–Possible additional questions)	To whom do you look in times of difficulty? <i>[This is a blind vote; have group respond with heads down and hands up. Write answers on flip chart and invite participants to discuss their answers if they wish, but do not pressure them to do so.]</i>	<ul style="list-style-type: none"> a) Mother b) Father c) Sister d) Brother e) Aunt/uncle/grandparent f) Teacher g) Friend/classmate/teammate h) Armed group/gang member i) Other role model: Male <i>[Make note]</i> j) Other role model: Female <i>[Make note]</i>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
A.1	<p>A. Internal: SRGBV: These questions address issues within the school environment that are gender dependent. Boys and girls may experience these issues differently. While some of the items may be similar to later questions, the purpose of this question is to probe for gender-specific information.</p>	<p>Of the following types of SRGBV, which occur at this school regularly? Bullying between students? A student sexually abusing another student? Corporal punishment? Teachers abusing students (emotional, physical, sexual) or vice versa? <i>[Blind vote: Have group respond with heads down and hands up. Write answers on flip chart and invite participants to discuss their answers if they wish, but do not pressure them to do so.]</i></p>	<ul style="list-style-type: none"> a) Bullying between students (including cyber-bullying) b) Student sexually abusing another student c) Teachers using corporal punishment/physically abusing students d) Teachers emotionally abusing students e) Teachers sexually abusing students f) Students abusing teachers in any way
A.2		<p>If you hear about a student victim of SRGBV, how do you report it (or, if you haven't ever heard of one, what would you do)? Is the reporting mechanism different depending on the type of abuse or who is involved? What response is supposed to occur? What response actually occurs? What communication gaps might prevent resolution of this problem?</p>	<ul style="list-style-type: none"> a) Don't report it b) Complaint box/anonymous reporting c) School management committee or similar d) Police e) Other
A.3		<p>What is the school doing to reduce the incidence of SRGBV? Please be specific when talking about the types of SRGBV already discussed. Are these actions successful? What would it take for them to be more successful? How can others help? What communication gaps might prevent resolution of this problem?</p>	<ul style="list-style-type: none"> a) Workshops/school-wide sensitization meetings, posters, etc. b) School codes of conduct c) Teacher/student/parent committees d) Safe spaces for girls (e.g., latrines) e) Internalizing positive gender attitudes and norms f) School is not doing anything

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
B.1	<p>B. Internal: Gang violence: These questions focus on the influence and presence of gangs or other organized armed groups within the learning environment. Subsequent "external" questions focus on how gangs and groups may affect areas outside of learning centers.</p>	<p>How do gangs or other types of organized armed groups influence the environment inside the school (violence/fear)? Do students and teachers face unique risks from one another? If so, what are they? Do the gangs recruit? If so, how? Why would someone join? Are gangs influencing administration? Who is at risk of recruitment and/or being victimized? <i>[Blind vote: Have group respond with heads down and hands up. Write answers on flip chart and invite participants to discuss their answers if they wish, but do not pressure them to do so.]</i></p>	<ul style="list-style-type: none"> a) Intimidation/risks b) Actual physical violence against students/teachers not in gangs c) Actual physical violence between gangs puts students/teachers at risk d) Exert control over school (administration, teachers) f) Extortion g) Recruitment h) Gangs are not influencing school environment
B.2		<p>How are parents supporting students to stay safe and learn? How are parents engaged in schools in a way that helps their children feel safer? Whom do they involve if not themselves? <i>[Blind vote: Have group respond with heads down and hands up. Write answers on flip chart and invite participants to discuss their answers if they wish, but do not pressure them to do so.]</i></p>	<ul style="list-style-type: none"> a) Supporting homework at home b) Valuing education at home, motivating studies/attendance c) Participating in school activities d) Drop off/pick up e) Visiting school and speaking with personnel (teachers, principal, etc.) f) Parents are not supporting students
B.3		<p>How do students, teachers, and staff stay safe and manage the risk of the gangs or other types of organized armed groups in schools? Are these actions successful? Are schools, parents, and communities working jointly? What would it take for them to be more successful? What support do teachers need? How can others help?</p>	<ul style="list-style-type: none"> a) No contact b) Careful dress and appearance c) Coexistence, cordial dialogue but distance d) Confrontation and discipline e) Dialogue and normal discipline f) Discussion/dialogue with parents/gang members g) Nothing/not safe

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
C.1		<p>Generally speaking, how do you feel about your school? Are you happy to be here? If so, what in particular makes you happy? If not, what in particular makes you unhappy? What would you change?</p>	<p>a) Very positive; I really like this school b) Somewhat positive; it is good c) Neutral; I don't feel strongly either way d) Somewhat negative; there are some bad aspects to it e) Very negative; I really don't like this school</p>
C.2	<p>C. Internal: Negative and unsupportive school climate: These questions address issues that may lead to an environment within the classroom that is uncomfortable and potentially harmful to learners. The concern is that this impact may negatively affect learning.</p>	<p>What type of discipline do teachers normally use with students? Have there been any changes to the code of conduct or other regulations that restrict the use of certain forms of punishment? What kinds of punishments do boys get? Girls? Do they affect attendance? Retention? What is your opinion on this? Does it work?</p>	<p>a) Students are reprimanded physically (e.g., flogging) b) Students are not physically reprimanded but are asked to leave class or school c) Students are given physical labor (e.g., digging pits) d) Students are taken out from fun activities (e.g., sports) e) Students are talked to individually or in a small group about behavior f) Students are yelled at or humiliated during class g) Nothing</p>
C.3		<p>What kinds of resources and materials are you lacking at the school? I'm talking about things like chairs, roof, walls, tables, and chalkboards for students; access to toilets; a potable water source, sufficient ventilation. <i>[The group should collectively name everything that is missing and one tally recorded for each missing item; provide details for each missing or inadequate item—was it ever there? Have there been attempts to get it? How does it impact you e.g., cold, wet, sore, sick]</i></p>	<p>a) Chairs b) Roof c) Walls d) Tables/Desks e) Toilets f) Potable water g) Ventilation h) Other needs</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
D.1	<p>D. External: Caught in the crossfire–gang violence This question addresses how gang violence outside of the school walls may affect stakeholders affiliated with the school.</p>	<p>What sorts of risks from gangs do students and teachers face on the route to and from school? Who is at risk of recruitment and/or being victimized? Do risks differ between boys and girls or men and women? Is the risk generally when students are within the school or when they are going to and from the school? Are there different kinds of risks depending on where the students are?</p>	<p>a) Proximity to violence between gangs (caught in the crossfire) b) Violent crime directed at students and teachers from gangs (e.g., armed robbery, sexual and/or physical assault, kidnapping) c) Nonviolent crime directed at students and teachers from gangs (e.g., petty theft, taunting) d) General climate of fear from risks to their or their loved ones' safety e) No risks</p>
D.2		<p>Are there certain times of day or year that the gang-related risks are more significant or less significant? What is the reason that safety risks might change from day to day? Is there any way that students and teachers can know about the risks in their area on a regular basis?</p>	<p>a) They're constant, so people assume it could always happen b) It is intermittent and depends on what is happening, and we don't ever know c) It is intermittent and depends on what is happening, but we usually know to expect it d) Don't know e) Other</p>
D.3		<p>What do students and teachers do to stay safe from gang-related problems on the route to and from school? Are there better methods than those currently in use to ensure safe passage? What are some of the risks (if any) to their alternative method of reaching school or using an escort?</p>	<p>a) Find another gang member to escort them b) Find a family member or family friend to escort them c) Find police/security personnel to escort them d) Take a different or longer route e) Go at a different time of day f) Skip school g) Attend different school or an alternative education program that is safer h) Drop out/quit i) Go and take the risk</p>
D.4		<p>Is alcohol easily accessible in the school community? Where? Who goes there? Have you observed more violent behavior by people around that area or after frequenting that area?</p>	<p>a) Yes b) Don't know c) No</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
E.1		<p>How does the conflict affect risks to students and teachers on the route to and from school? Do risks differ between boys and girls or men and women? Is the risk generally when students are within the school or when they are going to and from the school? Are there different kinds of risks depending on where the students are?</p>	<ul style="list-style-type: none"> a) Proximity to violence between factions (caught in the crossfire) b) Violent crime directed at students or teachers from factions (e.g., armed robbery, sexual and/or physical assault, kidnapping, forced marriage) c) Nonviolent crime directed at students or teachers from factions (e.g., petty theft, taunting) d) General climate of fear from risks to safety f) No risks
E.2	<p>E. External–Caught in the crossfire–armed conflict: These questions address how conflict-related issues that occur outside of the school environment may affect stakeholders within the school.</p>	<p>What do students and teachers do to stay safe on the route to and from school from conflict-related risks? Are there better methods than those they currently use to ensure safe passage? What are some of the risks (if any) to their alternative method of reaching school or using an escort?</p>	<ul style="list-style-type: none"> a) Find another faction member to escort them b) Find a family member or family friend to escort them c) Find police or security personnel to escort them d) Take a different or longer route e) Go at a different time of day f) Change clothing g) Skip school h) Attend different school or an alternative education program that is safer i) Drop out/quit j) Take no special measure/risk it
E.3		<p>Are there certain times of day or year that the conflict-related risks are more significant or less significant? What is the reason that conflict-related risks might change from day to day?</p>	<ul style="list-style-type: none"> a) They're constant, so people assume it could always happen b) It is intermittent and depends on what is happening, and we don't ever know c) It is intermittent and depends on what is happening, but we usually know to expect it d) Don't know e) Other

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
F.1	<p>F. External: education under attack (ideological anti-school): These questions address how extremist groups that oppose formal education due to its association with the West may affect stakeholders.</p>	<p>Is there any way that students and teachers can know about the risks in their area on a regular basis?</p>	<ul style="list-style-type: none"> a) Kidnapping b) Sexual assault c) Physical assault d) Intimidation/verbal harassment e) General climate of fear from risks to safety f) Other
F.2		<p>What do students and teachers do to stay safe from extremist groups on the route to school? Are there better methods than those they currently use to ensure safe passage? What are some of the risks (if any) to their alternative method of reaching school or using an escort?</p>	<ul style="list-style-type: none"> a) Find opposing group/armed faction member to escort them b) Find a family member or family friend to escort them c) Find police/security personnel to escort them d) Take a different or longer route e) Go at a different time of day f) Skip school g) Attend different school or an alternative education program that is safer h) Drop out/quit i) Take no special measure/risk it j) Other
F.3		<p>Are there certain times of day or year that the risks are more significant or less significant? What is the reason that safety risks might change from day to day? Is there any way that students and teachers can know about the risks in their area on a regular basis?</p>	<ul style="list-style-type: none"> a) They're constant, so people assume it could always happen b) It is intermittent and depends on what is happening, and we don't ever know c) It is intermittent and depends on what is happening, but we usually know to expect it d) Don't know e) Other

