



Bringing hearts and minds
together for children



GUIDELINES ON SUSTAINABILITY IN SAFE SCHOOLS PROJECT LIFECYCLES



SUSTAINABILITY:

A MATTER OF RESPONSIBILITY

“We have a responsibility to our program recipients; they’ve had so many losses in their lives and for us to come in for a year or two or three and give them hope, only to have the program go away, we’ve just caused another loss and a further loss of hope in their lives ” (Akerlund, 2000)

TABLE OF CONTENTS

ACRONYMS/ABBREVIATIONS	4
ACKNOWLEDGEMENTS	5
01 INTRODUCTION	6
1.1 The Safe Schools Programme	7
1.2 Rationale and purpose of the Guidelines	8
02 DEFINITION OF “SUSTAINABILITY” AND THE FIVE SUSTAINABILITY FACTORS	9
2.1 Definition of sustainability	10
2.2 The five sustainability factors	10
03 MAINSTREAMING SUSTAINABILITY IN THE SAFE SCHOOLS PROJECT LIFECYCLE	13
3.1 Project identification	15
3.2 Project design	27
3.3 Project implementation	44
3.4 Project monitoring and evaluation (M&E)	54
3.5 Learning transition and exit	65
04 ADDITIONAL CASE STUDIES ON SUSTAINABILITY OF SAFE SCHOOLS INTERVENTIONS	70
4.1. Case studies on economic and financial sustainability	71
4.2 Case studies on commitment and ownership	72
4.3 Case studies on institutional capacity and community empowerment	72
4.4 Case studies on supportive institutional environment	73
4.5 Evaluating sustainability	75
ANNEX	77
ANNEX 1: LIST OF REFERENCES USED IN THESE GUIDELINES	78
ANNEX 2: CHECKLIST FOR OPTIMAL INTEGRATION OF SUSTAINABILITY FACTORS INTO THE PROJECT CYCLE OF SAFE SCHOOLS INTERVENTIONS	80

ACRONYMS/ ABBREVIATIONS

AADMER	ASEAN Agreement on Disaster Management and Emergency Response	HFA	Hyogo Framework for Action on DRR
ADB	Asian Development Bank	IEC	Information-Education-Communication
ADPC	Asian Disaster Preparedness Centre	IFRC	International Federation of the Red Cross
APCSS	Asia Pacific Coalition for School Safety	ISDR	International Strategy for Disaster Reduction
ASEAN	Association of Southeast Asian Nations	JANI	Joint Advocacy Network Initiative
ASSI	ASEAN Safe Schools Initiative	JICA	Japan International Cooperation Agency
CBDRM	Community Based Disaster Risk Management	KAP	Knowledge, Attitudes, and Practice
CBDRR/M	Community Based Disaster Risk Reduction/Management	LFA	Logical Framework Approach
CC	Climate Change	MARD	Ministry of Agriculture and Rural Development
CCA	Climate Change Adaptation	MEL	Monitoring, Evaluation and Learning
CCCD	Child-centred Community Development	MoE	Ministry of Education
CCDRR	Child-centred Disaster Risk Reduction	MoET	Ministry of Education and Training
CCWG	Climate Change Working Group	MoU	Memorandum of Understanding
CECI	Centre for International Studies and Cooperation	MPA	Minimum Package of Activities
CO	Country Office	MTRs	Midterm Reviews
CRM	Climate Risk Management	M&E	Monitoring and Evaluation
CSOs	Civil Society Organizations	NRRC	Nepal Risk Reduction Consortium
CSSF	Comprehensive School Safety Framework	NS	National Societies of the Red Cross
CWDs	Children With Disabilities	NuPITA	New Partners Initiative Technical Assistance
DAC	Development Assistance Committee	OECD	Organisation for Economic Cooperation and Development
DDC	District Development Committee	PCC	Project Coordination Committee
DEO	District Education Officer	PPP	Public Private Partnership
DOET	Department of Education and Training	PTA	Parent Teacher Association
DWF	INGO Development Workshop France	RC	Red Cross
DMWG	Disaster Risk Management Working Group	SIDA	Swedish International Development Agency
DRC	Disaster Risk Communication	SDMC	School Disaster Management Committee
DRM	Disaster Risk Management	SDMP	School Disaster Management Plan
DRR	Disaster Risk Reduction	SEKNAS	National Secretariat for School Safety - Indonesia
EBEIS	Enhanced Basic Education Information System	SMC	School Management Committee
ESD	Education for Sustainable Development	SSDRMP	Safe Schools Disaster Risk Management Plan
EiE	Education in Emergencies	SSF	Safe Schools Framework (Plan)
EMIS	Education Management Information System	SWOT	Strengths, Weaknesses, Opportunities and Threats
GADRRES	Global Alliance for DRR and Resilience in Education Sector	TORs	Terms of Reference
GCSSF	Global Comprehensive School Safety Framework	TOT	Training Of Trainers
GPSA	Global Partnership for Social Accountability	VCA	Vulnerability Capacity Assessment
		WASH	Water, Sanitation and Hygiene
		YABC	Youth Agents of Behaviour Change

ACKNOWLEDGEMENTS

We would like to acknowledge the contribution of the reference group committee members, who have steered and guided the development of these guidelines from March to May, 2015. They are: Ms Peuvchenda Bun, Safe Schools Program Coordinator, Plan International Asia Regional Office; Ms Alison Wright, Climate Change Policy Officer, Plan International UK; and Mr Matthew Riley, Regional Head of Monitoring, Evaluation, and Research, Plan International Asia Regional Office. The first draft of the guidelines was prepared by Mr Eric Debert, consultant for Plan International. It was subsequently reviewed and discussed with the members of the reference group and the Safe Schools focal points of six selected countries.

The Guide draws heavily on the field experience of Plan International in supporting the design and implementation of Safe Schools interventions in 13 Asian countries in Southeast and South Asia, but with a more particular focus Indonesia, Cambodia, Myanmar, Nepal, Bangladesh and Pakistan.

We are grateful to the many people who have contributed directly or indirectly to its preparation and more particularly to the Safe Schools focal points from the six selected Plan International country offices, who committed their time to sharing with us very useful information about their field experiences in integrating sustainability aspects in their Safe Schools project lifecycles.

In addition, we are grateful to the representative members of the Asia Pacific Coalition for School Safety (UNESCO, Save the Children and IFRC), who provided us with important information related to best practices and lessons learned in sustaining benefits from Safe Schools initiatives in Asia from their respective organisations.

The production of the Guide was made possible through financial contributions from the Japanese people. For any lapse or error in this report, the responsibility rests solely with the consultant.

Eric Debert, June 2015
Email: ericdebert@yahoo.com

Cover photo: © Plan Indonesia

Published by Plan International Limited.

Author: Mr Eric Debert, consultant

Contributors from Plan International: Ms Peuvchenda Bun, Safe Schools Program Coordinator, Plan International Asia Regional Office; Ms Alison Wright, Climate Change Policy Officer, Plan International UK; and Mr Matthew Riley, Regional Head of Monitoring, Evaluation, and Research, Plan International Asia Regional Office.

Design: Work in Bangkok Co., Ltd.

This publication is also available online at plan-international.org/publications

First published: July 2015. **Text and photos:** © Plan International All rights reserved.

No part of this publication may be reproduced, stored in a retrieval system or transmitted, in any form or by any means, electronic, mechanical, photocopying or otherwise, without the prior permission of Plan Ltd. Please email info@plan-international.org for more information. All rights reserved. Please email Plan at info@plan-international.org for permission to reproduce, store or transmit any part of this publication. British Library Cataloguing in Public Data.

