



# EVIDENCE BRIEF 3: COST EFFECTIVE DELIVERY

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# 1 INTRODUCTION

## 1.1 STRENGTH OF EVIDENCE

There is extremely little evidence on Value for Money (VfM)-focused aspects of coordination between organisations financing, designing, and implementing education programmes in hot conflict, protracted crises, or natural disaster contexts. The evidence that does exist consists of documents that discuss coordinated financing, planning, and/or implementation, and go some way towards evaluating effective models and making recommendations for improved practice. However, the broad recommendations and general guidance lack concrete strategies and evidence of what works in relation to value for money. Overall, the review found that the launch of the Education Cannot Wait fund was the culmination of years of research and advocacy for additional and alternative financing for education in emergencies. The effectiveness of this innovative global fund at country-level must be the focus of rigorous research in the years ahead.

## 1.2 RESEARCH QUESTION AND DEFINITIONS

This Evidence Brief aims to summarise what is and is not known about cost-effective delivery, including coordinated financing, design, and implementation of education programmes in fragile contexts. More specifically, through a review of current evidence, this Brief aims to answer the following question:

*How can DFID coordinate with partners to finance, design and implement education programmes that maximise value for money?*

The evidence was reviewed with the following understanding of concepts in the research question in mind:

**Value for Money** - DFID's approach to VfM is about maximising the impact of each pound spent to improve poor people's lives (DFID 2011). This requires clarity about the results one wants to achieve and the costs involved; confidence in the strength of the evidence base on which interventions and assumptions are based; and ensuring results are targeted at the poorest. It is conceptualised as 'the 4Es': how to improve the quality and price of inputs (economy), how to maximise conversion of inputs into outputs (efficiency), how well outputs achieve the desired results (effectiveness), and the degree to which the results of the intervention are equitably distributed (equity). Cost effectiveness is also key: what is the impact relative to how much has been invested? Finally, as costs can vary across different contexts, an important part of VFM is having the right processes, systems, and behaviours in place (DFID 2011).

Examples of key education input unit costs might include teacher salaries; teacher training; textbooks; school/classroom construction; or girls' education stipends. Education output unit costs might include the cost of supporting a child in primary school; in lower secondary school; to complete primary school; or to graduate from primary school with minimum learning achievement.

All of DFID's partners – NGOs, multilaterals, the private sector, governments – play a critical role in delivering value for money. DFID can influence this through its funding choices; in the design of its programmes; through assessment and improvement of partner capability and delivery; accountability mechanisms such as annual and mid-term reviews; and in understanding and leveraging impact from markets.

**Coordination** - Akl et al (2015) use the following definition of coordination in disaster and humanitarian crises: "the systematic use of policy instruments to deliver humanitarian assistance in a cohesive and effective manner. Such instruments include strategic planning, gathering data and managing information, mobilising resources

and ensuring accountability, orchestrating a functional division of labour, negotiating and maintaining a serviceable framework with host political authorities and providing leadership”.

### 1.3 HOW THE EVIDENCE IS STRUCTURED

The literature review has tried to identify evidence of effective partner coordination. The review has taken a cross-sectoral approach and included some evidence from beyond the education sector. There may be important lessons to learn from the financing of other basic services programmes – such as health – in emergencies. The review will try to identify the main problems and barriers to good coordination, in particular, looking at challenges or good practice related to coordination between humanitarian and development partners.

Secondly, the review considered current models for education financing in crises. Evidence of the effectiveness of different models is presented, considering aspects such as accountability and timeliness of available funding disbursements.

Finally, the literature review looked at evidence around the cost effectiveness of different partnership models and the financing implications of these models. Aspects that are considered here include the need to align financing with national government priorities, working with governments and NGOs.

## 2 KEY FINDINGS FROM THE LITERATURE REVIEW

Overall, the literature found that the launch of the Education Cannot Wait fund was the culmination of years of research and advocacy for additional and alternative financing for education in emergencies. The fund’s launch marked a major step forward, but its effectiveness – especially at country level – remains to be seen. Donors and other agencies must maintain this momentum to realise funding commitments and efficient disbursements.

Coordinating financing, design, and implementation are inextricably linked. Whilst some of the research focused on one of the three areas, there is a consensus throughout the literature that coordinated implementation leads to more effective programmes and outputs and that this is achieved through coordinated planning. However, within the research there is limited evidence on how to achieve such coordination. Whilst there was no robust research addressing the question in its entirety, a review of relevant literature on cost effective delivery in the context of EIE found common trends, which are detailed below.

### 1. Bridging the humanitarian and development divide

The literature review found that current efforts at coordination between humanitarian and development actors are far from effective and efficient<sup>1</sup>. Greater attention should be given to financing, planning, and implementing throughout the duration of the crisis. Some recommendations to achieve this are made in the literature but few are tested for their effectiveness and efficiency. While recent thinking (ref. Grand Bargain) commits donors to increasingly bridge the humanitarian and development divide, there is a legacy of bifurcation of humanitarian and development assistance across strategies, decision-making, and budgets within donor agencies<sup>2</sup>. Some donors, notably the United States and the European Union (EU), maintain separate humanitarian and development teams with distinct portfolios, remits, and reporting lines. While many

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<sup>1</sup> (DFID, 2016) (Nicolai S., 2015) (OECD, 2012) (Bennett, 2015)

<sup>2</sup> (World Humanitarian Summit, 2016)



donors have integrated humanitarian and development structures at capital level, only some have extended such integration to embassies and country offices, hampering coordination and longer-term planning. Education is pertinent in the lifespan of a crisis because it has a role in the 'first-response' as well as in the long-term development context but is rarely planned adequately across both. The research does not offer a structure, model or evidence of 'what works,' to address this dilemma: however, it does emphasise the importance of long-term planning and joined needs assessments. There is need for further evidence and research to understand how this can be achieved<sup>3</sup>.

## 2. Coordinating at the country level

Much of the focus on coordination, especially coordinated financing, focuses on the global level. In the absence of strong country level coordination, duplication of efforts and lack of synergies exist which, can be considered poor value for money.