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
G.1	G. External: Incidental SRGBV and other physical threats to or from school: These questions address how other acts of violence (not directly related to gangs or conflict) may affect stakeholders at school	What sorts of risks of incidental SRGBV and other non-human physical risks students and teachers faced with when trying to get to or from school or when within the school itself? Do risks differ between boys and girls or men and women? Is the risk generally when students are within the school or when they are going to or from the school? Are there different kinds of risks depending on where the students are?	a) Proximity to violence between community members (caught in between tensions or fights) b) Violent crime directed at students or teachers from community members (e.g., armed robbery, sexual and/or physical assault, kidnapping) c) Nonviolent crime directed at students or teachers from community members (e.g., petty theft, taunting) d) Physical risks (e.g., snakes, dogs, rough terrain, vehicle accidents) e) Other
G.2		What do students and teachers normally do to stay safe on the way to or from school? Are there better methods than those they currently use to ensure safe passage? What are some of the risks (if any) to their alternative method of reaching school or using an escort?	a) Find another person nearby to escort them b) Find a family member or family friend to escort them c) Find police or security personnel to escort them d) Take a different or longer route e) Go at a different time of day f) Skip school g) Attend different school or an alternative education program that is safer h) Drop out/quit i) Take no special measure/risk it j) Other
G.3		Are there certain times of day or year that the risks are more significant or less significant? What is the reason that safety risks might change from day to day? Is there any way that students and teachers can know about the risks in their area on a regular basis?	a) They're constant, so people assume it could always happen b) It is intermittent and depends on what is happening, and we don't ever know c) It is intermittent and depends on what is happening, but we usually know to expect it d) Don't know e) Other

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
H.1	<p>H. Environmental: Geological Hazards: These questions specifically address earthquake, landslide, tsunami, and volcano events and how schools may respond to and prepare for them.</p>	<p>Has the school been affected by earthquakes, landslides, tsunamis, and/or volcanoes in the past? What happened? What was the school's response? Was the school successful in keeping students, teachers, and staff safe? What would it take for them to be more successful? What help would you need?</p>	<p>a) Yes, the school and students/staff were affected badly b) Yes, the school structure was badly affected, but students/staff were okay c) Yes, the school was affected a bit, and students/staff were okay d) Yes, but both the school and students/staff were mostly ok e) Yes, but both the school and students/staff were completely okay f) No</p>
H.2		<p>What is the school doing to keep students and staff safe and continue schooling in the event of an earthquake, landslide, tsunami, or volcano? Does the school carry out regular preparedness and evacuation drills? Is there a preparedness plan?</p>	<p>a) Evacuation and preparedness drills often b) Evacuation and preparedness drills sometimes c) Some preparedness planning, but nothing is done d) Nothing planned or done</p>
H.3		<p>Is the school building constructed according to earthquake-, landslide-, tsunami-, and/or volcano-resilient standards? What standards are used? If they are not up to standard, are any steps being taken to address this issue?</p>	<p>a) Yes, completely b) Yes, partially c) No, not at all d) Don't know</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
I.1	I. Environmental: Water-Related Hazards: These questions specifically address water-related risks (flood, storm, surge, drought) and how schools may respond to and prepare for them.	Has the school been affected by floods, storms, surges, and/or droughts in the past? What happened? What was the school's response? Was the school successful in keeping students, teachers, and staff safe? What would it take for them to be more successful? What help would you need?	a) Yes, the school and students/staff were affected badly b) Yes, the school structure was badly affected, but students/staff were okay c) Yes, the school was affected a bit, and students/staff were okay d) Yes, but both the school and students/staff were mostly ok e) Yes, but both the school and students/staff were completely okay f) No
I.2		What is the school doing to keep children and students safe and to continue school in the event of flooding, storms, surges, and droughts? Does the school have preparedness plans in case of flooding, storm, surges, and droughts? Does it carry out regular preparedness and evacuation drills? Does it collaborate with parents and the wider community?	a) Planning for relocation b) Evacuation and preparedness drills often c) Evacuation and preparedness drills sometimes d) Some preparedness planning, but nothing is done e) Nothing planned or done
I.3		Is the school building constructed according to flood-, storm-, surge-, and/or drought-resilient standards? What standards are used? If they are not up to standard, are any steps being taken to address this issue?	a) Yes, completely b) Yes, partially c) No, not at all d) Don't know

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
J,1	J. Environmental: Fire: These questions specifically address wildfires and how schools may respond to and prepare for them.	Has the school been affected by wildfires? What happened? What was the school's response? Was the school successful in keeping students, teachers and staff safe? What would it take for them to be more successful? What help would you need?	a) Yes, the school and students/staff were affected badly b) Yes, the school structure was badly affected, but students/staff were okay c) Yes, the school was affected a bit, and students/staff were okay d) Yes, but both the school and students/staff were mostly ok e) Yes, but both the school and students/staff were completely okay f) No
J,2		What is the school doing to keep staff and students safe and to continue school in the event of a wildfire? Does the school carry out regular preparedness and evacuation drills? Is there a preparedness plan?	a) Evacuation and preparedness drills often b) Evacuation and preparedness drills sometimes c) Some planning, but nothing is done d) Nothing planned or done
J,3		Is the building constructed according to wildfire-resilient standards or in a landslide-resilient manner? What standards are used? If they are not up to standard, are any steps being taken to address this issue?	a) Yes, completely b) Yes, partially c) No, not at all d) Don't know

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
K.1	K. Environmental: Wind-Related Hazards: These questions specifically address cyclones, windstorms, and sandstorms and how schools may respond to and prepare for them.	Has the school been affected by a cyclone, windstorm, and/or sandstorm? What happened? What was the school's response? Was the response that the school successful in keeping students, teachers, and staff safe? What would it take for them to be more successful? What help would you need?	a) Yes, the school and students/staff were affected badly b) Yes, the school structure was badly affected, but students/staff were okay c) Yes, the school was affected a bit, and students/staff were okay d) Yes, but both the school and students/staff were mostly okay e) Yes, but both the school and students/staff were completely okay f) No
K.2		What is the school doing to keep staff and students safe and to continue school in the event of a cyclone, windstorm, or sandstorm? Does the school carry out regular preparedness and evacuation drills? Is there a preparedness plan?	a) Evacuation and preparedness drills often b) Evacuation and preparedness drills sometimes c) Some planning, but nothing is done d) Nothing planned or done
K.3		Is the building constructed according to cyclone-, windstorm-, or sandstorm-resilient standards or in a cyclone-, windstorm-, or sandstorm-resilient manner? What standards are used? If the building is not up to standard, are any steps being taken to address this issue?	a) Yes, completely b) Yes, partially c) No, not at all d) Don't know

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. <i>Italics indicate instructions to facilitator and note taker.</i>	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
L.1	<p>L. Environmental: Chemical, biological, radiological, and nuclear hazards: These questions specifically address these hazards and how schools may respond to and prepare for them.</p>	<p>Has the school been affected by chemical, biological, radiological, or nuclear hazards? What happened? What was the school's response? Was the school successful in keeping students, teachers, and staff safe? What would it take for them to be more successful? What help would you need?</p>	<p>a) Yes, the school and students/staff were affected badly b) Yes, the school structure was badly affected, but students/staff were okay c) Yes, the school was affected a bit, and students/staff were okay d) Yes, but both the school and students/staff were mostly okay e) Yes, but both the school and students/staff were completely okay f) No</p>
L.2		<p>What is the school doing to keep staff and students safe and to continue school in the event of chemical, biological, radiological, or nuclear hazards? Does the school carry out regular preparedness and evacuation drills? Is there a preparedness plan?</p>	<p>a) Evacuation and preparedness drills often b) Evacuation and preparedness drills sometimes c) Some planning, but nothing is done d) Nothing planned or done</p>
L.3		<p>Is the building constructed according to chemical-, biological-, radiological-, and nuclear hazards-resilient standards or in a manner resilient to chemical, biological, radiological, and nuclear hazards? What standards are used? If the building is not up to standard, are any steps being taken to address this?</p>	<p>a) Yes, completely b) Yes, partially c) No, not at all d) Don't know</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
M.1	<p>M. Environmental: Epidemics/Health Crises: These questions address risks related to epidemics and how they may have affected schools. They also address ways that learning centers may prepare for health-related emergencies..</p>	<p>Has the school been affected by a health emergency or epidemic in the past? Please tell me about the most recent outbreak or issue that occurred in this community or area (even if it didn't reach the school itself)? How many people were affected? Did the health emergency or epidemic affect student or teacher attendance or the opening of the school itself?</p>	<p>a) It closed the school completely for numerous days b) Many students and teachers missed a lot of days when they were ill or because they feared getting sick c) Just a few students/teachers got sick, and they were made to stay home; classes continued normally d) None of the students or teachers got sick; they continued to come to school as usual e) No</p>
M.2		<p>Does the school have any safeguards for protecting against or identifying the risk of epidemics before they occur? Please give an example. Have these safeguards ever been used? Did they work? How were the safeguards developed and implemented? What could be done to improve them?</p>	<p>a) Yes, well-prepared; water and sanitation for health (WASH), first aid, nurse on site, and materials for controlling spread of disease b) Partially prepared; decent WASH and first aid, no nurse and minimal materials or plans for controlling spread of disease c) No, not prepared at all; only basic WASH; no first aid, nurse, or plans for controlling spread of disease</p>
M.3		<p>What kind of preparedness plan or protocol does the school have for responding to the risk of a health epidemic? Has the school ever implemented this protocol? Was it successful? What more would need to be done to make it more effective?</p>	<p>a) Cancel all classes until it is resolved b) Cancel all in-person classes until it is resolved, but implement a virtual or distance learning mechanism c) Keep classes on schedule but implement strict guidelines on checking for illness and prevention mechanisms (e.g., hand washing, face masks) d) Keep classes on schedule and respond only if someone within the school is demonstrably sick e) Nothing</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
N.1	<p>N. Environmental: Malnutrition/ Famine: These questions address risks related to food availability and quality of diet and their effects on stakeholders.</p>	<p>Has the school community been affected by food insecurity, malnutrition, or famine? What happened to the school and students/ teachers? How did they respond? What was learned?</p>	<p>a) It closed the school for numerous days b) Many students and teachers missed a lot of days when they were ill or because they feared getting sick c) Just a few students or teachers were affected, and they were made to stay home; classes continued normally d) None of the students or teachers were affected and continued to come to school as usual e) No</p>
N.2		<p>How is the school protecting staff and students against malnutrition and food insecurity? Have you ever used these safeguards? What was the result? What more would you need for them to be better?</p>	<p>a) School feeding programs (from donors or NGOs) b) School gardens or livestock used c) Nothing</p>
N.3		<p>What kind of preparedness plan or protocol does the school have to reduce the risk of malnutrition or food insecurity and respond in a crisis? Since natural disasters and conflict increase the risk of malnutrition and food insecurity, how is this plan linked to the broader preparedness plans for other risks?</p>	<p>a) School feeding/nutrition manuals, training, and programs (incl. early warning) for staff and teachers b) Cancel all in-person classes until it is resolved but implement a virtual or distance learning mechanism c) Keep classes on schedule but implement strict guidelines on checking for illness and prevention mechanisms (e.g., school feeding, feeding center coordination) d) Keep classes on schedule and respond only if someone within the school is demonstrably sick e) Nothing</p>