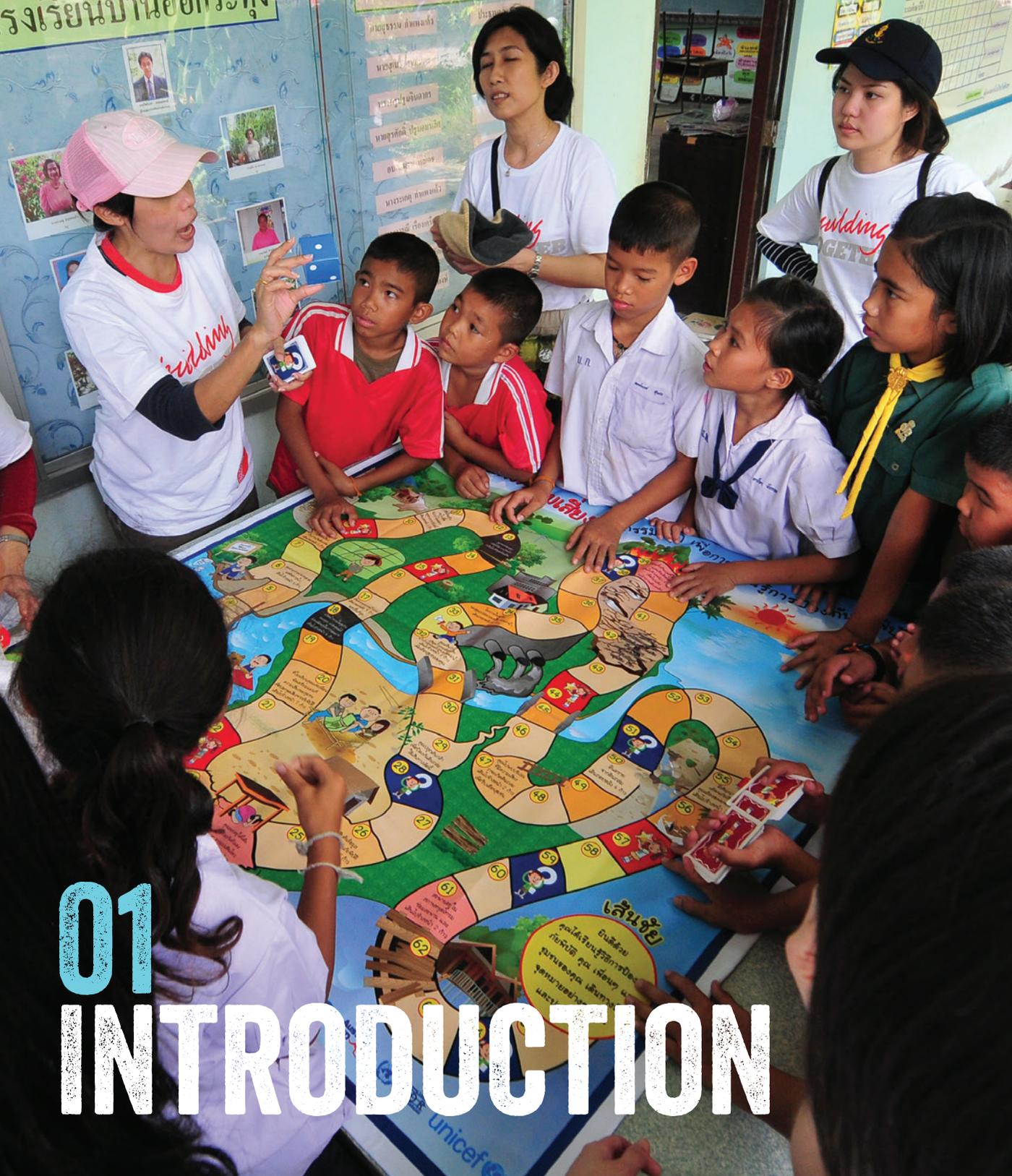
Editor: Richard Pierce, 3rdrichard@gmail.com

ทำเนียบบุคลากร

โรงเรียนบ้านอ้อกระตุง

คณะกรรมการสถานศึกษาขั้นพื้นฐาน

โรงเรียนบ้านอ้อกระตุง



01

INTRODUCTION

1.1 THE SAFE SCHOOLS PROGRAMME

Plan International is committed to ensuring that children and youth grow up safely, in resilient communities. A key aspect of Plan's work toward this goal is Safe Schools programming. Plan's Safe Schools Programme ("Safe Schools") focuses on the safety, accessibility, sustainability and relevance of a country's education sector in the context of disasters and climate change, while building a culture of safety and contributing to the resilience of children and their communities. Plan's approach to Safe Schools is aligned with the three pillars of the Global Comprehensive School Safety Framework (GCSSF), which are:

- 1. Safe School Facilities**, which involves education authorities, architects, engineers, builders and school community members in safe site selection, design, construction and maintenance. This includes safe and continuous access to school facilities and safe access routes to and from schools.
- 2. School Disaster Management**, which is established via national and sub-national education authorities, community leaders and local school committees (including girls and boys and their parents), working in collaboration with their disaster management counterparts. School disaster management aims to maintain safe learning environments and to plan for educational continuity, conforming to national legislation and international standards. School disaster management should respond to and/or inspire public education policies committed to safety in schools.
- 3. Risk Reduction Education**, through the integration of disaster risk reduction and climate change adaptation into curricula and teacher training mechanisms in order to develop a culture of safety and resilient communities.

The overall goal of Plan International's Asia Region Safe Schools Programme is: "Children in the most-at-risk communities, in the target countries, have access to safer education through duty bearers, minimizing the impact of disasters on their right to quality education".

Safe Schools works with both duty bearers, including teachers, school staff, school directors, school management committees, national and sub-national education and disaster management authorities and rights holders, including students, children, parents and local communities. Where they are present, Plan International works together with civil society organisations (CSOs) to build their capacity to play an active role in advocating for, and developing, disaster resilient schools and communities. The programmes also try to engage the private sector at different levels.



1.2 RATIONALE AND PURPOSE OF THE **GUIDELINES**

Plan has successfully implemented Safe Schools projects in many countries, focusing on sustainable interventions, such as:

1. promoting a culture of school safety in the project target countries and regionally by advocating for policies, regulations and guidelines on structural safety at all decision making levels;
2. embedding the active participation of children in the local and national process of establishing safe schools in the target countries; and
3. strengthening the role of CSOs in developing and monitoring disaster risk reduction and preparedness measures in schools through capacity building and networking both 'in country' and regionally.

However, Plan's experience has been that the level of sustainability of Safe Schools interventions also differs from one country to another based on the country context

and experiences of the implementers. Some Safe Schools interventions will thus remain beyond the lifespan of the project while others will not.

This manual is a concise guide to considering and incorporating sustainability at each stage of the project cycle of a Safe Schools project. It informs project managers of the issues to address and suggests some means and tools for including sustainability in the standard activities of each stage of the life of a project. The manual assumes that its audience of project managers is familiar with the basic tools of project management, and therefore it focuses only on the additional elements related to sustainability. The guidelines suggests some practical means that Safe Schools interventions can put in place to increase the chances that their main outcomes will continue after project end. Finally, the guide also includes a practical checklist for optimal integration of sustainability factors into the project cycle.



02

**DEFINITION OF
“SUSTAINABILITY”
AND THE FIVE
SUSTAINABILITY
FACTORS**

2.1 DEFINITION OF SUSTAINABILITY

Historically, project effectiveness has been measured mainly in terms of benefits at the end of the project funding cycle, with observable benchmarks along the way to achieving these benefits. Research has shown that this definition of 'end' is too short sighted. Projects frequently stop delivering the desired benefits as soon as the funding runs out because benchmarks were defined only in terms of effectiveness, neglecting institutional aspects concerning the capacity to sustain the delivery of benefits after donor funding ends. These guidelines consider the following definition of sustainability as laid out in the Organisation for Economic Cooperation and Development/ Development Assistance Committee (OECD/DAC) criteria and principles for Evaluation of Development Assistance: "Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding (or non-funding support interventions) has been withdrawn."



2.2 THE FIVE SUSTAINABILITY FACTORS

The experiences of past development projects show that the sustainability of an intervention hinges on a certain number of sustainability factors. Five factors in particular were found to be more relevant for a Safe Schools intervention. These five factors should be taken into account all along the project cycle, and should also be used as a checklist during midterm or final evaluations to identify relevant questions related to the sustainability of a project. For most projects, the following factors influence the achievement, or 'non-achievement', of sustainability of a Safe Schools programme or project.