The – often overlooked – role and potential of country-level coordination was referenced in several documents in this review<sup>4</sup>. Whilst much emphasis on coordination is at global level, the literature gave examples where this has led to designs that are not contextually effective or efficient in the country of implementation. Country-level coordination is likely to be achieved through joined planning and partnering with government, and inter-organisational relationships. It should also consider effective participation of citizens. One paper highlighted that the decentralised nature of resilience of the general citizenry should be harnessed, as this makes them individually motivated to contribute to recovery<sup>5</sup>.

## 3. Partnering with government

The review found that for donor coordination to be effective, strong national leadership is needed. Financing should be aligned to national plans and strategies. However, in fragile and conflict affected states, capacity challenges often prevent national governments from exercising this lead role.

The literature review identified a number of references to the important, but often challenging role, of coordination involving government<sup>6</sup>. Tension arises between respecting humanitarian space, which sometimes necessitates bypassing state systems, and creating sustainable development, which necessitates government leadership. One ODI paper states: "Finding solutions to protracted crisis is fundamentally a political issue that requires the full extent of political will, courage, capacity and resources of governments"<sup>7</sup>. The research makes recommendations for joined planning, financing, and implementation with government. However, these tend to be broad-brush statements (e.g. shadow planning; leverage domestic funds) rather than descriptions of how to do it, what works, or if it creates value for money. While DFID maintains there is no single approach in conflict areas, it provides some suggestions on using different aid instruments in three different scenarios<sup>8</sup>:

**Where there is state capacity, but no commitment to poverty reduction:** consider working with or – if necessary – outside the state, using off-budget, joint, national or regional programmes with pooled funding,

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<sup>3</sup> (DFID, 2015)

<sup>4</sup> (Culbertson, Olikier, Baruch, & Blum, 2016)

<sup>5</sup> (Rose & Tyler, 2013)

<sup>6</sup> (Sommers, 2004) (Mendenhall, 2014)

<sup>7</sup> (Bennett, 2015)

<sup>8</sup> (DFID, 2010b)

perhaps with the UN having oversight as a legitimate, neutral intermediary. Use humanitarian projects, but in response to humanitarian need. Partner with non-state actors, and with state actors where possible, such as local government or reformist elements in central government. Shadow align with state systems. Support key reformers in government, perhaps with selective technical cooperation focusing on a few key 'zero generation' reforms.

**Where there is both little capacity and little commitment:** Similar to the above, considering working with or outside the state, but a lack of state capacity can mean there are more opportunities to work with local government, communities, civil society, and the private sector. Focus on strengthening the capacity of vulnerable communities.

**Where there is commitment, but little capacity:** Here there are the biggest opportunities to work through the state. Ensure an overarching strategic framework is in place between government and donors, covering political, security, and development strategies. Consider budget support, using Multi-Donor Trust Funds if necessary, large investment projects, security sector reform etc. Provide technical cooperation for capacity building, but ensure it is government-led, not donor-led. Align activities with government budgeting and planning by ensuring all donor projects and programmes are 'on budget', even if not 'through budget'. Complement these with social fund or social protection arrangements to get resources to communities and begin to build from the bottom up. Use direct contracting of the UN and NGOs where national programmes are insufficient, but 'on budget', not 'off budget'.

#### 4. Effective inter-organisational relationships

Conflicting timeframes, priorities, and budgets amongst actors make effective inter-organisational relationships difficult to establish. The literature review found examples of successful and unsuccessful inter-organisational relationships in crisis and subsequent lessons learnt and recommended components for creating effective relationships<sup>9</sup>.

It is widely recognised that the presence of multiple actors within the EiE sector creates competing priorities, agendas, timeframes, budgets, and power dynamics which in turn lead to inefficiencies and ineffectiveness. Evidence also suggests that when inter-organisational relationships work well, they can lead to improved effectiveness and efficiency in crisis. Much research has been conducted to understand why inter-organisational relationships are so difficult and what frameworks and tools can be used to enhance collaboration. Whilst focused on emergency contexts, the evidence is not directly related to the education sector and therefore has limitations. Consensus across the literature is that inter-organisational relationships should be built in advance of any crisis, must be formed on trust, and should give participants a clear incentive to work together<sup>10</sup>. Examples of structures for such groups include networks, working groups, and clusters. Some evidence suggests that the EiE sector lacks a single organising body that can make decisions, and that the above structures fall down when they have no appointed decisionmaker. Some papers state that education does not feature prominently in such groups, and advise stakeholders to be present in humanitarian networks to ensure that education is well covered in funding appeals and planning.

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<sup>9</sup> (DFID, 2016)

<sup>10</sup> (Kapucu, 2006) (Akl, et al., 2015) (Oh, Okada, & Comfort, 2014) (Eloul, et al., 2013) (Rose & Tyler, 2013)

## 5. Joint planning

The review found that humanitarian needs assessments play a key role in planning and financing humanitarian programmes, yet education needs are only marginally included in these. The literature review recommends joined planning with a more prominent focus on education in humanitarian and development plans.

Needs assessments are a requirement to determine financial strategies and gaps. The literature identified a number of challenges related to emergency needs assessments and the coverage of education. One analysis noted that, of 27 emergency needs assessment initiatives, none covered education in any depth<sup>11</sup>. Similarly, analysis of conflict assessments, conflict mitigation strategies, and early warning tools shows an absence or superficial coverage of education<sup>12</sup>. The research recommends education advisers take prominent place in joined planning.

Most countries will have a national education plan that has been the subject of consultation with a range of national and international actors. In many cases, these will align with sector-wide approaches (SWAPs), or with education sector plans. These are intended to improve donor coordination and develop a clear financial strategy for meeting identified financing gaps. In the humanitarian community, needs and financial requirements have increasingly been identified and captured in tools such as strategic response plans (SRPs). SRPs identify the scale of need, a series of activities, and the intended numbers of beneficiaries to benefit from educational or protection activities, as well as which organisations will engage in the education sector in a particular area<sup>13</sup>. Several documents in the literature review highlight the need for better data and evidence, and better use of these to inform planning.