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
O.1	<p>O. Crosscutting: Trauma related to SGBV: These questions focus on situations that individuals may experience differently due to their gender and that may be disturbing or distressing and leave stakeholders with difficulties coping and a sense of powerlessness.</p>	<p>In your opinion, to what extent are students traumatized when they experience (or fear experiencing) any form of SRGBV? How is it related to influences inside the school or outside, including the home? Is this trauma experienced by most students, some students, or only a few students, and do girls and boys experience it differently? How do gender norms contribute to the source of trauma? Are there different expectations for boys and girls?</p>	<ul style="list-style-type: none"> a) Most students, boys and girls equally b) Most girl students (not boys) c) Most boy students (not girls) d) Some students, boys and girls equally e) Some girl students (not boys) f) Some boy students (not girls) g) Depends on type of trauma, but it is there h) I don't know i) None
O.2		<p>What is the school doing to help students deal with trauma? Are students receptive to help and/or willing to talk about these issues? Is the school's approach effective? If so, what in particular works well, and what is the impact you observe? If not, what more needs to be done? Are there different approaches for male and female students?</p>	<ul style="list-style-type: none"> a) Group discussions about the issues b) Specific social-emotional-learning (SEL) curriculum related to the issues c) One-on-one counseling with those experiencing trauma d) Nothing is being done/not aware of anything
O.3		<p>How does trauma most significantly impact student well-being and learning within the school setting? Does it impact their attention in class? Their behavior? Their ability to acquire knowledge? Their ability to form relationships with other students? Anything else? Are there any clear differences between the impact on girls versus boys?</p>	<ul style="list-style-type: none"> a) Attention in class (not focusing) b) Behavior in class (acting out) c) Gaining knowledge (difficulty retaining information) d) Doing assignments at home (e.g., not studying) e) Difficulty forming relationships

TOOL 3: FGD AND KII QUESTIONS MATRIX

Q. Code	Risk Category	Question Set Includes guidance to facilitator(s) and note taker. Bold type indicates key question for coding. Italics indicate instructions to facilitator and note taker.	Response Option(s) For coding at field level. For FGDs, indicate relative distribution of response types.
P.1	<p>P. Crosscutting: Trauma: These questions refer more generally to conflict and/or disaster situations that may be disturbing or distressing and leave stakeholders with difficulties coping and a sense of powerlessness.</p>	<p>In your opinion, to what extent are students at all traumatized when they experience (or fear experiencing) violence from gang activity or conflicts, or natural hazards occurring around them? What is the main source? Is the trauma related to events within or to and from the school itself, events at home, or events in the community?</p>	<ul style="list-style-type: none"> a) Most students b) Some students c) Very few students d) None e) Don't know
P.2		<p>What, if anything, is being done to try to help students dealing with trauma as a result of these risks? Are students receptive to help and/or willing to talk about these issues? Is it effective? If so, what in particular works well and what is the impact you observe? If not, what more needs to be done?</p>	<ul style="list-style-type: none"> a) Group discussions about the issues b) Specific social and emotional learning (SEL) curriculum related to the issues c) One-on-one counseling with those experiencing trauma d) Nothing is being done
P.3		<p>How does trauma most significantly impact student well-being and learning within the school setting? Does it impact their attention in class? Their behavior? Their ability to acquire knowledge? Their ability to form relationships with other students? Anything else?</p>	<ul style="list-style-type: none"> a) Attention in class (not focusing) b) Behavior in class (acting out) c) Gaining knowledge (difficulty retaining information) d) Doing assignments at home (e.g., not studying, etc.) e) Difficulty forming relationships

TOOL

4



SLE ASSESSMENT ACTIVITY FIELDWORK DESIGN TABLE

AT A GLANCE

- A table that will help to organize and plan which questions will be asked to which focus groups, noting the time limit for FGDs, and which questions are most appropriate for certain groups and communities. This tool helps to be realistic about how much can be accomplished in a certain time period, and also to ensure that all identified risk areas are covered at least once.

TEMPLATES INCLUDED

- SLE Assessment Activity Fieldwork Design Table

HOW TO USE THIS TOOL

- Record the risks that were selected as requiring field research and mark their total scores from the Tool 2: Scoring Rubric. Then, record the types of FGD and/or KII that are desired for each of the school communities (e.g. parents, teachers, male students, female students) and which set of questions (related to a specific risk area) each group will be asked. Finally, record the total number of FGDs/IIIs for the entire activity.

TOOL 4: SLE ASSESSMENT ACTIVITY FIELDWORK DESIGN TABLE

Please make adaptations as necessary. See the next page for an example of a completed table with descriptions.

Scoring Rubric Risks Identified			Score in School 1 (out of 9 max)	Score in School 2 (out of 9 max)	Notes
Activity (FGD, KII, etc.)			Question Set Used		Notes
School #1			Tool Letter and/or #		
School #2			Tool Letter and/or #		Notes
Activity	# in School 1	# in School 2	Total #		Notes
TOTAL					

TOOL 4: SLE ASSESSMENT ACTIVITY FIELDWORK DESIGN TABLE

The Completed Fieldwork Design Table demonstrates how the SLE scoring rubric results will drive the design of the fieldwork process. This table provides an at-a-glance view of the fieldwork process and may be helpful in Step 3 planning.

- The “Question Set(s) to Use” column at right precisely identifies the questions that the Team will ask during Step 3. These questions are drawn from the question matrix (See Tool 3).
- This middle portion of the table also describes which groups and/or individuals are going to be interviewed to cover the questions within the matrix.
- The “Summary of Step 3 Activities” at the bottom of the table identifies the type and number of activities that the SLE Assessment Team plans to implement.

Completed Fieldwork Design Table

Scoring Rubric 2b Risks Identified	Score in Region 1 (out of 9)	Score in Region 2 (out of 9)
A. Internal: SRGBV	4	4
B. Internal: Gang and Group Violence	7	4
D. External: Caught in the Crossfire—Gang Violence	9	9
H. Environmental: Earth-Related Hazards	5	1
N. Cross-cutting: Trauma	5	5
Comments: The scoring rubric scores are different for Region 1 and Region 2 - Region 2 has low risk of earthquakes. So, in Region 1, we would use tools A, B, D, H, and P with the relevant groups identified. In Region 2, we would use A, B, D, and P.		
Group	Question Set(s) to Use	
Region 1 Step 3 Fieldwork	Sets A, B, D, H, P	
FGDs with Female Students and Male Students* (separately) (Group 1)	Gen. Question All-I + Sets A, B, D	
FGDs with Female Students and Male Students (separately) Students (Group 2)	Gen. Question All-I + Sets B, D, H**	
FGD with Female and Male Teachers/Staff (Group 1)	Gen. Question All-I + Sets A, B, D	
FGD with Female Teachers/Staff (Group 2)	Gen. Question All-I + Sets D, H, P	
FGD with Parents (mixed)	Gen. Question All-I + Sets A, P	

TOOL 4: SLE ASSESSMENT ACTIVITY FIELDWORK DESIGN TABLE

Group		Question Set(s) to Use	
Region 1 Step 3 Fieldwork		Sets A, B, D, H, P	
FGD or KII*** with Community leaders/local gov't		Gen. Question All-I + Sets A, D	
FGD or KII with NGO/CBO		Gen. Question All-I + Sets A, P	
Region 2 Step 3 Fieldwork		Sets A, B, D, P	
FGD with Female and Male Students (separately)		Gen. Question All-I + Sets A, B, D	
FGD with Female and Male Teachers/Staff (Group 1)		Gen. Question All-I + Sets A, B, D	
FGD with Female and Male Teachers/Staff (Group 2)		Gen. Question All-I + Sets B, D, P	
FGD with Parents (mixed)		Gen. Question All-I + Sets A, P	
FGD or KII with Community leaders/local gov't		Gen. Question All-I + Sets A, D	
FGD or KII with NGO/CBO		Gen. Question All-I + Sets A, P	
Summary of Step 3 Activities			
Activity	# in Region 1	# in Region 2	Total #
FGD Male Students	2	1	3
FGD Female Students	2	1	3
FGD Teachers	2	2	4
FGD or KII gov't /leaders	1	1	2
FGD or KII NGO/CBO	1	1	2
TOTAL	8	6	14

*Question set P is most appropriate for stakeholders other than students. For the student focus group, there are 13 questions that need to be covered in total to cover risks A, B, D and H (there are three questions for each risk plus the one General Question All-I). This is too many for one group, since it is recommended that only ten questions maximum are covered per group. So, the team will need to form two separate groups to cover all of the topics (one group with A, B, D; the other with B, D, H).

**Both student focus groups will address D and B category questions since gang violence was identified as the most significant risk during the scoring rubric exercise. It's good to have more insights if possible.

***KII is suitable in cases where 6-8 such individuals are not available.

TOOL

5

SAMPLE SCOPE OF WORK AND TIMELINE FOR TEAM LEADER

AT A GLANCE

- A scope of work and timeline that is adaptable for use by an organization who will be conducting an SLE Qualitative Assessment.

TEMPLATES INCLUDED

- Sample Scope of Work
- Specific Tasks and Deadlines

HOW TO USE THIS TOOL

- Adapt the tool as necessary to the specific program, context, and purpose of the SLE Assessment.