Sustainability Factor 1 - Supportive institutional environments

Safe Schools projects that 'fit' with education and Climate Change/Disaster Risk Management public policy have much better prospects for sustainability, as they are more likely to have high-level political and institutional support both during implementation and beyond project completion. Safe Schools interventions also need to be aligned with the Sendai frameworks on disaster risk reduction (DRR) 2015-2030.

In some circumstances, Safe Schools projects may also be ahead of national government policy. Such projects may need to initially emphasize and/or include activities related to awareness and policy change through advocacy-related interventions for government to develop a conducive institutional environment to provide sufficient funding and resources. These projects can also contribute to the

building up of the legal and operational frameworks for Safe Schools if they are not yet developed through the development of Safe Schools guidelines, toolkits, and training packages. This may also include support to mapping exercises for national policies that would aim to identify gaps in education and DRR with a particular focus on Safe Schools.

Sustainability Factor 2 - Commitment and ownership

The commitment of duty bearers (government and local partners) to promote Safe Schools initiatives is verified through their participation, ownership of established processes and systems, and institutionalization of the project at various levels. It is also demonstrated through changes in government priorities and budget allocation for Safe Schools initiatives, especially for disadvantaged or marginalized individuals, as well as through improved legal and operational frameworks for Safe Schools initiatives.

To insure this kind of ownership, projects should build on local demand and initiatives that address a recognised need of the target population. This is to ensure benefit continuation after the project ends. It is also important to ensure that assessments, monitoring systems and tools used for small scale and pilot Safe Schools projects are actually thoroughly embedded in the formal Education Management Information System (EMIS) and formal Education monitoring system at all levels. For example, Safe Schools checklists should become part of the regular monitoring tools used by the educational supervisors during their routine monitoring visits of the schools.

Sustainability Factor 3 - Institutional capacity

The institutional and technical capacities of the partner organisations are also important factors in the success of a Safe Schools programme. If institutional and technical capacities are not adequate, then Safe Schools projects should include activities that build capacity through training needs assessments and capacity building plans. Capacity building should focus not only on the technical aspects of the Comprehensive School Safety Framework (CSSF)(also the 'Three Pillars'), but should also include training topics such as project management, fund raising and resource mobilization strategies/plans, gender, inclusivity and managerial leadership (including coordination) to enhance the self-reliance of local institutions.

Projects that integrate with, and build on, local management structures also have better prospects for promoting sustainability of benefits than do those that merely establish new or parallel structures. The capacity of local agencies to manage (and absorb) new structures, systems, ideas and funds is often not adequately assessed, however, and getting the management structure 'right' requires an adequate institutional analysis during project design. As much as possible, staff from international organisations should operate from the same office/location as local counterparts, with equal access to similar levels of operational resources. This will facilitate on-the-job training and coaching while also increasing ownership of the project by local organisations/ education departments.

Finally, phase-out and exit strategies, and the benefits that are to be sustained after the end of the project, should be specifically described in the project's design.

Sustainability Factor 4 - Economic and financial aspects

Plan International's Safe Schools programme typically provides financial support, human resources and technical resources, thus, benefits cannot continue post project unless financial resources have been transferred to, or can be acquired by, the appropriate local partner organisations after a project ends. To assure that this happens, the project should focus on two aspects of economic and financial sustainability: (1) the cost effectiveness of the intervention strategy and (2) assessment of the financial sustainability of interventions in the future to explore whether funds are, or will be, sufficient to cover future activities, maintenance and depreciation of investments. For example, in the case of the construction of school buildings, there should be post project mechanisms in place to ensure the maintenance and renewal of the new buildings.

Fundraising strategies and resource mobilization plans should be designed at the level of the institutions and schools themselves to explore different sources of funding for supporting Safe Schools Interventions. Examples would be country level development funds, climate change and disaster risk management (DRM) funds, education investment funds, in cash or in kind support from communities and contributions from the private sector. Schools' DRM plans should be costed and linked with these potential sources of funds. A prerequisite for this to happen would be for the international partner to first develop a clear understanding of existing sustainable and long term funding streams from government departments in charge of finance and planning.

Sustainability Factor 5 - Genuine and effective participation

Successes in Child-centred Disaster Risk Reduction (CCDRR) require participation and commitment, from children, teachers, local authorities and communities as well as a good working relationship between stakeholders. Local school committees responsible for the development and implementation of school based DRM plans are a practical example of a collaborative participation of children (including girls and boys), parents and teachers.

To promote and sustain Safe Schools project achievements it is key for teachers to recognise children's capacity and to ensure their participation in DRR activities through child-centred or child-led Safe Schools activities. Children can take on leadership and advocacy roles in their communities to be on the frontline of DRR. Core groups of children, or 'champions', who are acting as drivers of change, can engage their peers in trainings, simulations and sessions to transfer DRR knowledge and awareness to a wider audience not only of children but also of parents and other community members.

Participation also means that a Safe Schools programme should be socially inclusive and should proactively engage the most vulnerable children, such as out-of-school children, children with disabilities (CWDs) and children from ethnic minority groups, for example.



03

MAINSTREAMING SUSTAINABILITY IN THE SAFE SCHOOLS PROJECT LIFECYCLE

The following chapter will help project managers to identify the key questions they need to ask themselves for effective integration of the various aspects of sustainability in each phase of a Safe Schools project. This runs from the identification phase, to design, to implementation, to monitoring and evaluation, to learning to transition, and on to the exit phase. In addition, information will be provided on the actions and tools that project managers need to consider during the various phases of a project lifecycle to better sustain project results before, during and after project end. Short examples and case studies on the practical integration of sustainability into Safe Schools interventions also highlight how mainstreaming sustainability into the project cycle can proceed. The annexes offer a checklist representing a consolidated framework on optimal integration of sustainability factors into the project cycle of Safe Schools projects, which can be used to conduct a self-sustainability assessment.

The following symbols appear throughout this document to facilitate reading:



Practical action example



Must read



Tool

3.1 PROJECT

IDENTIFICATION

Project identification starts from an understanding of the overall context of Safe Schools. It involves identifying problems to be addressed and the needs and interests of possible beneficiaries and stakeholders. Any problems, and the most realistic and effective interventions, are analysed and ideas for projects and other actions are identified and screened. Below are the main questions that project managers should ask themselves during this first phase and their respective activities.