## 6. Innovative funding sources and delivery mechanisms

A number of ODI-led publications, went a long way to addressing funding sources and mechanisms in research papers that led to the creation of the Education Cannot Wait Fund<sup>14</sup>. Nicolai and other authors make comparisons with successful funding in other humanitarian sub-sectors, and review the advantages and disadvantages of pooled funds, budget support, bonds, multi-donor trust funds, and cash transfers<sup>15</sup>.

The review found that financing education will be most challenging for fragile low-income countries; additional annual financing of \$7.9 billion will be needed in this context to cover total annual costs by 2020 and meet the SDGs<sup>16</sup>. Many papers look to other humanitarian sub-sectors (for example health) to identify successful examples of innovative financing mechanisms and make recommendations for leveraging funds. Most recommendations include some analysis of the advantages and disadvantages of each. This is covered most comprehensively in one of the research papers that led to the creation of the Education Cannot Wait Fund. This paper states<sup>17</sup>:

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<sup>11</sup> (Nicolai S., 2015)

<sup>12</sup> (Kirk & Winthrop, 2013)

<sup>13</sup> (Nicolai S., 2016a)

<sup>14</sup> (Nicolai S., 2015) (Nicolai S. , 2016a) (Nicolai S. , 2016b)

<sup>15</sup> (Colenso & Leader, 2005) (International Commission on Financing Global Education Opportunity, 2017) (Dom, 2009) (Rose & Greeley, 2017) (DFID, 2010c)

<sup>16</sup> (Steer & Smith, 2015)

<sup>17</sup> (Nicolai, Hine, & Wales, 2015)



“MDTFs can help bridge the gap between humanitarian and development financing and offer benefits in terms of pooling risk and funding even when government systems are not strong enough to be utilised”.

“Pooled fund mechanisms allow greater coordination across agencies and can encourage a more programmatic approach in crisis contexts, as well as long-term planning for transition periods”.

“Budget support mechanisms involve channelling funds directly to the government of the crisis-affected state in question, with varying degrees of ear-marking as to the sectors it can be allocated to. This mechanism has the strongest degree of country ownership over decision-making and can allow governments to continue operating, or rebuild, basic structures and services during the duration of the crisis. However, it is generally viewed as carrying considerable risks in fragile states where legitimacy, capacity and the strength of governance are all likely to be low”.

There is growing interest in the potential of cash transfers as an effective aid modality in emergencies. Some evidence shows that cash transfers provide choice and agency to those affected by emergencies and protracted crises. Relative to traditional aid, they shift decision making power from donors to beneficiaries, allowing the latter to choose what good or service best fits their needs. Evidence suggests cash transfers are an extremely effective aid instrument, and, when used well, are high value for money<sup>18</sup>. Cash transfers may also be effective in contexts in which the government is unable or unwilling to provide education services, and thus where traditional budget or sector support approaches may not be as effective. However, cash transfers will be effective in emergencies only when goods, services, and resources are available or can be quickly scaled up. In acute emergencies, there is often an immediate shortfall of available education resources (e.g. teachers, education materials, infrastructure) and this may not be easily resolved by cash infusion at a household level.

### 3 LIMITATIONS OF THE EVIDENCE REVIEWED

There is extremely little evidence on the economy, efficiency, or effectiveness of coordination between organisations financing, designing, and implementing education programmes in emergency settings. Most of the evidence focuses on financial flows, financing gaps, and financing modalities at the global/multilateral level. Very few address how to coordinate funds, design, and delivery at country level in a way that maximises value for money.

There is some literature on how to coordinate with education partners in emergencies. While few of these mention value for money, some assess the effectiveness of the coordination, usually in terms of the Paris Declaration on Aid Effectiveness, i.e. donor alignment, donor harmonisation, results, and mutual accountability. More – and better-designed – research is needed to assess the effectiveness of different coordination mechanisms and models between different organisations providing education services in disaster and conflict crises.

The available evidence generally comprises studies, reports and information sources that fall far short of the ‘gold standard’ of independent, peer-reviewed evaluations and papers. Limited availability of evidence means that some of the evidence cited here is over 10 years old. Also noteworthy is a lack of evidence on the effectiveness, economy, efficiency, or equity of coordination at a national level. Much of the evidence is quite

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<sup>18</sup> (Nicolai & Hine, Investment for education in emergencies. A review of evidence., 2015)

broad and makes some recommendations but does not provide evaluation of *what works* or practical strategies on *how to do it*.

## 4 CONCLUSION

Through a review of current evidence, this Evidence Brief has aimed to answer the following research question regarding education in emergencies:

*How can DFID coordinate with partners to finance, design and implement education programmes that maximise value for money?*

There is limited robust evidence that answers this question in its entirety. The evidence that does exist consists of documents that discuss coordinated financing, planning and/or implementation, and go some way towards evaluating effective models and making recommendations for improved practice. However, the broad recommendations and general guidance lack concrete strategies and evidence of what works in relation to value for money. The ODI research papers prepared by Nicolai et. al. in 2015 and 2016 provided the groundwork for design of the Education Cannot Wait fund. The Education Cannot Wait fund is one recent example of an effort at improved coordination of financing for education in emergencies. The effectiveness of this innovative global fund at country-level will need to be subject to rigorous research in the years ahead.

## 5 ANNEX 1- SUMMARIES OF DOCUMENTS RECEIVED

**Please note that the titles for the following summaries contain hyper-links to the full-length documents that can be found online. To access a hyper-link, press 'Ctrl' and click on the bolded title.**

### 5.1 THEME 1: EVIDENCE AROUND EFFECTIVE COORDINATION

#### **Business Case: Education Cannot Wait (ECW) (DFID, 2016)**

This 2016 Business Case sets out the strategic case for DFID to invest an initial £30 million in a new fund for education in emergencies. The Business Case builds upon previous ODI reports and describes the fundamental problems in how education in conflict affected and fragile states is currently planned, delivered, and financed. The case highlights that donors and countries often struggle to design sustainable financing and delivery plans to cover the lifespan of a crisis. Humanitarian financing instruments are designed for 'first response' support in high-risk settings: however, they are poorly designed to meet long-term education needs as they tend to be too short-term and are less engaged with national counterparts. Whilst development financing is designed for long-term, country embedded support, it is often too slow to respond to crises and does not kick in at all where institutions are weak or there are high levels of insecurity. Another critical issue is poor in-country coordination between partners. Whilst a range of formal coordination structures exist at country level between humanitarian or development partners, there is mixed success in bring both groups together on education. These structures tend to act solely as networks and lack decision-making mechanisms. Governments, who should play the role of decision makers, often lack the basic capacity to coordinate the high numbers of humanitarian and development organisations. Clearer incentives and systems for partners to work together are needed. These problems support the case that an ECW fund is the most effective coordination mechanism for EiE, based on an appraisal of three different delivery options against five Critical Success Criteria.