TOOL 5: SAMPLE SCOPE OF WORK AND TIMELINE FOR TEAM LEADER

SAFER LEARNING ENVIRONMENTS QUALITATIVE ASSESSMENT TOOLKIT ACTIVITY ASSESSMENT TEAM LEADER

SCOPE OF WORK

INTRODUCTION

[Insert brief background on country context and country programming (for which this toolkit will inform program design/adaptation)]

To help inform project design and/or adaptation, a rapid qualitative assessment on the risks to safe(r) learning environments will be conducted by a field team and led by a team leader for whom this statement of work (SOW) is written. The research will be quite prescriptive, largely guided by a tool developed by [USAID's Education in Crisis and Conflict Network \(ECCN\)](#).

PURPOSE AND OBJECTIVES OF ASSESSMENT

Education continues to be an essential component to improving livelihoods and socioeconomic growth. Children and youth in crisis and conflict environments, however, face particular and complex challenges related to schooling, especially in terms of their ability to access a Safe Learning Environment (SLE). Identifying the specific risks (threats to their safety) students face by being in or going to or from a learning environment, as well as the ways that students, schools, and communities already try to or successfully overcome those risks, is critical for understanding how to create effective programs to help communities and schools overcome those risks. Without a clear vision of the learning environment and its inherent risks, programs often do not achieve results, are unsustainable, and, most significantly, may exacerbate conflict and/or crisis, possibly harming the individuals they seek to benefit. Different risks to safety require different interventions in response, but often the nature of those specific risks and possible assets are not known to programmers.

To overcome this gap in knowledge, the SLE Qualitative Assessment Toolkit aims to provide users with a more nuanced picture of the risks and assets present so that they may use that evidence to design, implement, and adapt programs to be context-specific and conflict-sensitive. The toolkit is designed to be adaptable to the type(s) of risk present in a given environment.

Led by the SLE Assessment Team Leader, the SLE Qualitative Assessment is a four-step process:

1. Preliminary remote desk research into the context of the location and risk environment in which a program is ongoing or planned
2. Rapid comprehensive SLE scoring rubric that will assist teams in the prioritization of risk and asset categories
3. Primary data collection exercise using KIIs and FGDs and which is qualitative in nature

TOOL 5: SAMPLE SCOPE OF WORK AND TIMELINE FOR TEAM LEADER

- Entry, analysis, and reporting of findings using a pre-designed qualitative database. This is a simple process designed for junior researchers or non-researchers on how findings may be presented in short, simple reports that are accessible to and actionable by practitioners.

SPECIFIC TASKS FOR THE TEAM LEADER

The SLE Qualitative Assessment Toolkit should be administered by a local field team (with a minimum of four members, two of whom must be women) under the leadership of a Team Leader who has knowledge of the local environment where the research will be conducted. Specific tasks and deadlines for the team leader are listed in the table.

Tasks	Week	Level of Effort (hours)
Review the SLE Qualitative Assessment Toolkit in depth	Week 0	1
Recruit, or assist the implementing organization in recruiting, a qualified and skilled data collection team (ideally made up of two males and two females).	Week 0, 1	1
Lead a desk research process of available literature to identify major data gaps that need to be filled by the primary data collection in school communities. Optional: Produce a report for review by the implementing organization.	Week 0, 1	5
Write a report of desk research findings [indicate specific audience(s)].	Week 1, 2	2
Facilitate the completion of the SLE scoring rubric to determine (a) specific question sets to use and (b) where to conduct research.	Week 2	.5
Lead a training event for the field team (using the suggested training PPT presentation that is provided in the toolkit).	Week 2	2
Oversee the site selection and logistical planning for fieldwork activities.	Week 2	.5
Lead pilot activities to test and refine the tools and translations.	Week 2	1
Lead the Assessment Team in fieldwork activities. Oversee data transcription using the prepared data entry database (Excel database).	Weeks 3, 4	7
Conduct an analysis of data, using the analysis tools provided within the data entry database. Drafting the report using the recommended outline.	Week 5	5
Finalize the report based on feedback from the ECCN Team and the implementing organization.	Week 6	3

TOOL 5: SAMPLE SCOPE OF WORK AND TIMELINE FOR TEAM LEADER

Tasks	Week	Level of Effort (hours)
Check in regularly with the ECCN Team to provide feedback on experience using the toolkit, making suggestions, etc.	Throughout, weekly	
Possible: Participate in virtual meeting(s) or event(s) to (a) present findings from the research and (b) share experience using the toolkit.	TBD	
TOTAL LOE		28

Requirements

The Team Leader must:

- Be fluent in [indicate preferred languages]
- Have experience conducting literature reviews and desk review research using online resources
- Have experience training and leading research teams in the region(s) that the research will be taking place
- Have experience conducting qualitative research (FGDs and KIIs)
- Have a clear understanding of and take seriously the guidelines for ethical research and child protection protocols
- Have a proven ability to analyze and report on qualitative data using qualitative analysis tools
- Have a basic understanding of Excel software
- Be available to begin work in [time frame]

Ideally, the team leader will also:

- Have thematic knowledge around education and its intersection with Safer Learning Environments in the research context

TOOL



FIELD TEAM TRAINING AGENDA

AT A GLANCE

- Sample agenda for the team leader to train his/her local field team for primary data collection over the course of one to two days in an office setting, followed by one to two days doing a field pilot.

TEMPLATES INCLUDED

- Field Team Training Agenda and PowerPoint [e-annex](#)

HOW TO USE THIS TOOL

- Use to help guide the specific activities and their duration for the training exercise.

TOOL 6: FIELD TEAM TRAINING AGENDA

For office training only. An additional day (at least) of field testing is **essential**.

DURATION

Minimum of one full day in office (eight hours each, including breaks). Two days in office would be better, and the extra time could be spent practicing items 4, 5, 6 as a group. If the research team is already very skilled at conducting qualitative research (FGDs and KIIs), then less time can be taken doing the mock exercises. It may also be helpful to split the training into two half-days, and team members can go home with the research questions and methodology to review and come back well-prepared for day 2.

PARTICIPANTS

Anyone who will have a role in the research exercise, that is, the entire field research team of those who will visit school communities (including interpreters, if needed). Whoever is taking the lead on this research activity or will be authoring the report should review the toolkit in depth, including the training materials, and lead the training activity. It may also be prudent to first complete the desk research and the checklist in order to streamline the training for the primary data collection. The following outline is intended as a guide only. The Team Leader should feel free to make adaptations and to shorten or lengthen the time of training depending on the needs of the field team.

MATERIALS

Materials include the following:

- Printed sets of FGD and KII field forms for each team member
- Pens/pencils
- Flip charts and marker
- Computer(s) with Excel software, the qualitative database, and the training PPT [e-annex](#)
- Projector for showing the training PPT

AGENDA

- I. Overview (45 min.)
 - a. Purpose of research/broad research question
 - b. Methodology overview, including field methodology details
 - c. Types of questions and discussions in field research
 - d. Research ethics
 - e. Child protection protocols in region
 - f. Initial defining/agreeing upon key terms related to the assessment (further work in #4 and #5)

TOOL 6: FIELD TEAM TRAINING AGENDA

2. Entering the field (15 min.)
 - a. Making contact
 - b. Selecting participants/respondents
 - c. Planning research activities
3. Note taking and coding (45 min.)
 - a. Introduction to field forms
 - b. Tips for note takers

BREAK (15 min.)

4. Focus group discussions (2 hrs.)
 - a. Types of questions: Open ended and blind
 - b. Run-through of FGD questions and explain logic behind each question; define and agree upon key terms
 - c. Share tips for doing FGDs; provide examples
 - d. Practice mock FGDs as a group (with coding and note taking)
 - e. Reflect on mock exercise; share notes and reflect on improvements to questions

LUNCH (1 hr.)

5. Key informant interviews (1.75 hrs.)
 - a. Run-through of KIs questions and explain logic behind each question; define and agree upon key terms
 - b. Share tips for doing KIs; provide examples
 - c. Practice mock KIs as a group (with coding and note taking)
 - d. Reflect on mock exercise; share notes and reflect on improvements to questions

BREAK (15 min.)

6. Enter notes and codes into database (1 hour; this part may not be relevant to the field team and may be skipped if they will not be entering and analyzing data)
 - a. How to enter notes and codes
 - b. How to navigate tabs
 - c. How to filter data

TOOL

7



FIELD PLANNING CHECKLIST

AT A GLANCE

- A one-page checklist for field teams to use in order to ensure they have completed necessary steps to conduct primary research in each community.

TEMPLATES INCLUDED

- Field Planning Checklist

HOW TO USE THIS TOOL

- Complete one checklist per community that will be visited, prior to beginning fieldwork in that community.

TOOL 7: FIELD PLANNING CHECKLIST

During the advance planning discussions, the SLE Assessment Team should consider the following steps for each community:

Foster a clear understanding of the specific purpose and scope of the SLE Assessment (focusing on obtaining more information about safety to students and education personnel in a learning environment and on the way to and from that learning environment).	
Discuss language and terminology to be used and explore sensitivities.	
Share criteria for the identification of participants.	
Discuss the issue of informed consent (especially important for children and adolescents) and supervisory approval (teachers). Adapt as necessary.	
Identify organizations, officials, and/or individuals in each community or region who can be contacted in case of disclosures during field research (e.g., to report a case of sexual abuse; to refer a participant who was upset by discussions). Additional details regarding ethics are provided in Annex 5 and Tool 9 of the SLE Qualitative Assessment Toolkit.	
Define safety and security protocols for moving in and around the school community.	
Enlist local advice to optimize the overall methodology and to schedule meetings.	
Identify any groups and/or individuals in the community to whom participants can be referred in case they wish to discuss issues in more depth or obtain support (e.g., a counselor who can speak to a girl who has experienced sexual assault or phone numbers for a drop-in center for teens). If such individuals or groups do not exist, ensure that someone on the team is available to follow up.	
Define any required conditions or expectations for the school visits.	
Coordinate among staff and other IPs with a presence in the municipalities and schools selected, as well as with contacts at the Ministry of Education (MOE), including regarding possible logistical support, as needed.	
Obtain an introductory letter from the Implementing Partner and/or donor to the MOE (or the school directors) describing the activity and requesting that the MOE inform local school bodies, administrators, etc. This can be very helpful in facilitating onsite planning discussions for FGDs.	

TOOL

8



RECOMMENDED DAILY FIELD TEAM DEBRIEF QUESTIONS

AT A GLANCE

- A one-page list of questions related to go over with your team immediately after the fieldwork in a community. Questions relate to fieldwork process, preliminary analysis of data collected, and preparing next steps.