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Supportive institutional environment	Are legal and operational frameworks for education and DRM conducive to a Safe Schools intervention?	Step 1: If not already available, conduct a Safe Schools policy mapping/gap analysis for education and DRM.	Safe Schools policy mapping/gap analysis.	<p>Education sector snapshot template for comprehensive school safety and education in emergencies developed by Save the Children and UNICEF http://www.preventionweb.net/english/professional/trainings-events/edu-materials/v.php?id=38816</p> <p>In 2012 and 2013, through the ESD project, UNESCO supported a "Self Monitoring and Reporting Mechanism on Education Policies and Plans for Conflict(C) and Disaster Risk Reduction for Sustainable Development" in several Asia-Pacific countries. Six countries completed the questionnaire: Bangladesh, Bhutan, Lao PDR, Nepal, the Philippines and Sri Lanka. The questionnaire was a basis for further discussions in order to help ministries of education (MoEs) to identify strengths, gaps and next steps to integrate 'Conflict/DRR' (C/DRR) in their sector planning processes. http://education4resilience.iiep.unesco.org/en/node/793 http://www.slideshare.net/SEAMEO-IN-NOTECH/self-reporting-and-monitoring-questionnaire-12-nov2013iiep-comments</p> <p>Consolidated Report Phase II - UNESCO Bangkok "Education in Emergencies for Sustainable Development" project - October 2014</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Commitment and ownership	Is the intended Safe Schools project genuinely demand- driven and does it involve key stakeholders?	Step 2: Undertake a stakeholder analysis.	Stakeholder analysis.	Stakeholder Analysis Guidelines - Kammi Schmeer http://www.eestum.eu/voorbeelden/Stakeholders_analysis_guidelines.pdf
Institutional and local capacity	<p>Have the institutional/ technical strengthening needs and absorptive capacity within the implementing agencies been identified during the project identification phase?</p> <p>What are the main vulnerabilities and capacities of local communities and schools in the targeted project areas?</p>	<p>Step 3: Conduct a stakeholder training needs/ capacity gap analysis.</p> <p>Step 4: Assess local institutional and absorptive capacity of the partner of the new project.</p> <p>Step 5: Initial project base line survey includes an overall vulnerability capacity assessment (VCA) and KAP survey in some of the targeted schools/ district.</p>	<p>Stakeholder training needs/ capacity gap analysis.</p> <p>Local institutional and absorptive capacity assessment.</p> <p>Project base line and end line surveys.</p>	<p>A Brief Review of 20 Tools to Assess Capacity, UNDP, 2005, www.unpei.org/PDF/institutioncapacity/Brief-Review-20-Tools-to-Assess.pdf</p> <p>Capacity Assessment Tools, Methodologies, Resources, Capacity for Disaster Reduction Initiative, www.unisdr.org/cadri/documents/CA-PACITY_ASSESSMENT_TOOLS_FINAL.pdf</p> <p>Below are some examples of capacity needs assessment conducted by UNDP in Liberia and Turkey in Disaster Risk Management. http://www.preventionweb.net/files/17504_cnareportfinaldraft.pdf http://www.gripweb.org/~gripweb/gripweb/sites/default/files/Turkey%20DRR%20Cap%20Ass%20Report%20.pdf</p> <p>For further reading please go to the following webpage where you can find useful references: http://en.wikipedia.org/wiki/Absorptive_capacity</p> <p>Plan International has developed Safe Schools guidelines in various countries to provide useful guidance on how to conduct VCA exercises at the school level with the participation of teachers and children. In 2014, Plan Asia Regional Office and the Asian Disaster Preparedness Centre (ADPC) developed a practice guide that presents the different steps and rules for the preparation and implementation of knowledge, attitudes and practices (KAP) studies for Plan International's Safe Schools projects. Contact your regional office to access these documents.</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Economic and financial aspects	Do we have enough understanding of the planning and financial systems of government to support Safe Schools interventions?	Step 6: If not available, conduct an analysis of the government planning and finance allocation system on DRR and education.	Analysis of government planning and finance allocation system on DRR and education.	<p>IIEP and UNICEF WCARO's integrating conflict and disaster risk reduction into education sector planning http://toolkit.ineesite.org/toolkit/INEEcms/uploads/1097/IIEP_Guidance_notes_EiE_EN.pdf</p> <p>INEE Minimum Standards for Education: Preparedness, Response, Recovery. http://www.ineesite.org/en/minimum-standards</p> <p>Practitioner Guidelines on the Integration of Disaster Risk Reduction and Climate Change Adaptation into Sector Based Programmes (education and child protection) - Save the Children - November 2013 http://resourcecentre.savethechildren.se/sites/default/files/documents/sc_practitioner_guidelines_on_the_integration_of_drr_and_cca.pdf</p>
Genuine and effective participation	How did children participate to the identification of the Safe Schools project?	Step 7: Organise local level, child-centred consultations with teachers, principals, parents and children (including from vulnerable groups)	Local level and child-centred consultations.	Children's participation in the project cycle. Tearfund 2004 http://tilz.tearfund.org/~media/Files/TILZ/Publications/ROOTS/English/Child%20participation/Child_participation_E-%20section%204.pdf



Short description of main tools and references for mainstreaming sustainability during the project identification phase

Step 1: Policy gap analysis in education and DRM

A policy gap analysis is needed to assess the institutional context and help later on to select the Safe Schools project design with the greatest likelihood of sustainability. This should be compatible with the institutional context related to education and DRM. Institutional context includes the policy environment, social, economic structure and political system.

The following steps are generally part of a policy gap analysis:

- Undertake a detailed literature review on the subject of Safe Schools interventions and policy framework in the country;
- Conduct interviews with relevant professionals;
- Review all the relevant education and DRM/climate change adaptation policies currently in effect, either as formal policy documents or in the form of notifications, speeches or any other form;
- Identify gaps in the existing policies with respect to their relevance to, and contradiction of, the government’s national and international commitments under DRM and climate change related to education; and
- Make recommendations on how to address gaps in the existing policy framework; these recommendations could later be used in the advocacy strategy of a Safe Schools initiative. (See later in these guidelines.)

Related organisational structures: “where to look”	Relevant institutional mechanisms or processes
<ul style="list-style-type: none"> • Specialized ‘Disaster Risk Management Ministry’ or the National DRM office; • Intergovernmental Committee on DRM; • National DRM forum/working group; • National platform on DRM; • Ministry of Education and the relevant departments in charge of DRM and climate change; and • Any department of planning and finance within the MoE. 	<ul style="list-style-type: none"> • Formal DRM legal framework, related acts or government decrees, disaster codes, safety standards, standing orders for DRM/DRR; • DRM national policy frameworks, vision or strategy documents; • Education sector DRM mandates specified, education sector DRM policy papers/strategies already in place; • Available funding from various ministries for Safe Schools interventions; • National DRM implementation strategy and/or plan of action; and • Formal guidelines on community/schools drills and simulation exercises, for example.

The document, Education Sector Snapshot Template for Comprehensive School Safety and Education in Emergencies, developed by Save the Children and UNICEF, is an example of a tool that can be used to conduct an analysis of education and DRR policy. The tool is intended to serve as essential background guidance for the following purposes:

- As a shared, factual starting point for advocates, programme planners, managers, team members, and policy makers wanting to support comprehensive school safety, education sector development and strategic planning in a country;
- As ‘denominator’ information providing a base line against which to assess the adequacy, scalability and sustainability of efforts to integrate Disaster Risk Reduction/ Climate Change Adaptation (DRR/CCA) into education sector development efforts; and
- As an appendix to an appeal for funding for either education in emergencies or disaster risk reduction in the education sector.

Step 2: Stakeholder analysis

“Stakeholders” can be a groups or individuals. They are usually decision makers at the policy level, although beneficiaries may also be included. They come from a variety of sectors, including national and local government, non-governmental agencies, civil society, the for profit sector, funding agencies and the beneficiary community. A stakeholder analysis at this stage consists of identifying whose interests are important to the sustainability of the Safe Schools project in terms of providing tangible and intangible resources and support. The stakeholder analysis will help to choose those who have real and ‘mobilizable’ resources (human, financial, assets, resources and policy) to bring to bear for, or against, the project; they are the ones who can directly influence sustainability. The example of a stakeholder analysis table below illustrates a structure for articulating, in a transparent way, who has what to influence project sustainability, how they can influence and where they stand.



Creating evidence based information for advocacy through policy mapping

In Nepal, Plan International is collaborating with existing DRR stakeholders, including the Government, the United Nations and NGOs to push for the adoption of the CSSF. The program commissioned a policy mapping on Safe Schools in Nepal that documented the progress, gaps and cases of success. The report was shared with the relevant government agencies and DRR stakeholders, and led to preliminary dialogues and a draft discussion paper on a Safe Schools policy.