In this Business case, ODI estimated the unit cost for ECW at \$157 per child, in line with costs for bilateral programmes within fragile and conflict affected states. The evidence underpinning these cost estimates is fairly weak given the breadth of potential countries and costs. ECW will therefore need to develop a robust

monitoring of costs and cost effectiveness against results across countries to further refine the expected unit cost and cost drivers. On the benefits side, the developmental return on education in emergencies should be higher when provided through a global platform, primarily due to scale. A cost-benefit analysis in the DFID Business Case for ECW drew on average rate of returns associated with completion of primary and secondary education in Nigeria and Yemen. On the basis of these assumptions, DFID notes “the model yielded a benefit to cost ratio (BCR) of 5.5 which is substantial and a strong indication of value for money”.

**Education in emergencies and protracted crises: Toward a strengthened response.** (Nicolai S. , 2015)

This ODI report, written to inform the Oslo Summit on Education for Development (July 2015), advocates that increased political commitment and resourcing are needed to address education in emergencies and protracted crises. It describes the education response architecture, noting that “despite the large number of actors, there is limited reach and a persistent lack of capacity for implementation at country level”, and notes that complexity in the differing roles and objectives of different coordinating bodies has led to limited links between these actors. Moreover, it suggests that better-linking coordination structures would strengthen the response architecture. The report makes four key recommendations: 1) a ‘Champions Group’ of high level actors is formed to advance global action; 2) consolidated Principles for Education in Emergencies and Protracted Crises are established and implemented; 3) a common platform for Education in Emergencies and Protracted Crises is set up to address humanitarian and development architectural issues; and 4) urgent attention is given to addressing the finance gap for education in crises, starting with an assessment of options, followed by creation of a dedicated fund or new modalities.

**Rethinking coordination of services to refugees in Urban areas: Managing the crisis in Jordan and Lebanon** (Culbertson, Olikier, Baruch, & Blum, 2016)

This RAND report makes several contributions to the existing literature on coordination. First, it assesses the management model of a complex emergency response in urban areas in middle-income countries, whereas most existing literature about humanitarian responses focuses on camps in weak states. Secondly, it brings together views of a broad spectrum of stakeholders to provide a comprehensive, multidimensional analysis of management of the Syrian refugee crisis in Jordan and Lebanon. Thirdly, this report presents a new framework for planning, evaluating, and managing refugee crises in urban settings, both in the Syrian refugee crisis as well as other such situations going forward. Fourthly, it provides concrete recommendations for how to better support the needs of Syrian urban refugees in Jordan and Lebanon and for how to rethink refugee-assistance coordination around the world for improved effectiveness in the future. Recommendations include: i) improve donor coordination by creating a “contact group” for the Syrian refugee response; ii) embed a ten-year outlook in the planning process for the refugee responses; iii) create a funding plan with ten-year vision; and iv) evaluate current plans and develop new ones for each sector.

**Coordinating Education during Emergencies and Reconstruction: Challenges and Responsibilities** (Sommers, 2004)

This book predates the launch of the ECW fund, and explores why the coordination of humanitarian and post-conflict reconstruction activities is so difficult to accomplish in the education sector. It also suggests ways to overcome barriers to effective coordination. The book reviews the roles and responsibilities that key actors hold in the coordination of education during emergencies. It considers the associated barriers to coordination that arise from the differing roles and viewpoints of different actors (for example NGOs, UN, civil society, and local and national governments). Poor coordination is strongly linked to issues of power, mistrust, competition for resources, a limited understanding of accountability, insufficient time, and mismatched priorities. The book examines humanitarian coordination structures and the problem of the education sector remaining on the sidelines of such activity. It advocates for the establishment of education as a featured component of humanitarian work. The book demonstrates that responsibility for the coordination of the education sector is often shared amongst many parties. The book proposes, as a way forward, that there is need for better clarification of roles

and stronger leadership. Government education authorities are best placed as leaders and they can achieve this effectively through development of emergency educational priorities and plans. The book also suggests that since education is a long-term endeavour it is best coordinated as one; thus timescales should be expanded, and associated costs should be budgeted just like any other activity.

**Education sustainability in the relief-development transition: Challenges for international organisations working in countries affected by conflict** (Mendenhall, 2014)

In this article, Mendenhall examines the challenges that affect sustainability of educational support provided by international organisations during the relief-development transition in post-conflict countries. The qualitative study draws on structured interviews with practitioner-experts working in different types of international organisations. The article supports the growing consensus within the international community that education both plays a key role in humanitarian response and can provide long-term development in these contexts. The article analyses the opportunities, knowledge and skills provided by educational support during a crisis and asserts that these need to be recognised and leveraged in the transition to development. Some of the recommendations made in the article include: 1) engage in partnerships among and between relevant and diverse organisations and national and local stakeholders, including, in particular, partnerships that leverage the comparative advantages that each group contributes and prepares one or more actors for the transfer and assumption of responsibility for the longer-term; 2) secure long-term and predictable financial assistance that initially is generated through a combination of external assistance and a country's national and community resources with expenses ultimately being covered in the government's education budgets; and 3) integrate educational support provided into the system—i.e. the government level, community level, or both—by transferring responsibility of the programme to the appropriate stakeholders.