TEMPLATES INCLUDED

- Recommended daily field team debrief questions

HOW TO USE THIS TOOL

- At the end of each day of fieldwork (or first thing the following morning), the entire team should get together and go through each of the questions as a group; revise field notes and plans as needed, under guidance of Team Leader.

TOOL 8: RECOMMENDED DAILY FIELD TEAM DEBRIEF QUESTIONS

PROCESS-RELATED QUESTIONS

- How did the visit(s) go?
- What went well?
- What questions or complications did you encounter during data collection?
- Which activities did you conduct? How many?
- Who were the stakeholder groups? How many people participated in each group?
- How much time did the FGDs or KIs take?
- What process did you follow during the FGDs? KIs?
- Did you conduct blind-voting? If so, how did it work?
- Were any of the questions particularly generative? Controversial? Ineffective?
- How did you record data? Were the field forms helpful?
- How did you go about obtaining informed consent? How did you approach sensitive topics that might require follow-up?
- Did any issue arise that triggered a participant? If so, how did you handle it?

PRELIMINARY ANALYSIS OF DATA COLLECTED

- What were the three common themes that you heard during data collection activities?
- What did you learn today that was most significantly related to Safer Learning Environments? Why?
- What questions remain for you?
- How did participants feel differently about certain issues? Where were there disagreements? Why?

PREPARING NEXT STEPS

- Do you need to make any revisions to the questions for the next day in the field? If so, how should the questions be revised?
- Do you need to make any revisions to the process for the next day in the field? If so, how should the process be adjusted?

TOOL

9



EXAMPLE FORMS FOR CONDUCTING ETHICAL RESEARCH

AT A GLANCE

- These templates should be used to ensure field research is conducted ethically; forms can be used for submission to Institutional Review Boards (IRBs), country research offices, and the like.

TEMPLATES INCLUDED

- Data Collector Ethical Guidelines and Code of Conduct
- Research with Adults (18+): Statement of Informed Consent
- Permission from Parents / Teachers / Principals for Research with Children
- Research with Children (under 18 years old): Statement of Assent

HOW TO USE THIS TOOL

- Revise forms based on country and program context
- Every field team member must complete the code of conduct form
- No interview may be conducted without prior completion of the relevant form

TOOL 9: EXAMPLE FORMS FOR CONDUCTING ETHICAL RESEARCH

Where yellow highlight appears, add relevant details.

DATA COLLECTOR ETHICAL GUIDELINES AND CODE OF CONDUCT

To be signed by each member of SLE Assessment Team

You must adhere at ALL TIMES to a code of conduct that includes not only what you learned in your child protection briefing, but these other standards as described below.

Code of Conduct

To be read and signed by researchers working on behalf of **PROJECT IP** and taking part in the Safer Learning Environments Research Project **DATES**

I am a **COUNTRY** citizen who, between the dates of _____ and _____, will be acting in a full-time capacity as researcher on behalf of **PROJECT IP**. I will adhere to this Code of Conduct according to the details as laid out below:

I WILL

Generally:

- Behave in a professional manner at all times
- Be courteous and respectful of all persons with whom I come in contact in the course of my work with **PROJECT IP**
- Take good care to be well rested so that I can perform my duties to the maximum
- Take care that I am fed and hydrated so that I can perform my duties to the maximum
- Take the care necessary to avoid any serious illnesses that will impede my ability to carry out my duties during the above period

Regarding interviews:

- Make clear with all interviewees that this is an important survey taking part in **other communities in LOCATION OF RESEARCH**, and the results of the survey will not directly impact any person or community but the country as a whole. I will ensure all people I come in contact with understand that they are contributing to an important piece of research, but that they should not expect a 'reward' or a project to come as a result of this research.
- Obtain informed consent from each person I talk to, which means I will read a statement that explains the types of questions that will be asked on the survey (including sensitive issues) and assure the participant that (a) his/her answers will remain totally anonymous (if it will be); (b) that he/she can choose to not answer a question if he/she wants; and (c) that he/she can stop the interview at any point without question.
- During interviews, if at any point in a conversation, it appears that the participant no longer wants to speak, then I (a) can identify this easily and (b) stop the research immediately. I will never push the participant to take part in the first place or to "keep answering" while taking part.

TOOL 9: EXAMPLE FORMS FOR CONDUCTING ETHICAL RESEARCH

- Make sure that only females conduct interviews with females, and that we attempt to ensure that younger females are interviewed by younger females in case they feel nervous speaking about sensitive issues to adults. Similarly, adult females should be interviewed by older females, in case they feel uncomfortable or irritated speaking about issues with someone their junior.
- Before interviewing a minor (male or female under the age of 18) I will obtain written permission from his/her parent/guardian/teacher/school principal. Even a minor is very willing to take part, I must first ensure I have visited his or her guardian, explained to that guardian the content of the research and the types of questions that will be asked, and then make sure that the interview is conducted privately. It may also be unclear who the appointed guardian is—and in this situation, an interview should not take place.

When working with/around young people:

I will adhere to all responsibilities for researchers under the **PROJECT IP** Guidelines, particularly as related to working with adolescents and vulnerable people. In addition to the above, I will follow the following guidelines:

- I will never abuse and/or exploit a child or act/ behave in any way that places a child at risk of harm.
- I will report any child abuse and protection concerns that I might have with my Lead Researcher—I WILL NOT take any action myself.
- I will respond to a child who may have been abused or exploited in accordance with instructions from my Lead Researcher ONLY.
- I will cooperate fully and confidentially in any investigations of concerns or allegations.
- I will contribute to an environment where children are respected and encouraged to discuss their concerns and rights.
- I will always ask permission from children (or in the case of young children, their parent or guardian) before taking images of them. These images must be respectful in nature. Images must only be used in the child's best interest.

I also understand that:

- Where concerns exist about my conduct in relation to child protection and/or where there has been a breach of the Child Protection Policy, this will be criminally investigated by the appropriate statutory authorities.
- Where an allegation is made but proven unfounded, no action will be taken against the reporter unless found to have been made as a knowingly false accusation, in which case the appropriate legal action will be taken.

I WILL NOT:

Participate in any activities that will bring **PROJECT IP** into ill repute. These activities include but are not limited to:

- Drinking to excess (getting drunk)
- Participating in illegal substance abuse
- Liaising with persons of the opposite sex in a way unbecoming to my full-time professional capacity as a researcher

I the undersigned, being of sound mind and body, have read and understand all of the above requirements, which as combined make up the Code of Conduct regarding the Safer Learning Environments Research for **PROJECT IP**, for which I am acting as researcher. I agree to abide by this Code of Conduct and understand that if I do not behave accordingly, I will be required to conclude my dealings with the research project, effective immediately.

Signed: _____

Name of Researcher: _____

Witness Signature: _____

Name of Witness: _____

RESEARCH WITH ADULTS (18+): STATEMENT OF INFORMED CONSENT

Project Title: Safer Learning Environments (SLE) Assessment: Country

Team Leader Name(s): _____

Hello, my name is _____. I work for an [American] organization called [NAME OF ORG] that provides assistance to schools in [COUNTRY]. We want to speak with you to learn more about your school and students' experiences. This information will allow us to better understand how we might help.

I want to ask you few questions about _____ (COMPLETE AFTER ADAPTING QUESTION MATRIX). This will take almost two hours. Your perspective will help us to learn about your community and its particular needs.

Your participation is very important, but you can choose not to participate. You can also stop at any time. It's okay. You can choose not to answer. It's okay, too.

What you tell us will remain a secret. We will not tell anyone else.

If we hear allegations of child abuse or mistreatment, we do need to report it to [IP] who will decide what to do about the issue.

If you have any questions about the study later on, you can speak to us further [PROVIDE CONTACT INFORMATION].

Also, if you would like to talk to someone besides us about how you feel as a result of questions asked during this interview, you can receive counseling here: [PROVIDE PHONE NUMBER AND ADDRESS].

CONSENT

I voluntarily accept to participate in the activities under the conditions described above.

Signature or thumb print: _____ Date: _____

Name: _____ Date: _____

Name of person obtaining consent: _____ Date: _____

PERMISSION FROM PARENTS / TEACHERS / PRINCIPALS FOR RESEARCH WITH CHILDREN

Project Title: Safer Learning Environments (SLE) Assessment: Country

Team Leader Name(s): _____

Hello, my name is _____. I work for an [American] organization called [NAME OF ORG] that provides assistance to schools in [COUNTRY]. We want to speak with you to learn more about your school and students' experiences. This information will allow us to better understand how we might help.

I want to ask your children/students a few questions about _____ (COMPLETE AFTER ADAPTING QUESTION MATRIX—ADAPT LANGUAGE FOR CHILDREN). This will take almost two hours. Their perspective will help us to learn about your community and its particular needs.

The child's participation is very important, but the child or you can choose not to participate. The child can also stop at any time. It's okay. The child can choose not to answer. It's okay, too.

What the child tells us will remain a secret. We will not tell you or anyone else.

If we hear allegations of child abuse or mistreatment, we do need to report it to [IP] who will decide what to do about the issue.

If you or the child have any questions about the study, you can speak to us further [PROVIDE CONTACT INFORMATION].

Also, if the child wants to talk to someone besides a parent or teacher about how he/she feels as a result of questions asked during this interview, we will refer them to counseling here: [PROVIDE PHONE NUMBER AND ADDRESS].

CONSENT FOR MINOR

I voluntarily accept for my child to participate in the study under the conditions described above.

Signature or thumb print: _____ **Date:** _____

Name: _____ **Date:** _____

Name of person obtaining consent: _____ **Date:** _____

RESEARCH WITH CHILDREN (UNDER 18 YEARS OLD): STATEMENT OF ASSENT

Project Title: Safer Learning Environments (SLE) Assessment: Country

Team Leader Name(s): _____

Hello, my name is _____. I work for an [American] organization called [NAME OF ORG] that provides assistance to schools in [COUNTRY]. We want to speak with you to learn more about your school and students' experiences. This information will allow us to better understand how we might help.

I want to ask you few questions about _____ (COMPLETE AFTER ADAPTING QUESTION MATRIX—ADAPT LANGUAGE FOR CHILDREN). This will take almost two hours. Your perspective will help us to learn about your community and its particular needs.

Your participation is very important, but you can choose not to participate. You can also stop at any time. It's okay. You can choose not to answer. It's okay, too.

What you tell us will remain a secret. We will not tell your parents or teachers.

If we hear allegations of child abuse or mistreatment, we do need to report it to [IP] who will decide what to do about the issue.

If you have any questions about the study, you can speak with your parent/teacher. They have our contact information and can get in touch with us.