<http://www.slideshare.net/dpnetnepal/safe-school-policies-and-practices-final-version-july25>

Group or individual	Group's interest in the issue	Available resources	Resource mobilization capacity	Position on issue of Safe Schools
Department of DRM within the MoE	Develop and implement policies, action plans and training on Safe Schools in the formal school system	<ul style="list-style-type: none"> • Size of budget and number of people formally employed in DRM at the different levels. • National training programmes and training centres for DRM (operational budgets and staff levels) exist. • Safe Schools DRM info/materials available for dissemination to teachers. • Regular organisation of test/mock exercises in schools. 	<ul style="list-style-type: none"> • National and local education budgets. • The Ministry has not yet developed links with the private sector to diversify its sources of funding. • Initial discussion started with the World Bank on Pillar 1 for vulnerable schools. 	<p>The department is supportive of Safe Schools initiatives but only a limited number of staff are aware of the safer schools concept and methodologies.</p> <p>The Government is not yet clear on where the Safe Schools policy will be anchored in the overall policy framework.</p>
Local NGOs	Promote safer schools through implementation of Disaster Risk Communication (DRC) activities in communities and schools.	<ul style="list-style-type: none"> • Information-education-communication (IEC) on Safe Schools available in local language(s) for ethnic minority areas. • Messages reach local populations in NGO-supported areas. 	<ul style="list-style-type: none"> • Trained people available on resource mobilization and project proposal development. • Good knowledge of institutional donors. 	Very supportive and technically knowledgeable on Safe Schools initiative.

In addition to individual meetings with each stakeholder, workshops are also good avenues for a comprehensive stakeholder consultation process during the project identification and design phases. They are good for action-planning exercises using the Logical Framework Approach as well.

Workshops bring project planners, key decision making groups (for example from ministries of education, finance, and disaster risk management), and Safe Schools/education experts together to collaboratively define a Safe Schools project, potentially resolving all sustainability issues in a structured, 'goals-directed' context. The objectives of these workshops are:

- To transfer ownership of the idea from the external planner to local stakeholders;
- To build new personal linkages and decision making capacity;
- To solicit the best ideas from a broad group and simultaneously communicate these different perspectives; and
- To produce formal commitments based on a group effort.

Workshops should be participatory and should have the following principles:

- Stakeholder positions and needs are key elements in the proceedings;
- The focus is on teams rather than on individuals;

- They are participatory and practical, and they emphasize learning by doing, which builds team management capacity while simultaneously producing immediate, concrete value (e.g., answers to the key sustainability questions, operationally useful project designs, or implementation plans);
- They involve minimal formal lectures and maximum participation in the form of small group discussions, problem solving and decision making; and
- Workshops are designed to create a climate where people of different disciplines and interests listen to each other and attempt to integrate relevant expertise and experience: technical; social; political; financial; and economic.

Step 3: Training needs assessment/capacity gap analysis

Capacity is defined as ‘the ability of individuals, organisations, organisational units and/or systems to perform functions effectively and in a sustainable manner’. The UNISDR terminology views capacity as the combination of all the strengths, attributes and resources available within a community, society or organisation that can be used to achieve agreed goals. Capacity may include infrastructure and physical means, institutions and societal coping abilities, as well as human knowledge, skills and collective attributes (such as social relationships), leadership and management. ‘Capacity assessment’ is a term for the process by which the capacity of a group or individual is reviewed against desired goals and the capacity gaps are identified for further action.

The institutional and technical capacities of partner organisations are the most important factors in the success and sustainability of a Safe Schools programme and a training needs assessment that will identify the capacity gaps is an essential tool for this. A training needs assessment can also be combined with the stakeholder analysis described previously. (Capacity assessments can follow various methodologies and take place at different levels: national, sub-national and local level.)

The capacity needs assessment framework for a Safe Schools programme can be based on the three main technical pillars of the Safe Schools framework: safe learning facilities; school disaster management; risk reduction and resilience education. But it should also include elements related to cross cutting issues such as gender, inclusion of marginalized children, project management, coordination, leadership and resource mobilization.



Step 4: Analysis of local institutional and absorptive capacity of the new project

The development and integration of a new Safe Schools project can create excessive demand on the existing strengths, resources, or abilities of partner organisations, which may face difficulty 'absorbing' a new project.

'Absorptive capacity' is defined as 'a set of organisational routines and processes by which an organisation acquires, assimilates, transforms and exploits knowledge to produce a dynamic organisational capability'. (Zahra; George)
Key points to assess absorptive capacity are:

- A clear description of organisational functions, structures, decision making arrangements and staffing levels;
- Analysis of human resource management policies, staff skills and motivation;
- Analysis of organisational culture and gender issues; and
- Analysis of the capacity of the organisation/s to absorb new functions/ activities and make required changes to its/their mode of operation.

Below is a series of indicators that can be used to evaluate each element of the absorptive capacity of an organisation in relation to a Safe Schools project.

- Knowledge acquisition capability: Years of experience of staff on Safe Schools; amount of investment allocated to research/knowledge management in DRM, education and Safe Schools;
- Assimilation capability: The number of citations/statements made by an organisation in relation to Safer Schools concepts/projects/research conducted by other organisations;
- Transformation capability: New research/projects or ideas initiated on Safe Schools by the organisation; and
- Exploitation capability: Quantity of new materials on Safe Schools developed by the organisation and the length of their Safe Schools project development cycle.

Step 5: Assessment and base line/end line surveys

Plan's Safe Schools programme is informed by an understanding of needs and perspectives of children and youth through the use of child-centred school based risk assessments. Plan International uses a multi-hazard approach, which involves analysing the risks of disasters associated with both natural and human-made hazards. This includes analysis of risks associated with climate change and conflict.

During the identification and design of a Safe Schools project, a sub-national and local level broad VCA needs to be conducted as part of the base line survey of the project. The idea here is not to conduct a comprehensive VCA in each

school or future project location (this will be done during project implementation) but rather to undertake VCAs in representative locations. These VCAs will complement the previously described tool, on training needs assessment, that mainly focuses on organisations.

The specific objectives of the data that need to be gathered during Safe Schools project identification and design stages are:

- To assess knowledge, vulnerability and capacity of project stakeholders at different levels (central, provincial, district and commune) in terms of DRR, DRM and the existing links with gender. (See

previous tool related to training needs assessment and VCA.);

- Assess the general community willingness to maintain and willingness to commit to Safe Schools related activities in both monetary and non-monetary terms;
- To assess the school capacity and pupils' knowledge, preparedness and practices on DRR with a gender perspective.

(A sub-element of an overall needs assessment can be a KAP survey.);

- To assess the logistical, administrative and legal feasibility of implementing, operating and maintaining a Safe Schools project in the targeted area of the intended Safe Schools future intervention; and
- To reinforce data collection capacity of staff involved in the assessment.

Step 6: Analysing DRR and education planning and funding allocation systems

At the level of the partner:

At the identification or design phase, an analysis of financing mechanisms, for both donor and stakeholder contributions should be undertaken not only to confirm sufficient existing capacities to manage external funds for a Safe Schools project but also to identify potential financial resources from 'own' sources both during and after project implementation. More precisely, the analysis should review the planning, budgeting and expenditure management systems of the partner's budgetary processes. Key points that will be reviewed by finance and procurement staff during a financial management assessment would be:

- Availability of audited financial statements;
- List of current and previous grants received from other donors;
- Presence (or absence) of financing, procurement or administration manuals;
- Analysis of accounting system and previous financial reports;
- Review of cash and bank account management procedures and internal audit/control system of the organisation; and
- Size of previously managed budget and number of staff in charge of the finance and procurement departments.

The design of the Safe Schools project itself should also be realistic and should describe workable financing mechanisms, taking into account the need to integrate with local planning, budgeting and expenditure management systems. Also, financial authority should be appropriately devolved to field level managers. The process for making plan, budget and expenditure variations will be clearly described in the proposal, such as through quarterly and annual review/planning procedures.

At the level of the government institution:

While education policies and laws focus more on the legal and strategic aspects, integration of CCDRR in the education sector plans translates general goals and strategies into more operational terms by fixing precise targets to be reached, and defining the sequence of activities to be carried out and the resources required. Integrating CCDRR into education sector plans (strategic or operational) can help ensure the sustainability of Safe Schools programme. This activity can be done at the national and/or sub-national level.