**Interagency Communication Networks During Emergencies. Boundary Spanners in Multiagency Coordination** (Kapucu, 2006)

This article examines effective interagency communication among organisations (including differing government departments, NGOs, and the private sector) in emergency contexts. It looks at the role of information technologies to achieve effective communication and decision-making goals in emergencies. It explores what factors contribute to effective inter-organisational communication and decision-making and what factors inhibit their development. The article draws on the literature of emergency communication and social capital, and uses the September 11th emergency response operations as a case study to understand these issues. The article highlights the importance of developing a strong communication system within and across different organisations before a disaster occurs. Planning in advance is crucial to enable effective interagency coordination during an emergency. The article recommends that inter-organisational relationships, including trust building, need to be fostered in advance and this can be achieved through inter-organisational networks. Individual, public, non-profit, and business sector leaders should provide incentives and information in advance to promote inter-organisational networks: for example, this could be an internet system connecting different institutions. The article asserts that established inter-organisational networks coordinate and communicate together more effectively in emergencies.

**International Support to Post-Conflict Transition: Rethinking Policy, Changing Practice** (OECD, 2012)

This study from OECD, part of the DAC Guidelines and Reference Series, looks at international responses to post conflict fragile states in transition and outlines four critical obstacles that block the more effective use of aid in transition contexts. These include (i) fragmented aid architecture and overlapping guiding principles. This means that humanitarian assistance is stretched to the brink and relied upon to fund a broader set of transition priorities far beyond its mandate and expertise. (ii) Donor approaches focus on risk avoidance rather than context-specific risk management. Accountability and reporting requirements that are used during transition have often been designed for more stable environments. (iii) Development plans and strategies are grounded

in the recognition of the massive needs that are present during transition, but often fail to prioritise and sequence activities. Finally, (iv) donors struggle to understand how different aid instruments can be used in parallel to support rapid and sustainable delivery. This guidance sets out recommendations to improve transition support in four key areas: i) find better ways of dealing with risk by clarifying the relationship between different guiding principles and improving approaches to risk taking and risk management; (ii) help governments in transition to prioritise their development plans; (iii) a mix of aid instruments can improve financing for agreed priorities based on harmonisation, institutional transformation, speed and flexibility, and scope for risk management; and (iv) improve collective engagement using transition compacts.

### **The development agency of the future - Fit for protracted crises? (Bennett, 2015)**

This paper highlights the improvements donors have made to address long-term responses to protracted and recurrent crises and states the changes they must continue to address. Donors are beginning to address the unhelpful divides within their own institutions by developing cross-governmental structures, strategies, and funding instruments that seek to integrate humanitarian and development responses and bridge aid, security, and peacebuilding. Donors have also developed different strategies for building greater flexibility into their funding schemes and filling what they perceive are the gaps in funding for transition activities. However, such efforts have been more about technical solutions than fundamental change. Recommendations from the paper include:

1. Agencies need to be transparent about the interrelation between politics, security, economics, and development when making decisions about humanitarian priorities and funds, preserve humanitarian space when it is needed, and bring the full skills, capacities, and weight of governments to bear on protracted crises when coherence is called for.
2. Agencies must bridge architectural divides within donor institutions and partners by aligning strategies, processes, and tools. They must promote strategic and operational coherence across humanitarian and development departments and align performance and career incentives with coherent programme objectives.
3. Agencies should shift from a centralised to a decentralised model of decision-making and action that enables more local responses to crises.
4. Develop and promote a combination of proactive and reactive funding and financing tools.
5. Recognise that finding solutions to protracted crises is fundamentally a political issue that requires the full extent of political will, courage, capacity, and resources of donor governments.

### **Effectiveness of Mechanisms and Models of Coordination between Organisations, Agencies and Bodies Providing or Financing Health Services in Humanitarian Crises: A Systematic Review (Akl, et al., 2015)**

This systematic review of the effectiveness of coordination between partners in disaster and humanitarian crises in the health sector found only four eligible studies, and those were deemed to be of very low quality. The objective of this review was to assess how, during and after humanitarian crises, different mechanisms and models of coordination between organisations, agencies, and bodies providing or financing health services compare in terms of access to health services and health outcomes. The evidence suggested that information coordination between bodies providing health services in humanitarian crises may be effective in improving health systems inputs, and that management/directive coordination (such as the cluster model) may improve health system inputs in addition to access to health services. The overarching argument was that information coordination and management coordination has shown to have positive impact in the health sector.

### **Building Collaborative Emergency Management Systems in Northeast Asia: A Comparative Analysis of the Roles of International Agencies (Oh, Okada, & Comfort, 2014)**

This study (cited in Akl et al. 2015) was conducted in Japan following the 2011 earthquake and tsunami, focusing on the brokerage role of international agencies to facilitate collaboration and coordination among the large number of agencies that participate and interact in a response network. It noted that without systems for collaboration, response systems in disaster operations are easily fragmented and often compound loss of life and property for the affected citizens. Furthermore, building collaborative systems for disaster management can pose challenges due to historical conflicts and rivalries. The study used a brokerage role framework to analyse the network of response organisations that emerged following the disasters, and explored whether agencies used structural embeddedness to enhance collaboration in the response system. Findings showed that 'brokers' facilitating international collaboration were rare, indicating the importance of existing social capital and organisational capacities to function as brokers in international emergency management systems. Furthermore, when an international organisation takes a central position in the network and serves as leading agency, it can enhance the competencies of the overall emergency response system by serving as channelling agencies for critical resources and information.

### **Inter-agency coordination of mental health and psychosocial support for refugees and people displaced in Syria (Eloul, et al., 2013)**

In this article, Eloul and others provide an in-depth description of inter-agency coordination of mental health and psychosocial support (MHPSS) for refugees and people displaced in Syria, and reflect on the challenges and lessons learnt. They highlighted the incompatibility of an online coordination forum in a predominantly oral culture where electronic services are regularly disrupted, and, despite these difficulties, the need for sharing regularly updated information about staffing and activities. They found that MHPSS had not been sufficiently mainstreamed across sectors when the crisis began, and lacked multidisciplinary coordination. A lack of joint needs assessments, common assessment and planning tools, as well as field coordination had hampered response efforts. As a result, the MHPSS working group decided to re-emphasise coordination and capacity building. The authors concluded that inter-agency coordination is crucial for accountability, transparency, avoiding duplication, information sharing, and efficient use of limited resources. Availability and continuity of working group coordinators with sufficient technical competence is important for effective and sustainable coordination. Creating ownership for inter-agency guidance and contextualised standards is vital, for example through participatory planning and capacity building.