Also, if you would like to talk to someone besides a parent or teacher about how you feel as a result of questions asked during this interview, you can receive counseling here: [PROVIDE PHONE NUMBER AND ADDRESS].

WRITTEN ASSENT

I agree to participate in the study.

Child's signature: _____ **Date:** _____

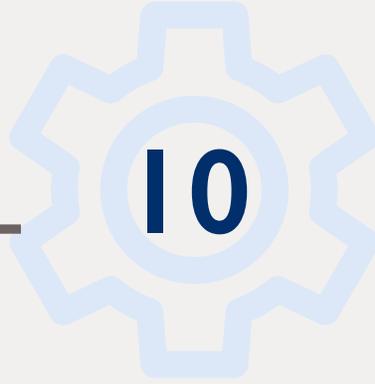
OR VERBAL ASSENT

I asked child if he/she wishes to participate. I received child's permission to participate in study.

Child's name: _____ **Date:** _____

Name of person obtaining consent: _____ **Date:** _____

TOOL 10



QUALITATIVE DATABASE ENTRY GUIDE

AT A GLANCE

- A guide to entering and analyzing qualitative data using the qualitative database.

TEMPLATES INCLUDED

- Qualitative Database Entry Guide
- Qualitative Database Excel [e-annex](#)

HOW TO USE THIS TOOL

- Follow this guidance when entering data into the qualitative database.
Note that items in gray are already filled in as part of the template, but can be amended as necessary.

TOOL 10: QUALITATIVE DATABASE ENTRY GUIDE

Follow this guidance when entering data into the qualitative database. Note that items in gray are already filled in as part of the template, but can be amended as necessary.

Column Label	Guidance
A. Community	Enter the name of the community or a code that you are able to identify easily.
B. Date	Enter the date that the research was conducted.
C. FGD or KII Type	<p>This is a critical field that will ultimately determine how your data are disaggregated in the analysis tables.</p> <ul style="list-style-type: none"> • Be specific in your labels, but do not create too many as it will create an unwieldy data table. • Think about what sorts of findings you'll want to tease out in your analysis. • At a minimum, labels should indicate the participant/group gender (or "mixed" if relevant) and student, parent, teacher, community leader status. • It may also be helpful to indicate age group of students, for example "Male Students, ages 10–13." • You do not need to include any information related to Community here, as that information is contained already in Column A. • As a general rule, each label that you assign should have at least 10 people represented.
D. Q Code	This is already filled in and indicates the question code. It should not be changed.
E. Risk Category	This is already filled in and indicates the risk category associated with the group of questions. It should not be changed.
F. Question Text	This is already filled in and indicates the question text prescribed. If you had changed this text during Step 3, then you should change it here, too. (Changing the text in the first instance between rows 2 and 333 will then change every subsequent instance below that point in the database and also update your analysis pivot tables. You will see an alert that the text will be changed; click 'ok' to confirm.
G. Response option(s)	This is already filled in and indicates the response options. If you had changed this text during Step 3, then you may change it here, too (changing in the first instance between rows 2-333 will then change every subsequent instance below in the database and also update your analysis pivot tables accordingly.
H. # Chose Response	<p>Enter the numerical data based on the in-the-field coding of response types (in adjacent cell G).</p> <ul style="list-style-type: none"> • The numerical sum for each question should equal the number of FGD participants, unless you have allowed for multiple responses or the question is asking for completion of a checklist. • If the interview was a KII, then a "1" should be used in the cell that corresponds to the response type given by the informant.

TOOL 10: QUALITATIVE DATABASE ENTRY GUIDE

Column Label	Guidance
I. Notes	<ul style="list-style-type: none">• Type the notes associated with the adjacent response type (unless there were none of that response type).• If possible, indicate when there was a new speaker by using bullet points, numbering, etc.• It is good practice to highlight any important notes in red or bold so that they stand out to you later during analysis.

ANNEX



SELECTION OF WEBSITES AND DATABASES FOR FINDING RESOURCES

ANNEX I: SELECTION OF WEBSITES AND DATABASES FOR FINDING RESOURCES

Website	Description
<u>GoogleScholar</u>	<p>Can conduct keyword and advanced searches with same capability as Google and other search engines.</p> <p>GoogleScholar limits results to scholarly literature and academic resources.</p> <p>Organization-specific evaluation reports or background research may not appear in searches unless they have been published in a journal, book or similar peer-reviewed resource.</p>
<u>ECCN Resource Repository</u>	<p>A curated selection of resources related to the four priority areas of ECCN, one of which is Safer Learning Environments.</p> <p>Each resource has a summary page that presents the abstract and other high-level findings from each resource.</p> <p>Resources include both academic and non-academic articles, papers, policy briefs, research tools, etc.</p>
<u>USAID Development Experience Clearinghouse (DEC)</u>	<p>The largest online resource of USAID-funded technical and program documentation from more than 50 years of USAID's existence.</p> <p>Not exhaustive, but it does contain thousands of resources.</p>
<u>World Bank Documents and Reports</u>	<p>Contains more than 145,000 World Bank documents that are available to the public to better share the institution's knowledge base and to implement access to information policy.</p> <p>Relevant document types include Economic and Sector Work (in-depth background studies) and Publications and Research (formal publications, working papers and informal series from departments around the Bank).</p> <p>Many of these can also be found via GoogleScholar searches.</p>
<u>INEE Resource Database</u>	<p>Contains thousands of resources specific to education in emergencies that are uploaded by INEE members.</p> <p>The sources are generally not vetted or curated, so it is important to conduct additional background research on the authors and publishers to ensure the resource is credible and of sufficient quality for the desk review.</p>
<u>Implementing Partners' Websites:</u>	<p>IPs often house their own evaluation reports and other background research on their websites, usually listed under "publications" or "research" (although there is often cross-posting as well).</p> <p>It is good to search relevant partners' websites for any resources if you know they are working or have worked in the areas that you will be assessing. For example, visit International Rescue Committee, Plan International, Mercy Corps, and Creative Associates International.</p>
<u>Policy, Advocacy, and Research Institutions</u>	<p>These institutions have a thematic focus (e.g., education under attack, SRGBV, gang violence) and commission or house resources related to that theme. Resources are usually listed under "publications" or "research."</p> <p>For example, visit Global Coalition to Protect Education from Attack, Global Facility for Disaster Reduction and Recovery, UN Girls Education Initiative</p>

ANNEX

2

SEARCH PROTOCOLS FOR DESK REVIEW

ANNEX 2: SEARCH PROTOCOLS FOR DESK REVIEW

SEARCH PROTOCOLS

Consider first the following basic equation used in the Search field of databases, Google scholar, DEC, etc.

Threat words (e.g., “abuse” or “gang” or “insecure”)

AND

School words (e.g., “school” or “learn” or “student” or “training”)

AND

Region words (e.g., “Africa” or “Nigeria” or “Bauchi”): Start with words specific to the exact regions you’re interested in, then broaden.

AND/OR

Fragility words (e.g., “fragile and conflict-affected” or “war” or “violence”)

AND

Resource type (e.g., “evaluation” or “midline” or “study”)

Examples of threat words, school words, Fragility words, and resource words are listed in the following table.

Threat: abuse or violence or rape or attack or GBV or SRGBV or VAWG or SVAWG or extremism or risk or bully or “corporal punishment” or “positive discipline” or military or destruction or safe or unsafe or harassment or gang or secure or security or risk or crime or theft or recruitment or insecurity or insecure or threat or bomb or gun or shooting or shot or crossfire or faction or trauma or fear or “safe school” or “school safety” or “safe learning” or “safer school” or “safer learning” or “education under attack” or “srgbv” or “school related gender-based violence” or “school related gender based violence” or “school related GBV” or “GBV in school” or “GBV in schools” or “corporal punishment” or “positive discipline” or “bullying” or “teacher abuse” or “teacher sexual abuse” or “abuse in school” or “violence in school” or “military use of school” or “attacks on schools” or “attack on schools” or “attacks on school” or “safety in school” or “security in school” or “secure school” or “school attack” or “school attacks” or “gangs in school” or “gangs in schools” or “rape in school” or “student rape” or “rape of student” or “teacher abuse” or “staff abuse” or “violence against students” or “student violence” or “risk in school” or “sexual harassment in school” or “violence against girls in school” or “violence against boys in school” or “humiliation in school” or “violence on the way to school” or “violence to school” or “violence to/from school” or “unsafe passage to school” or “unsafe passage from school” or “safe passage to school” or “safe passage from school” or “extremism in school” or “extremist groups in school”

School: school or learn or education or school or teacher or student or “school staff” or training

Fragility: “fragile and conflict affected state” or “fragile and conflict-affected state” or FCS or “fragile state” or “protracted conflict” or “in conflict” or “crisis” or “war” or “fighting” or “violence” or “unstable environment”

Resource: “evaluation” or “impact” or “assessment” or “performance review” or “endline” or “midline” or “end line” or “mid line” or “end-line” or “mid-line” or “formative review” or “progress review” or “progress report” or “annual report” or “quarterly report” or “study” or “research” or “ethnography” or “quantitative” or “qualitative”

ANNEX



EXAMPLES OF TEAM STRUCTURES

ANNEX 3: EXAMPLES OF TEAM STRUCTURES

The SLE Qualitative Assessment Toolkit prescribes the following basic team structure, which is considered as the most cost-effective and easiest-to-procure option while maintaining assessment quality.

- Team leader: Implementing Partner’s local M&E or program lead (staff); experienced in conducting literature reviews and desk research and managing field teams; some knowledge of qualitative research methods; basic knowledge of Excel software program and good reading and writing skills
- Field team: Two male and two female M&E or other program staff members
- Data entry clerk: One person with basic knowledge of Excel software program and typing skills

However, in some situations, different arrangements may be more practical. The pilots of version 2.0 of the toolkit had various team structures, each of which was ultimately effective in completing the exercise. The following table lists these arrangements with their respective considerations.