Next steps suggested by UNESCO¹ to support this task would be:

- Who should be involved? CC/DRR programmes affect children's lives and education. Those developing the programmes can consult a broad range of stakeholders, such as: MoE officials at all levels, officials from other ministries; development partners including international non-governmental organisations and non-governmental organisations (I/NGOs), who may have significant technical expertise; private sector education providers; civil society and community representatives; and children and youth, the primary education beneficiaries;
- Find out when the next education plan (strategic or operational) will be developed and how you can advocate for a CCDRR policy or strategy to be incorporated. For example, when is the next annual review coming up during which CCDRR programmes can be discussed, validated and integrated into the plan and its budget? The drafting of a new education sector strategic plan is an even better window of opportunity, although it typically only happens every five years;
- Consider also whether the annual school census questionnaire can be updated to include questions that would allow planners to collect specific CCDRR data; and
- Support trainings, workshops and exposure visits with education planners and Safe Schools technical experts to build relationships, build confidence and raise the importance of mainstreaming CCDRR into the education sector.



Mainstreaming DRM into the district development planning process in Nepal

To sustain Safe Schools projects, project managers should have a clear understanding of the planning, financing cycle and systems of the State apparatus at all levels. Safe and resilient development requires that DRM and climate risk management (CRM) are mainstreamed into the planning process to be sustainable. Ideally this occurs at all levels of government.

As an example, a framework for mainstreaming DRM and CRM into the district development planning process has been developed in Nepal with support from UNDP. In Nepal, district development planning is a well-defined, 14-step process at all levels of a district. The framework identifies DRM and CRM for each of these 14 steps, where district and sub-district agencies are responsible. The framework is structured according to these parameters: Key steps in district development planning; timeline; activities under the planning step; DRM and CRM considerations; supporting system/document and related sections; executing agency; source of verification; monitoring and evaluation (M&E) indicators; and responsible agency.



¹ Adapted from: A Self-Monitoring and Reporting Mechanism on Education Policies and Plans for Conflict and Disaster Risk Reduction for Sustainable Development- UNESCO- November 2013.



The framework is very informative and gives the target month when that step will take place. It also provides a list of key DRR planning documents, such as District sector plan (water plan, forestry plan), biodiversity strategy, district disaster management plan, district preparedness/response plan, local adaptation plan; and national adaptation plan of action.

For more information, read “UNDP 2012 Framework and Recommendations for Mainstreaming Disaster and Climate Risk Management into the District Development Planning Process of Nepal”.

Step 7: Children’s participation during project identification phase.

The first step in the project cycle is to identify the needs that a Safe Schools project could address. This is sometimes called a ‘needs assessment’. A needs assessment finds out what schools’ and communities’ needs are and whom natural hazards affect. Only when we know what people really want we will be able to develop an effective project. Generally, during needs assessment, children are often overlooked as key stakeholders even in projects that benefit them directly. Children possess useful and important knowledge in the communities that no one else in the community can provide, however.

Most needs assessment tools can be adapted for use with children. Training in communicating with children, child development, and age and gender issues are essential if child participatory data collection techniques are to be used successfully. ‘Dreams trees’, drama, transect walks, mapping, ranking, child-to-child interviews, songs, daily activity charts and focus group discussions are all useful tools that can be used with children during project identification.



Involving children in vulnerability and capacity assessment in Vietnam

Below are some of the tools used by Plan International in Vietnam to collect information during VCA exercises involving children:

- Disaster historical profile: To identify how students respond to disasters and whether or not these responses reflect safe practices;
- School map: Students articulate their understanding of 'safe' and 'dangerous' locations; and
- Role-plays: Evaluate the awareness, skills and behaviour of children and adults before, during and after disasters:
 - An optimal number of students for these activities is between 10 and 12;
 - These activities are designed for students in grades 4 to 5; and
 - It is important to include these groups of students as a priority. This includes both boys and girls, students with different academic performance, children with disabilities and minority students from different villages and communes.



3.2 PROJECT DESIGN

The project design phase documents and captures the results obtained from the project identification phase. It involves the development of a project proposal that makes clear all aspects of the ‘why, what, how, and when’ of a project strategy. So what are the key points that project managers need to consider during this phase to ensure that a project has increased its chances of being sustainable?