## **5.2 THEME 2: FINANCING MODELS**

Two papers by research teams at ODI laid the groundwork for and recommended the establishment of a pooled fund for education in emergencies, which led to the creation of the Education Cannot Wait Fund for Education in Emergencies in 2016/17 with UNICEF as the 'incubator' host. The first of these, by Nicolai et al. (2015), details the challenges, existing response architecture, finance gaps, and possible solutions for strengthening the global response to education in emergencies and protracted crises. The second makes the evidence case for a common platform for education in emergencies and protracted crises.

### **Education Cannot Wait: proposing a fund for education in emergencies (Nicolai S. , 2016b)**

This ODI report, commissioned by the Technical Strategy Group on education in emergencies and protracted crises<sup>19</sup>, outlines the potential operation of Education Cannot Wait (ECW), a fund for education in emergencies.

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<sup>19</sup> The Technical Strategy Group consists of 19 governments, organisations and networks, with the Governments of Canada and the UK serving as co-chairs, Save the Children serving as secretariat and the following members: the Governments of Lebanon, Norway, South Sudan and the US, the Office of the UN Special Envoy for Education, the UN Children's Fund (UNICEF), the UN Educational, Scientific and Cultural



It presents five strategies for ECW: to increase high level attention, raise significant additional money, unite humanitarian and development efforts, strengthen individual and institutional capacity of those leading education efforts in crises and develop and share knowledge. Correspondingly, it explains how the platform's function will be to inspire political commitment, joint planning and response, generate and disburse funding, strengthen capacity, and improve accountability. To operationalise the fund, the authors recommend two disbursement mechanisms: a Breakthrough Fund for rapid response and multiyear support windows (95% of funding), and an Acceleration Facility (5% of funding) to invest in existing actors to expand and extend collective work and global public goods to deliver high-quality education services in crises. A roadmap provides indicative headline results and estimates the platform will reach 75 million out-of-school children by Year 15.

### **A common platform for education in emergencies and protracted crises: Evidence paper.** (Nicolai S. , 2016a)

This ODI evidence paper was commissioned by the Technical Strategy Group on education in emergencies and protracted crises, established following the Oslo Summit on Education for Development (July 2015). The report presents the evidence for a common platform for education in emergencies in terms of: 1) architectural issues (humanitarian, development, government); 2) capacity-strengthening (workforce, information, preparedness); 3) financing landscape (potential sources, delivery mechanisms, lessons learnt); and 4) institutional arrangements (hosting and governance). Two country case studies from Lebanon and South Sudan explore how a new platform might be operationalised in these two contexts. It also reviews the lessons learnt from a financing perspective in four different country-level education funds: the Liberian EPF, Lebanon's RACE, Zimbabwe's ETF, and the MDTF in South Sudan (in Annex 3).

The paper describes some of the advantages and disadvantages of various funding mechanisms that are relevant to highlight here:

- "Pooled fund mechanisms allow greater coordination across agencies and can encourage a more programmatic approach in crisis contexts, as well as long-term planning for transition periods."
- "Budget support mechanisms involve channelling funds directly to the government of the crisis-affected state in question, with varying degrees of ear-marking as to the sectors it can be allocated to. This mechanism has the strongest degree of country ownership over decision-making and can allow governments to continue operating, or rebuild, basic structures and services during the duration of the crisis. However, it is generally viewed as carrying considerable risks in fragile states where legitimacy, capacity and the strength of governance are all likely to be low. In recent years budget support has mainly been implemented via pooled funds, as part of a wider strategy, (e.g. Afghanistan and Timor Leste) or directly to new governments in post-conflict countries (e.g. Rwanda and Sierra Leone). There is little data on how this mechanism is used in the immediate response to the emergence of crisis contexts, but it may play a more important long-term and transition role as noted in literature particularly on post-conflict settings (see OECD, 2012)."
- "The health sector can offer some successful examples of innovative financing mechanisms that could be developed in the education in emergencies sector. Promising potential elements include disaster risk insurance, bond issuance linked to education outcomes and RBA. Recently published research suggests MGFs such as Gavi and the Global Fund are some of the most effective donors in terms of their helpfulness in reform, agenda-setting influence and usefulness of advice as ranked by receiving countries (Custer et al., 2015)." Cited in Nicolai et al 2016.

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Organisation (UNESCO), the UN High Commissioner for Refugees (UNHCR), the UN Office for the Coordination of Humanitarian Affairs (OCHA), Dubai Cares, the European Commission (EC), the Global Business Coalition for Education, the Global Compact on Learning Donor Network, the Global Partnership for Education (GPE), the Inter-Agency Network for Education in Emergencies (INEE) and the World Bank.

- “Multi Donor Trust Funds (MDTF) are often set up in post-crisis situations where government capacity is uncertain (Thomson and Karachiwalla, 2009, cited in Nicolai 2015). For donors who want to provide funding to post-crisis situations where government capacity is lacking, they often look to MDTFs for the confidence that they are well managed (Thomson and Karachiwalla, 2009). The reliable and stable rhythm of MDTF funding is also attractive for donors who wish to see regular investments made in an effective manner. There are also some examples of funds attracting funds from non-traditional donors. The trust from donors that MDTFs gain by being managed by the UN and World Bank can also become a challenge as the start-up expenses and administrative costs can be high. By often distributing directly to governments, MDTFs can exhibit less inclusion of non-governmental voices as part of the disbursement prioritisation process and may end up with less flexibility in the use of funds (Thomson and Karachiwalla, 2009). MDTFs would be a useful financing mechanism for education in crises contexts given their ability to build longer-term, stable and reliable funding streams that would be needed to rebuild education infrastructure. It is notable, however, that a 2012 systematic review of MDTFs found they were most effective in transferring ownership of development programmes only when the partner government was firmly established (but needing extra capacity). They reference the difficulty of transferring ownership where there is no government or government authorities are weak, which is often the case in protracted crises (Barakat et al., 2012 cited in Nicolai et al 2015). So, while MDTFs could potentially play a role in education financing in places of natural disaster with under-resourced but strong governments, the current evidence should be taken into account when considering their role in protracted crises.”