Organization and Location of Assessment	Team Structure	Considerations
<p>Relief International, Jordan (formal refugee camps)</p>	<p>All members of team were permanent staff of the Implementing Partner:</p> <ul style="list-style-type: none"> • One international program lead provided virtual oversight and took the lead on desk review and rubric completion • Two field coordinators: an international technical assistance officer provided backstopping from U.S. and traveled to Jordan for training and data collection; an education program assistant based in Jordan led effort from there. Both took part in training and oversight, data entry and analysis. • One team leader (RI staff) per site (managed enumerators, led daily debrief, collated raw data, translated into English). • Eight enumerators per site (mixed Syrian and Jordanian pairs, male and female, Arabic speakers), RI staff. • Report written collaboratively by international program lead, international technical assistance officer, and education program assistant 	<p>Excellent opportunity for capacity building of local staff as well as outreach to beneficiaries.</p> <p>The local staff were pulled in many directions with other programming activities, making it difficult for them to focus only on assessment.</p>

ANNEX 3: EXAMPLES OF TEAM STRUCTURES

Organization and Location of Assessment	Team Structure	Considerations
<p>World Learning, Lebanon (informal refugee camps)</p>	<p>Co-led by three World Learning staff but utilized local volunteers for data collection:</p> <ul style="list-style-type: none"> • One systems and policy officer led desk review specifically; deputy COP oversaw implementation process; went to field as needed; M&E Director oversaw research process including data analysis • 4 Volunteer data collectors/interviewers <ul style="list-style-type: none"> • 2 female, 2 male who work daily with refugee children and families <p>COP oversaw writing process.</p>	<p>Excellent opportunity for capacity building of local staff.</p> <p>The local staff were pulled in many directions with other programming activities, making it difficult for them to focus only on assessment.</p>
<p>ChildFund, Philippines and Honduras (formal schools)</p>	<p>One global lead providing oversight and backstopping for both teams; consultants hired in each country.</p> <p>For Philippines:</p> <ul style="list-style-type: none"> • One local project lead (education specialist) oversaw the inception of the assessment in-country including completion of desk review and scoring rubric; identified consultant, supervised process, including quality assurance of final report; • Team leader consultant identified own field team and led process of field research, analysis, reporting <p>For Honduras:</p> <ul style="list-style-type: none"> • One local project lead (child protection specialist) with support from a program manager identified consultants; supervised process, including quality assurance • Consultants completed all steps of assessment: the desk review and scoring rubric (Steps 1 and 2), field research and prepared the report (Steps 3 and 4) 	<p>In Philippines: local staff preparing the desk review and rubric also facilitated a reconceptualization of safety/programming (capacity building)</p> <p>Use of consultants for fieldwork and reporting enabled the team to focus on the assessment, and it was completed relatively quickly.</p> <p>Consultants significantly added to the total cost.</p> <p>Missed opportunity for in-house capacity building and with local partners for fieldwork and reporting portions of the work.</p>

ANNEX

4



INTERVIEW (FGD AND KII) PROTOCOLS AND BEST PRACTICES

ANNEX 4: INTERVIEW (FGD AND KII) PROTOCOLS AND BEST PRACTICES

IMPORTANT GUIDELINES FOR ENSURING DATA QUALITY AND ETHICAL PROCEDURES



Pay attention to timing.

- Plan KIIs and FGDs at a time and location so as to minimally impact the learning environment, particularly with respect to both learners and teachers. To the extent possible, arrange school visit activities at a time of year that will be least disruptive to classes—after school with appropriate incentives, at the beginning of the year when teachers may be at school but classes have not yet begun, etc.
- Each discussion question is designed to take no more than 10 minutes (for both FGDs and KIIs). No FGD should last more than 100 minutes, and no KII should last more than 30 minutes.



Apply gender sensitivity.

- For student groups, male and female students should always be separated. It is up to the field team to decide whether separating based on gender is necessary for the other groups.
- It is imperative that females conduct interviews with females, and that there is an attempt to ensure that younger females are interviewed by younger females in case they feel nervous speaking about sensitive issues to adults.
- Adult females should be interviewed by older females, in case they feel uncomfortable or irritated speaking about issues with someone their junior.

Include persons with disabilities (PWD).

- Ensure that persons with disabilities are represented in your groups so that their unique perspective is heard. If it is more appropriate to include them in KIIs instead of FGDs, then this may be considered. Please see <http://www.washingtongroup-disability.com/> for the UN approach to definition of PWD and inclusion of PWD in data collection.



Always be conflict sensitive.

- The SLE Qualitative Assessment must be understood as an intervention into, and therefore a part of, a high-risk context. All aspects of the SLE assessment will at some point interact with the range of local factors that can drive sensitivities, grievances, and potentially lead to tension and violence.
- The SLE Assessment Team must take every measure possible to avoid making those factors worse and exacerbating a high-risk situation. In working with respondents, it is imperative that the SLE Assessment Team follow prescriptions to do no harm. (See Data Collector Ethical Guidelines and Code of Conduct in Annex 6 and Tool 9 for more detailed information. For more information on conflict sensitivity, see USAID's draft [Scoring Rubric for Conflict Sensitivity in Education Programs](#), INEE's [Conflict Sensitive Education Pack](#), and the Conflict Sensitivity Consortium's [How to Guide to Conflict Sensitivity](#)).



Begin the conversation with the general questions.

- Every KII and FGD will begin with the general question (Question All-1 in Tool 3) and then any of the selected optional general questions (All-2 through All-8). The general questions serve as a lead point of inquiry to both more gently introduce the themes that will be discussed in the KII or FGD and also to gain a general picture of the major risks and assets perceived by the respondents in that community or school.
- In high-conflict or violence contexts, consider adapting the general lead questions to explore natural disaster resilience. Using these questions for initial explorations can defuse tensions and begin to foster discussion.
- Remember that the general questions are openers. Spend no more than 10 minutes on the general questions before moving to the other questions. (As indicated above, 10 minutes should suffice for each question.) SLE Assessment Teams will need to adjust the timing as appropriate to the time allotted for the FGD or KII. Try to be proportional so that enough time is allowed to cover remaining questions. Use best judgment if participants begin to discuss other question topics and transition to those topics as appropriate.

Discuss and test questions so they make sense to participants.

- Take time to discuss the proposed questions among the team in order to make them accessible as well as contextually and culturally relevant. Accessibility includes using terms that are clear to participants and taking into account factors such as age, context, and education.
- Because of the nature of this general tool, some of the questions include terms that the SLE Assessment Teams will need to define before conducting fieldwork. Obviously, teams should only focus on the risks they identified as high risks in the SLE scoring rubric. Examples of terms that may need contextualization and clarification include “safe/safety,” “bullying,” “SRGBV,” “gangs,” “violence,” “conflict,” “extremist,” “epidemic,” and “trauma,” among others.

Manage participant numbers to avoid fatigue and foster dialogue.

- Recall that a focus group ideally should have 6–8 people. Consider adding FGDs or KIIs in communities where there are three or more risk areas identified. This helps guard against one focus group or individual being asked to participate for longer than the allotted time.
- The additional group or interview could also be made significantly shorter by covering questions for one risk area or questions that are considered particularly important to be repeated with that group.
- If more people are recruited than are needed—for instance, 15 people happily came to participate in a FGD during the first pilot—consider the following options to decrease the number of participants in each focus group:
 - Separate the people into two groups and reschedule the second group if necessary
 - Randomly choose who stays and dismiss the others, thanking them for their interest
- Pay attention to the power dynamics in groups as well as participants who may overshadow others. For example, plan a KII with the school principal rather than including her in an FGD with school personnel. Also, if someone speaks so much that they silence others, pull the participant aside and ask that they take part in a KII instead. If possible, have a colleague run a KII with that participant at the same time as the FGD so as to not inconvenience them.



Debrief as a team.

- Always debrief as a team, at least daily at the end of data collection. This is important to do while the KIIs and FGDs are still fresh in mind.
- In addition to daily debriefs with the entire team, immediately at the end of each FGD or KII, the facilitator and note taker should meet to review impressions, notes, and process updates. During this time, the team should come to an agreement about response tallies. Make notes of insights as these may be critical to reporting later on. It is also an important time to identify any other adjustments to the overall approach and planning for the next day.



FGD PROTOCOLS

The following protocol is recommended and can be adapted by the SLE Assessment Team:

1. Work through local partners and school administration to enlist voluntary participants.
2. Explain the purpose and methodology of the SLE Qualitative Assessment to local partners and school administrations.
3. Identify safe, neutral locations for the discussions.
4. Apply a “gender lens” to participant selection to ensure the equal participation of women and girls.
5. Girls and boys and women and men should ideally be in separate groups with same sex facilitators and note takers.
6. The SLE Assessment Team should designate a lead facilitator (and a co-facilitator, if necessary) and note taker. The facilitator will lead the FGD. Working in teams of two is highly recommended. The lead facilitator must be experienced and skilled in leading sensitive discussions.
7. The gender of the lead facilitator (and co-facilitator, if necessary) will correspond to the gender of the participants.
8. Trusted local partners may also be present in the focus group, and local stakeholders (primarily the school director and/or teachers) should be consulted in advance.
9. The lead facilitator begins the discussion with introductory remarks:
 - a. Welcome and thank everyone for volunteering to participate.
 - b. Introduce the SLE Assessment Team and any partner(s) present.
 - c. Explain that participation is voluntary, confidential, and not personal. Facilitators are interested in having participants speak as representatives of a group, not necessarily to speak about their own personal experiences or views.
 - d. Circulate and explain the consent form for participants to sign (as applicable). Ask participants to review, ask any questions, and then sign the consent form. Offer a copy of the consent form (unsigned) to each person. (Some will want a copy, others will not, but always offer.)
 - e. Give a brief overview of the SLE Qualitative Assessment exercise in-country and the objectives for the focus group. In particularly politicized and high-risk communities, the facilitators can stress the natural disaster and resilience dimensions of the SLE Assessment process and begin questions with those themes as well. This can help defuse tensions and build trust. Explain the focus group discussion process (times, breaks, outside smoking areas, bathrooms, and so forth) and allow time for questions and suggestions.

10. Provide basic guidelines for the FGD, review them with participants, and consider posting them for everyone to see. (Adapt pertinent guidelines for KIIs). Suggested guidelines follow:
 - a. If people feel uncomfortable during the meeting, they have the right to leave or to pass on any question. There is no consequence for leaving. Participation is voluntary.
 - b. The meeting is to solicit representative inputs, not necessarily personal inputs unless voluntarily offered (keep in mind that personal inputs may pose a risk for the participant either in the group or outside the group).
 - c. Request from the school if someone can be available after the meeting if someone needs support, and provide information about local victim service resources.
 - d. The identity of the attendees is confidential and anything said will remain confidential.
 - e. Everyone's responses will be respected. Participants should not comment on or make judgments about what someone else says, and they should not offer advice.
 - f. The facilitator determines when each participant should speak, with one person speaking at a time.
 - g. Everyone has the right to talk. However, the facilitator may ask a participant to yield to allow others to participate, and invite a participant who has not spoken to share their thoughts.
 - h. Everyone has the right to pass on a question.
 - i. There is no right or wrong answer.
 - j. Breaks are allowed as people require.
 - k. Ask if anyone has any questions.
11. Let participants know that the SLE Assessment Team will be taking notes about what is discussed, but that individual names or identifying information will not be attached to comments.
12. Inform participants when it's time for the last question. This cues participants to share relevant information that may not have come up in answer to earlier key questions.
13. Thank everyone for participating.