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
<p>Supportive institutional environment</p>	<p>Is the program/project consistent with, and supportive of, relevant partner government sector policies on education and DRM?</p> <p>How much is the project intending to contribute in the building up of the legal and operational framework for Safe Schools interventions in the country?</p>	<p>Step 1: If possible, identify schools targeted by the project as part of an Education Management Information System (EMIS).</p> <p>Describe relevant links between policies in education/ DRM and the Safe Schools project in the proposal.</p> <p>If relevant, state in the project proposal how the project will contribute to building the legal and operational framework for Safe Schools.</p> <p>Step 2: Incorporates extra curriculum activities and/or activities on the integration of DRR into the school curriculum.</p>	<p>Education Management Information System (EMIS).</p> <p>Integration of DRR into the school system.</p>	<p>More information on EMIS: http://www.unesco.org/new/en/education/themes/planning-and-managing-education/policy-and-planning/emis/</p> <p>https://www.openemis.org/</p> <p>http://unesdoc.unesco.org/images/0013/001323/132306e.pdf</p> <p>UNICEF/UNESCO Disaster Risk Reduction in the School Curriculum, and UNICEF Child-Friendly Education: Climate Change Resource Pack for Educators. http://www.unicef.org/publications/files/CFS_Climate_E_web.pdf://ww.unicef.org/publications</p> <p>Assessing School Safety from Disasters. A Global Base line Report. ISDR Thematic Platform for Knowledge and Education 2012 http://www.unisdr.org/files/35274_2012schoolsafetyglobalbase_line.pdf</p> <p>Selby, D. & Kagawa, F. 2013 (Pilot version). Towards a Learning Culture of Safety and Resilience: Technical Guidance on DRR in School Curricula. Paris/Geneva: UNESCO/UNICEF http://unesdoc.unesco.org/images/0021/002194/219412e.pdf</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
				<p>Disaster Risk Reduction in School Curricula: Case Studies from Thirty Countries. UNICEF/UNESCO 2012 http://www.unicef.org/education/files/DRRinCurricula-Mapping30countriesFINAL.pdf</p>
Commitment and ownership	<p>Have main duty bearers actively participated in project design and are they supportive?</p> <p>Are adult participatory approaches a clear element of the implementation strategy?</p> <p>Have the needs for information dissemination and awareness training for right holders been assessed?</p>	<p>Step 3: Identify a Minimum Package of Activities (MPA)</p> <p>Inform Senior stakeholder representatives and beneficiaries about the scope of 'their' program/project and the expected benefits.</p> <p>Include participatory approaches in the project design. Include communication related resources in the project design.</p>	Minimum Package of Activities (MPA).	<p>For more ideas on potential MPAs, see core commitments to school safety from disasters described in details from page 51 of: Assessing School Safety from Disasters - A Global Base line Report- ISDR Thematic Platform for Knowledge and Education 2012' http://www.unisdr.org/files/35274_2012schoolsafetyglobalbase_line.pdf</p>
Institutional and local capacity	Has a training strategy been developed and does it address capacity gaps vulnerabilities against hazards and project sustainability issues?	<p>Step 4: Design a training strategy/ capacity building plan.</p> <p>Integrate in-country training resources and planned trainings into Department of Education training plans.</p> <p>Plan arrangements for in-country course accreditation if relevant.</p>	Training strategy/ capacity building plan.	<p>Follow this link for an example of a brief training strategy:</p> <p>https://www.gfdrr.org/sites/gfdrr.org/files/Learning%20Strategy.pdf</p> <p>A Brief Review of 20 Tools to Assess Capacity, UNDP, 2005, www.unpei.org/PDF/Institutioncapacity/Brief-Review-20-Tools-to-Assess.pdf</p> <p>Capacity Assessment Tools, Methodologies, Resources, Capacity for Disaster Reduction Initiative, www.unisdr.org/cadri/documents/CAPACITY_ASSESSMENT_TOOLS_FINAL.pdf</p> <p>Below are some examples of capacity needs assessment conducted by UNDP in Liberia and Turkey in Disaster Risk Management. http://www.preventionweb.net/files/17504_cnareportfinaldraft.pdf http://www.gripweb.org/~gripweb/gripweb/sites/default/files/Turkey%20DRR%20Cap%20Ass%20Report%20.pdf</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
<p>Economic and financial aspects</p>	<p>Is it clear how local implementing agencies will access financial resources from their 'own' sources both during and after implementation?</p> <p>Does the project design include the development of a long-term fundraising/ resource mobilization strategy?</p> <p>Has the involvement of private sector and communities/ volunteer stakeholders been appropriately considered and integrated into the design?</p> <p>Did the project ensure that the services being provided are affordable for the intended beneficiaries and are likely to remain so after funding ends?</p>	<p>Step 5: Include in the project design the development of a long-term fundraising/ resource mobilization strategy.</p> <p>DoE Finance/ Planning Office, schools and communities committed cash and in kind support.</p> <p>Step 6: Recurrent costs are kept to a minimum in the design of the project to be sustainable in the future.</p>	<p>Long-term fund-raising/resource mobilization strategy.</p> <p>Recurrent costs.</p>	<p>Resource mobilization, a Practical Guide for Research and Community Based Organisations, 2nd edition - October 2010. Link to access the guide: http://www.idrc.ca/EN/Documents/Donor-Partnership-guide.pdf</p> <p>Resource mobilization facilitator guide - USAID - New Partners Initiative Technical Assistance (NuPITA) Project 2010 Link to access the guide: http://www.usaid.gov/sites/default/files/documents/1864/Resource-Mobilization-Module-Facilitators-Guide.pdf</p> <p>Towards financial self-reliance - A handbook on resource mobilization for CSOs in the South - Trainer manual - Richard Holloway - Link to access the guide: http://www.akdn.org/publications/akf_toolkit_manual.pdf</p> <p>'Improving the evidence base on the costs of disasters: Towards an OECD framework for accounting risk management expenditures and losses of disasters - November 2014 - OECD" See Table 12. Draft public and private DRM expenditure framework (per country and (fiscal) year), page 42 of the above mentioned document that provides an idea of the main categories of costs for DRM http://www.oecd.org/officialdocuments/publicdisplaydocumentpdf/?cote=GOV/PGC/HLRF%282014%298&docLanguage=En</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Genuine and effective participation	How did children participate to the design of the Safe Schools project?	<p>Step 7: Design an inclusive Safe Schools project that takes into consideration the needs of the most vulnerable groups.</p> <p>During research on children, children themselves have prioritized the issues they want to work on and have decided on an action plan.</p>	An inclusive Safe Schools project.	<p>Disaster risk reduction educational initiatives for schoolchildren (DRREIS): a best practice guide for uplands areas (Ethnic Minorities) of Vietnam - CEI-2011 http://www.preventionweb.net/english/professional/trainings-events/edu-materials/v.php?id=23685</p> <p>Good practices from South & South-East Asia in disability inclusive disaster risk management- Handicap International and inclusive DRR network- 2014 http://www.didrrn.net/home/files/9814/1257/2052/Hi_DRR_good_practices_2014.pdf</p> <p>Mainstreaming disability into DRR: A training manual. Handicap International Nepal 2009 http://www.handicap-international.org.uk/Resources/Handicap%20International/PDF%20Documents/Hi%20Associations/MainstreamingDisDisaster-RiskRedu_2009.pdf</p> <p>Handicap International (2012): Disability Inclusive Community Based Disaster Risk Management. Toolkit for practice in South Asia. http://disabilityindrr.org/resourcespage/</p> <p>Manual on disability inclusive Community Based Disaster Risk Management program - Dec 2013 - http://www.didrrn.net/home/files/9014/0057/9145/EN_TL_Disaster_Risk_Management_2page.pdf</p>
Cross cutting aspects	<p>Is sustainability specifically included in the programme/project log frame?</p> <p>Is the program/ project timeframe sufficient to support sustainability objectives?</p> <p>Does the project design include an exit strategy?</p>	<p>Step 8: The log frame narrative description contains specific references to sustainability.</p> <p>Step 9: Support to the development of a phase-out/exit strategy has been included in the project design.</p>	<p>Log frame contains reference to sustainability.</p> <p>Exit strategy.</p>	<p>Go to Step 8 to see an example of a log frame that contains reference to sustainability</p> <p>See Tool 8 on exit/handover strategy template, page 15 of the following web link: http://www.ifc.org/wps/wcm/connect/af05f38048855652b9acfb6a6515b-b18/12014tools-.pdf?MOD=AJPERES&-CACHEID=af05f38048855652b9acfb6a6515bb18</p>



Short description of main tools and references for mainstreaming sustainability during the project design phase

Step 1: Selecting project schools from EMIS

According to the Global Base line Report on Assessing School Safety from Disasters, education authorities in almost all countries are facing the challenge of mounting and effectively utilizing EMISs. Existing customizable tools, such as OpenEMIS (<http://openemis.codeplex.com/>), allow cascading levels of educational authorities to build and maintain data on location of educational institutions as well as data on buildings, rooms, equipment, staff and student educational records. It will become increasingly important that school vulnerability data, retrofit/remodelling, and school disaster management data be integrated with these systems, as well as become inter-operable with national disaster management systems and post-disaster needs assessment tools. An important resource for collaboration on inter-operability is the United Nations Centre of Excellence for U.N. Spatial Data

Infrastructure, under the Office for Coordination of Information Technology at the U.N. Secretariat.

In addition, the latest UNESCO Consolidated Report² shows the need to strengthen information sharing and data collection and to incorporate monitoring of DRR activities into education sector management information systems through the development of specific indicators. Quoting the report: "Such efforts will also require that education officers responsible for collecting and analysing data have a good understanding of Conflict(C)/DRR issues and know what to look for when undertaking school surveys or developing data collection questionnaires. The EMIS includes data that can be used for monitoring C/DRR activities. For instance, in the Philippines, DRR/CCA data will be captured in the national Enhanced Basic Education Information System (EBEIS)".



Realistic and pragmatic approaches for the development of comprehensive Safe Schools assessment tools

Through a collaborative approach, Save the Children, along with other members of the Global Alliance for DRR and resilience in the Education Sector (GADRRR-ES), is currently developing a suite of comprehensive safe schools assessment tools that can be used progressively for triage and decision making at the school administration level and higher. The current thinking is that assessments will be done following a stepped approach. At first, School Safety Self-Assessment (universal for all schools) will be done on an annual basis by school personnel with minimal guidance, to use data



² Self-Monitoring and Reporting Mechanism on Education Policies and Plans for Conflict and Disaster Risk Reduction for Sustainable Development in 6 countries: Bangladesh, Bhutan, Lao PDR, Nepal, Philippines, and Sri Lanka.

>>

themselves and for aggregation for decision making. Ideally this would be built into the EMIS.

The second step will be a visual inspection survey of facilities by a technical team for prioritized schools flagged on the basis of (a) hazard exposure/hazard maps (b) desk review of school facilities (year of construction, number of floors, etc.) and (c) school self-assessment. If recommended for retrofit or replacement, a more in-depth technical assessment would then be performed. In this approach, scalability is built into the system and hopefully sustained. The goal is to keep costs down and build in more empowerment for key educational staff to gather and use data. As an option, one idea for gathering information would also be to use crowd-source student/community member observations through mobile apps. See page 28 of the Global Base line Report for more information. "Assessing School Safety from Disasters. A Global Base line Report. ISDR Thematic Platform for Knowledge and Education 2012"

http://www.unisdr.org/files/35274_2012schoolsafetyglobalbase_line.pdf

Step 2: Extra curriculum and/or integration of DRR into the school curriculum

Integration of DRR into a school curriculum is an important factor for sustainability of Safe Schools interventions. According to the Global Base line Report on Assessing School Safety from Disasters ISDR - Thematic Platform for Knowledge and Education 2012, a wide variety of approaches to DRR in school curricula have been piloted in recent years. Assessment reports suggest that while students readily take interest in the subject in both formal and informal curricula, for sustainability over the long term, integration is the most reliable. Rather than a stand alone subject, which curriculum demands cannot support, the infusion of disaster risk reduction into a variety of 'carrier' subjects allows for integration of this material without creating an additional burden for teachers.