#### **Financing education: Opportunities for global action (Steer & Smith, 2015)**

This report reviews the financing efforts for the education sector in developing countries during the past decade and assesses what will be required in the coming years to reach the basic education goals by 2030. The report draws on a variety of data sources as well as five country case studies. The report takes a broad focus across both low- and middle-income countries, but specific reference is made to fragile states. The report finds that financing the SDGs will be most challenging for fragile LDCs; additional annual financing of \$7.9 billion will be needed in this context to cover total annual costs by 2020, equivalent to 36 percent of total cost. Recent growth in aid to fragile states should thus be welcomed. The report provides analysis of factors that could alleviate some of the shortfalls to financing education including leveraging domestic resource mobilisation, making more effective use of limited resources through improved donor coordination, innovative mechanisms aimed at leveraging new sources of funds and creating stronger links between financing and results, new financing mechanisms to open up opportunities for collaboration across both non-state and state actors, for example, impact bonds. The report produces four action points:

1. Establish a Global Commission on Education and Financing—making a compelling case for investment in education using evidence and high-level leadership
2. Create a global platform for coordination and scale up of external support
3. Commit to a data revolution in education linking financing and learning
4. Seize opportunities to mobilise and manage domestic finances for education

#### **Aid Instruments in Fragile States: PRDE Working Paper 5. (Colenso & Leader, 2005)**

This Working Paper is one of a series prepared by the Poverty Reduction in Difficult Environments (PRDE) team in DFID. It aims to understand how aid can be increased and improved in fragile environments, and in particular which aid instruments offer promise for meeting immediate needs, supporting pro-poor political reform, and developing sustainable systems for delivering services and social protection. Evidence is compiled from literature, fragile states case studies, OECD and DFID statistics, and interviews with staff from DFID, other development agencies, think tanks and academics. The paper reviews promising aid instruments in fragile

states including budget support, social funds, pooled funding, projects, and humanitarian aid. Whilst asserting that there is no 'one size fits all' approach the paper provides general uses of different aid instruments in different contexts; in particular looking at the different levels of state commitment and capacity. The paper recommends approaches including experimentation, standardised strategic frameworks – to prioritise and plan donor interventions, 'shadow alignment' – working with parallel but state-compatible planning and budgeting systems and long-term programmatic planning from the outset instead of scaling up.

#### **INEE Reference Guide on External Education Financing. (INEE, 2010)**

The purpose of this guide is to enable national decision makers in low-income countries, including those in fragile situations, to better understand the ways in which donors provide education assistance, how various funding mechanisms work and why donors choose one funding mechanism over another to support education. The Reference Guide is written from a donor point of view and sets out to explain existing funding mechanisms. It is intended to help national education policy-makers understand the design, goals, and constraints of existing types of donor assistance, thereby helping them better navigate country-donor relationships. The first part of the Reference Guide helps readers understand how donors view funding needs in the education sector and the funding mechanisms that they use in different situations. Part II defines the different organisations that fund education (donors) and deliver education services (service providers, such as international and local NGOs). It also provides an overview about how donors work together, both internationally and at the country level. Part III summarises the major characteristics of each principal type of funding mechanism for education.

#### **Overview of Education Financing Mechanisms (International Commission on Financing Global Education Opportunity, 2017)**

This paper outlines what collective actions on financing are needed to get all children in school and learning by 2030. The overview is designed to assist stakeholders in dialogues with donors, policy-makers, and any other supporters, and clarifies the shape of the overall aid architecture for education. By setting out the challenges facing the education sector, it presents clear pathways for donors to contribute and collectively mobilise the necessary financing to achieve SDG4. It centres overall success around five key actions: i) increase domestic budgets for education by expanding their tax base to reach to 5.8% of GDP; ii) Increase ODA and commit 15% of aid to education, targeting countries most in need; iii) fully fund the Global Partnership for Education by providing \$2 billion per year by 2020; iv) fully fund Education Cannot Wait by providing \$3.85 billion by 2021; and v) establish an International Financing Facility to unlock more than \$10 billion per year by 2020.

#### **Education For All Fast Track Initiative mid-term evaluation (Dom, 2009)**

This paper assesses the degree to which the EFA Fast Track Initiative (FTI) helped to improve aid effectiveness within the education sector. It draws lessons learned from the FTI's strengths and weaknesses and makes a series of recommendations to further improve future partnership programming and effectiveness. The paper outlines the history of the FTI partnership's engagement with Fragile States and briefly discusses the extent to which the fragile states agenda has been mainstreamed into other FTI work streams. It also relates this to broader aid management issues when partnerships are fragile, and highlights how this issue can best be addressed through country studies. In the final part, there is a review of individual countries' trajectories in relation to the FTI, including those considered as 'fragile states', and some reflection on the issue of fragile partnerships in contrast with fragile states.

#### **Learning to deliver education in fragile states (Rose & Greeley, 2017)**

The Fragile States Group within the Development Assistance Committee of OECD is working to advise donors on provision of education services in fragile states. Main recommendations include: i) endeavour to pool donor

funds and ensure timely, predictable, and effective cash flows; ii) merge the agendas of the INEE and FTI to build on each of their strengths, and not maintain the current distinct tracks of emergency short-term response versus attention to long-term aid; iii) forge national consensus around curriculum reform; iv) avoid the dangers of over-focusing on technical assistance while ignoring political realities; v) make criteria for allocating funds to fragile states more transparent and less subject to strategic considerations; and vi) ensure that mechanisms of accountability developed during the period of fragility are not ignored when government is strengthened.

#### **Strategies for financing of education: A global view.** (Burnett, 2010)

This non-peer-reviewed essay for the International Working Group on Education reviews the recent trends, resulting issues and needs of international financing for education. It notes that the long decline in UNESCO's real budget for education over the last 30 years has led to an inefficient coordination of research and knowledge management about education, with other agencies such as the World Bank, UNICEF, and DFID only partially succeeding in filling the gap. In addition, while many foundations finance the education of individuals, very few support the development of evidence on education systems, in striking contrast to the situation in health where there is enormous support for evidence-building by the Gates Foundation.