BOX 7: GOOD FACILITATION TECHNIQUES

The quality of data collected depends largely upon the degree to which the facilitator or interviewer is able to encourage exchanges among the various participants. The facilitator moderates and stimulates discussion. He or she must establish and manage the objectives, handle group dynamics, and work within time constraints.

Examples of prompts and probing questions to stimulate discussion:

- What do you mean when you say...?
- Why do you think...?
- How did this happen?
- What do you feel about...?
- And then what happened?
- Can you tell me more?
- Can you say a bit more about that?
- Can you please elaborate?...I'm not sure I understand...
- Can you provide an example?
- Uh huh...
- Interesting...
- I see...
- Expressions of empathy—"I can see why that must have been frustrating..."
- Culturally appropriate body language or gestures

TYPES OF FGD QUESTIONS

The FGD questions matrix provides recommendations on when a question should employ blind voting or be open-ended. Despite the recommendations, the assessment team should decide which method to use. The definitions of each are as follows.

Closed-ended blind voting questions: In these questions, the facilitator will ask a question to the group, and they will need to put their heads down and hands up to vote for specific answers. As they vote, the facilitator or the note taker will record the tally of responses on a prepared flip chart for the whole group to see. At the same time, the note taker will record the answers in his or her notes.

When voting is completed, the participants will look at the chart, and the facilitator will review each answer and ask for volunteers to explain why they gave the responses they did. It is critical that the facilitator does not force people to reveal their answers, as the reason for blind voting is to allow anonymity. However, the facilitator should give everyone a chance to respond and encourage conversation among the group members. When the conversation is finishing and/or everyone has responded, he or she should continue with follow-up questions. Blind voting is done not just to ensure confidentiality, but to reduce the likelihood that respondents are giving what they think is the “normal” answer based on what their colleagues are saying.

Open-ended questions: In these questions, the facilitator is simply bringing up a subject through a question and allowing the group to go right into discussion. For some questions, the facilitator may use a flip chart to help respondents visualize the conversation. The facilitator should try to encourage everyone in the group to give his or her opinion for each question. If it seems that most people have the same ideas or opinions, the facilitator can proceed more quickly through the conversation by asking questions like “Does anyone have a different reason?” or “Do all of you agree with this point? If so, raise your hand.” The point is to obtain detailed information as well as assess the variety of opinions in the group. At this point, the note taker and facilitator should try to agree upon the relative distribution of responses and indicate these estimates on the notes themselves. (The note forms have pre-categorized response options, including a space for “other” in some cases.) The recorded numbers do not need to be exact (as with blind voting) but rather from-the-field estimates on the range of group members’ opinions. In addition to recording this information, of course, the note taker must take detailed notes on the conversation, the specific opinions people have, and their reasons for holding those opinions.

All open-ended questions will include follow-up questions to ask, indicated on each sheet. In some cases, open-ended questions can be turned into activities to generate more interest from the group. The researchers should consider dynamic ways to elicit the information being sought. One example would be to have participants stand in certain areas of the room to indicate their degree of agreement with a certain statement. Another would be to have them “vote” with tokens that they put into certain cups.

ANNEX



GUIDELINES TO ENSURE ETHICAL RESEARCH

ANNEX 5: GUIDELINES TO ENSURE ETHICAL RESEARCH

The SLE Assessment Team will need to facilitate discussions and interviews with the highest level of tact and professionalism, as well as conflict sensitivity. Every member of the team will undergo training on ethical treatment of human subjects as part of their full-day field training exercise. The team will also need to tailor its approach to the various needs and capacities of participants. Obtaining informed consent from all participants is imperative for this activity.

In any survey focusing on vulnerable or marginalized populations, it is essential to remain vigilant to the risk of hurting (e.g., traumatizing, offending, triggering, putting at risk of physical or other harm from others seeing their participation) the participants by asking them questions or inviting them to take the floor. In the sphere of ethics, the SLE Assessment Team should follow the [American Sociological Association](#) and [World Health Organization \(WHO\)](#) guidelines for research with human subjects. In addition, [RTI's 2016 Conceptual Framework for Measuring SRGBV](#) (pp. 28–29), commissioned by USAID, provides a useful set of overarching questions that can guide the assessment team in dealing with sensitive topics and discussions:

- “When data are collected from children/youth, how do they have a say in how this information is going to be used?”
- If discussions trigger memories of traumatic experiences among respondents, how are professional counselors available at each research site to assist students?
- How will youth/children access referral sources for medical, psychosocial, and legal follow-up support, when needed, including sources sensitive to LGBTI issues?
- What do members of the Field Survey Team do when they hear about a violent crime against a young person/child that has been fully disclosed to them by a minor under the promise of anonymity and confidentiality?
- Who will follow up on these cases to ensure that the issues are properly addressed?”

In alignment with these concerns, when selecting the questionnaire respondents, the team must be perfectly aware of the need to obtain the verbal informed consent of EACH person involved in the survey. In other words, the researcher has to explain precisely what is going to happen during the conversation and give participants the option of not participating in the survey after receiving this information. Each participant will be informed of the following:

- His or her name will not be recorded.
- Each respondent will be given a unique ID (e.g. number) so that any identifying information can be separated from the larger data set and stored in a password-protected document.

If at any moment during the interview a participant no longer wants to speak, the researcher must (a) notice it readily and (b) immediately allow the participant to end his or her participation. The participant must never be forced to participate in the survey or to “keep on answering.”

Some questions may raise sensitive topics (e.g., conflict, violence and/or abuse, poverty, weight of tradition, discrimination against women). After obtaining the participant’s informed consent, the researcher must explain

which topics the participant will be exploring during the focus group or the interview and reassure the participant of the following:

1. The participant's answers will remain anonymous. In the case of FGDs, the answers will be registered by group and not by name. In the case of the KIs, the responses will remain confidential, meaning that the name or identity of the person will not be discernible to those outside of the immediate data collectors.
2. The participant can choose to skip questions.
3. The participant can close the interview without having to justify his or her decision.

In a situation where a participant decides to leave the study but the assessment team needs further information, the team will need to identify another suitable candidate and conduct an additional interview.

Another issue that the Assessment Team needs to address is how to handle sensitive information that requires follow-up, either because a question triggers a participant or because information is shared that requires reporting and/or a professional response. This may include a participant reporting incidents of abuse or illegal behavior. The assessment team needs to be aware of the local laws that pertain to the reporting of such behaviors.

In the event that participants or members of the Assessment Team experience emotional trauma during research activities, Assessment Teams must have a protocol in place that identifies the steps and resources to provide support to these individuals, including referrals and/or reporting mechanisms. Resources include local child protection support agencies and medical, psychosocial, and legal service providers. SLE Assessment Team members should all be aware of these protocols and establish an appropriate chain of communication for dealing with complex issues as they arise.

It is imperative that females conduct KIs and FGDs with females. There must also be an attempt to ensure that younger females are interviewed by younger females to foster trust and avoid creating discomfort when speaking about sensitive issues to adults. Similarly, adult females should be interviewed by older females, in case they feel uncomfortable or irritated speaking about issues with someone their junior. It is at the discretion of the field coordinator and data collector(s) to gauge to what extent these criteria should be followed.

Finally, it is imperative that in order to conduct research with a minor (a girl or a boy under the age of 18) that written permission be obtained from her or his parent/guardian. Even if a child is very willing to take part, the data collector must first visit the child's parent or guardian to explain the content of the research and the types of questions that will be asked. It may also be unclear who the appointed guardian is for a child, and in this case, an interview should not take place. In some cases, a school may give permission on behalf of a parent/guardian if the student is in school while the research is occurring. It is the responsibility of the SLE Assessment Team to determine, with the school principal and the Implementing Partner, the standard protocol.

It will be required that all SLE Assessment Team members sign agreements (see Tool 8) indicating their understanding of the above guidelines, and also basic agreements to the code of conduct while in the field. These forms can also be used in Institutional Review Board (IRB) applications.

ANNEX



EXAMPLE OF REPORTING FINDINGS AND CONCLUSIONS

ANNEX 6: EXAMPLE OF REPORTING FINDINGS AND CONCLUSIONS

EXCERPTS FROM FINDINGS SECTION AND CONCLUSIONS/ RECOMMENDATIONS SECTION ON SRGBV REPORTING (QUESTION A.2)

Findings

Across all respondents, around half said that they would not report an incidence of SRGBV if they saw it happen; female students in particular were less likely to report it, and if they did, they'd look for some form of anonymous reporting. Male students were similar, but also mentioned using school management committees. The most common reason among students to not report was fear of repercussions, as one girl in East Community said: "There are some female teachers but they would just tell the other teachers. We fear repercussions from this, so we just deal with it." Even if the reporting was anonymous, students still were uncomfortable: "Even the complaint box is insufficient, because teachers know our handwriting... then we'll be beat or get poor grades" (Female student, West Community). Teachers tended to have a more optimistic view of reporting systems, though there were clear differences between East and West Communities—the latter has a complaint box system set up that teachers were very positive about. In East community, though, one teacher said: "Honestly, we don't have a good system set up. There is no way for students to report anonymously... we just don't have the resources or time... and we don't really know how to do it." Nobody in any KII or FGD said that they'd go to police or another resource with these complaints.

Conclusions and recommendations

The main issue for students across the communities is their perceived inability to report things that they know to be wrong; some methods have been successful in West Community that could be replicated with some modifications. Consider implementing anonymous reporting mechanisms in which complaints go to a committee of school staff (and parents, if possible) where they do not already exist; ensure that mechanisms are clearly explained to students and teachers such that they feel comfortable that their handwriting will not be identified; that all complaints will be seen by all members of the committee.

It is unclear from the findings what are the particular reasons nobody would go to police, and additional research may be warranted to determine whether police are a viable resource and, if so, how they may be integrated into reporting mechanisms.

A key dimension of an effective program is that there is sufficient buy-in from beneficiaries. Given the relatively large proportion of respondents who already had limited trust in reporting abuses, there is clearly work to be done to ensure the mechanisms, if established, are used. As such, when rolling out reporting mechanisms that involve complain boxes in East Community, it may be useful to provide East Community with examples of how the complaint boxes are working in West Community to increase buy-in and trust of the mechanisms given their relative success.



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