#### **Delivering quality education in protracted crises: A discussion paper.** (DFID, 2015)

Based on a review of evidence and experience, this paper suggests that the international community needs a new approach to support the education of children living in "protracted crises". This paper argues that business as usual is unlikely to meet the education needs of populations affected by crisis. While current approaches have undoubtedly played an important role in maintaining a lifeline to learning, the evidence indicates that they are not sufficient to meet the needs of these vulnerable children. The paper reviews what is known about where to invest in, and explores how the organisation and financing of education for children living in these most difficult situations could be reconfigured. The paper concludes by suggesting principles to guide the international community in the design and delivery of education initiatives in protracted crises. Key recommendations include:

1. Review whether the global education architecture and finance are fit for purpose. This could include encouraging dialogue and consideration of the global architecture, and whether an alternative global fund is part of the answer;
2. Agencies should also consider reviewing their own operational delivery. Agencies may also want to consider whether they can get better at sharing best practise on delivery across their programming both internally and externally;
3. Look for opportunities to scale up investment in evidence and innovation;
4. Integrate approaches to basic services and child protection, especially for girls, in programming.

### **5.3 THEME 3: PARTNERSHIPS, INCLUDING WORKING WITH GOVERNMENTS**

#### **Economic Considerations in Designing Emergency Management Institutions and Policies for Transboundary Disasters.** (Rose & Tyler, 2013)

This article suggests an economic framework for designing emergency management institutions and policies to address transboundary disasters. The article defines transboundary disasters in terms of cross-political, cross-functional (with respect to systems), and time scales, and focuses primarily on the political dimension. The article begins by identifying the several categories of economic consequences from disasters and describes major ways to reduce these consequences. It emphasises cooperative solutions among countries. The article includes a discussion of how desirable policy and institutional design are affected by economies of scale, externalities, and public goods. The article concludes that transboundary problems are best addressed by

transboundary solutions at different scales. Also, cooperative efforts typically increase centralisation, which may have some downsides in terms of the speed of response. In addition, ways need to be found to harness the decentralised nature of resilience of the general citizenry through individual motivation to contribute to recovery. This is a valuable, but often overlooked, complement to government efforts.

### **Raising the standard: the Multilateral Development Review (DFID, 2016)**

The Multilateral Development Review, conducted in 2016, systematically assesses the performance of 38 multilateral institutions that the UK funds through DFID. DFID rigorously assessed results and value for money, risk and assurance, transparency, and accountability. The Review demonstrates that close working relationships have produced improvements in delivery in some agencies, for example the Food and Agriculture Organisation and International Organisation for Migration. However, this is not the case for all organisations. The Review found that 'the multilateral system as a whole is falling short of its considerable potential because agencies, and the wider UN family, are not working together'. The Review asserts that closer working relationships, with less competition and duplication between organisations, and more collaboration and coordination will improve performance. As part of the Review DFID re-asserts its commitment to the multilateral system and to strengthening it for example by setting out more requirements for multilateral agencies, including new openness about management and administration budgets and by working with others to convene and lead a global coalition to support and reform the multilateral system. It is the intention that through radical action DFID and partners will ensure a multilateral system that is 'even faster, more effective and more efficient'.

### **Working Effectively in Conflict-affected and Fragile Situations (DFID, 2010a)**

In this Briefing Paper E, focused on Aligning with Local Priorities, alignment is the use of a partner country's policies, strategies, and priorities to guide donor action – including programming choices and administrative, budgetary, and other systems for aid management and delivery. The main lessons shared in this brief are to:

- Analyse context, undertake systems diagnostics – Decisions about the type and degree of alignment should be based on analysis of the local context, the risks and potential benefits, and an assessment of country policies and systems.
- Don't assume local priorities are obvious – The failure of many projects has often been down to ineffective participation of the community or a lack of needs analysis when designing projects.
- Recognise trade-offs – Decisions on how far to align with a partner government often reflect a trade-off between supporting state-building by aligning fully, and ensuring aid reaches those in need as quickly as possible by bypassing state systems.
- Align fully where possible – In situations of strong government leadership, sound pro-poor policy and reforming and improving administration, and alignment to government policies and systems is possible and preferable.
- Budget support is high risk, but potentially high return – PRBS must be embedded in robust capacity –building approaches to deliver returns.
- Support and incentivise system reform – If the quality of government systems prevents full alignment, plan for progressive alignment over time.
- Shadow alignment is possible – However, it can be politically sensitive. Working with diplomatic colleagues in a 'whole of government' manner is essential.

- Remain aware of changing context and be flexible in your response.

### **Working Effectively in Conflict-affected and Fragile Situations - Briefing Paper G: Act Fast ... but Stay Engaged.** (DFID, 2010c)

Engaging in conflict-affected countries may entail many different types of relationships, from full partnership to much more cautious forms of engagement, requiring adaptation of standard instruments and approaches. When planning assistance to exploit new openings created by peace agreements or political transitions, DFID will normally provide support for a combination of humanitarian assistance and early recovery activities. Both should be delivered in such a way as to lay the groundwork for longer term approaches to development. This paper reviews some of the considerations involved in balancing these different objectives. The paper then talks about engaging at the humanitarian, development interface, then acting fast and staying engaged. The brief key lessons shared under these three phases include humanitarian assistance, early recovery, and planning, which should be implemented in such a way as to support each other. Humanitarian assistance can help establish sustainable livelihoods. Early recovery can create the preconditions for state-building and long-term development. However, each may require different instruments and approaches. Humanitarian assistance and early recovery require rapid-disbursement instruments with light and flexible procedures. Longer term development initiatives require partnerships with national authorities that can take longer to establish. For acting fast, the paper shares a host of rapid financing of post-conflict and post-crisis interventions. The optimal selection of instruments and approaches must be based on such factors as the nature of the relationship with national authorities, the level of national capacity, and an appropriate form of donor coordination. Finally, during the continued engagement phase, DFID can make effective use of Development Partnership Arrangements (DPAs) to signal a long-term commitment to its partners, even in fragile and conflict affected situations, but these must be reviewed regularly to be a useful platform for dialogue.

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