Below is a table showing the enabling factors in successful and sustainable approaches to DRR integration in curricula as per the lessons learned in the Global Base Line Report.



Enabling factors in successful and sustainable approaches to DRR in curricula

<p>Relationships with, and support to, education authorities</p>	<p>Developing long-term relationships with education authorities is the single most important factor for success. The role of INGOs and NGOs is to support capacity development rather than to be substitutes for education authorities.</p>
<p>Holistic infusion most effective for sustained integration of DRR in the curriculum</p>	<p>While there are many variations in how to introduce DRR into curricula, the preferred method for sustained impact is widely recognised to be holistic infusion across all grades and a wide range of carrier subjects.</p> <p>Specific modules and courses for use as electives or requirements in secondary education may be very valuable for promoting disaster resilient construction, sustainable development, disaster management, first aid, swimming and other skills for risk and vulnerability reduction.</p>
<p>Behavioural outcomes measurable at household, school and community levels</p>	<p>DRR education can and should have clearly expressed behavioural outcomes that are practiced and lived. Skills in problem solving, planning, action and reflection should all be visible as a result of successful DRR education.</p>
<p>Effective educational materials need to be identified, shared, adapted and localized</p>	<p>A single good teaching guide can be extremely effective in introducing disaster risk reduction consistently and universally. Due to varying levels of training and professionalism, simplicity is essential. Local culture needs to be understood to design or adapt appropriate materials. And teachers need to be able to fashion materials themselves, and should be encouraged to bring the curriculum to life at the school level.</p>
<p>Strong political will</p>	<p>For the integration of disaster risk reduction into formal education a strong national political will, a systematic approach and sustained action are necessary.</p>
<p>Co-curricular and extra-curricular activities, and school disaster management-bring DRR to life</p>	<p>Curricular approaches alone are often insufficient. When curriculum is 'book-learned' and not practical or practiced, outcomes may be weak. Links to school and community improvement and disaster risk reduction projects, clubs and regular school drills are all important.</p>
<p>E-learning self study and online curricular resources effective for scaling-up teacher training and student outreach</p>	<p>For education authorities where schools number in the thousands and staff in the tens of thousands, cascading models of instruction are prohibitive in terms of resource allocation and technical competency. Online instruction affords the ability to reach a large cadre of teachers (and students) with consistent foundational content, which can then be applied and enriched with local context.</p>



Examples of integration of DRR into the formal school curriculum

School curricula are being holistically infused to include DRR, resilience and recovery concepts and practices. For example, Plan Indonesia developed a module for teachers on how to integrate DRR into subjects such as social science, natural science and languages in upper primary school. This module has been acknowledged and approved by local authorities. In Cambodia, DRR and climate change student booklets and teacher guides have been developed by Action Aid, UNICEF and the Ministry of Education, Youth and Sport, and used by Plan Cambodia to avoid duplication and to identify areas for adaptation. The student booklet was used in all target schools for the 2012-2013 school year, consisting of 10 lessons covering hazards and disasters relevant to the Cambodian context. In Myanmar, DRR has been mainstreamed into the life skills curriculum (seven modules) after the integration process was supported by UNICEF. During the coming academic year, life skills will become a core subject for the final school exam, which will reinforce its importance for the teachers and children, and will offer a good entry door for Plan to organise extra curriculum activities in line with this formal curriculum.

Step 3: Minimum Package of Activities (MPA)

Ideally, an agreed MPA should be identified during the project identification or design phase. This is a set of activities related to the Safe Schools intervention that should remain after the project ends to sustain the benefits of the programme. Each Safe Schools project should collaboratively agree with their partners about the content of this MPA.

Key steps to design MPAs are:

- Decide what activities are the priorities for achieving the key purpose (sustainability and reduction of risk);
- Then discuss the time frame for each activity (e.g., monthly, quarterly, annually, bi-annually, occasional, etc.);
- Estimate how much each activity costs (local costs);
- Based on the above, decide which activities to include in the MPA for each level (national, sub-national and local). A set of activities that is logically coherent as a “package” (e.g., fits together well) and is not just a collection of separate activities with no real relation to each other;
- Discuss fundraising/resource mobilization strategies (principally local) to match with activities (see information about fundraising strategy and resource mobilization plan); and
- Advocate to the relevant stakeholders at the appropriate level for funding and technical support.

Minimum Package of Activities (MPA) to sustain benefits after the end of the project.		Monthly	Quarterly	6 Months	Yearly	Every		
						2 Years	3 Years	
(Note: This is an example only and does not show a comprehensive MPA.)								
SCHOOL DISASTER MANAGEMENT	1	School personnel have, and actively practice, procedures to ensure safe student reunification with emergency contacts identified in advance by parents or guardians.	X					
	2	An existing or special group representative of all parts of the school community is mobilized and tasked with leading school disaster management efforts on an on-going basis.		X				
	3	School disaster simulation drills are held at least annually, for each expected hazard, to practice and improve skills and plans. In primary schools, fire drills are practiced four times per year.		X		X		
	4	Education authorities must make continuity plans to ensure that school operations continue in case natural hazards disrupt the school year. This may include alternate calendars, sites, transport, shelter, delivery methods, mutual aid and surge capacity.				X		
	5	Responsibility for maintenance of school physical infrastructure and non-structural safety must be established by school authorities with mechanisms for financing and execution.						
SAFE LEARNING FACILITIES	1	School buildings and grounds are maintained for disaster resilience.					X	
	2	Fire prevention and fire suppression measures are maintained and checked regularly.		X				
	3	Ensure that school provisions for emergencies and disasters are regularly replenished.		X				
RISK REDUCTION EDUCATION	1	Regular, co-curricular school activities continue to be taught on DRR using the IEC materials provided by the project.	X					
	2	Education personnel continue to have opportunities for development of skills and competencies, and access to materials for teaching disaster risk reduction through formal and co-curricular methods.				X		

Step 4: Training strategy/capacity building plan

Following the stakeholder analysis, the VCA and the training needs analysis described previously, a training strategy/capacity building plan needs to be developed. Training strategies are often overlooked by development agencies, yet this is a potential key avenue to incorporate sustainability aspects of a Safe Schools project. The following elements should be considered in a training strategy:

- Training topics do not focus only on the technical aspects of the Safe Schools guidelines but also include crosscutting topics such as project management, coordination and leadership as well as sound financial planning, accountability, management and fundraising;
- Identification of who is responsible for managing any future or recurrent training activities;
- If possible, the training strategy should be embedded in the formal education system training programme;
- Highlight in the design which training activities, if any, need to be continued on an on-going basis in order to sustain the benefits of the Safe Schools intervention in the future;

- The training strategy makes maximum use of in-country resources, including the use of local training agencies;
- The proposed approach to on-the-job training, mentoring and performance assessment is described;
- Trainee selection processes and criteria have been described in the strategy to ensure appropriate candidates (male and female) are trained;
- Overseas training/courses have been clearly justified in the context of promoting sustainability;
- Counterpart trainers are to be involved when Plan International staff are designing and delivering courses; and
- Arrangements for course accreditation (with local or overseas training authorities or institutions) have been considered and described in the training strategy.

Once the strategy is completed, capacity building plans will provide additional information on the sources of funding for the trainings, the type of trainings (technical and non-technical), the person/institution who will conduct the trainings, the type and number of expected participants and the expected date, time and location of the trainings.

Step 5: Fundraising strategy/resource mobilization plan

Before the project ends, Plan International's project managers and partners should jointly develop a fundraising strategy and resource mobilization action plan. This should spell out the MPA that needs to be in place after project end to ensure that Safe Schools activities in the existing target areas continue to function effectively to reduce the risk of disaster after external funding has ended or support is transferred to new target areas. The strategy will show the outputs and outcomes of the Safe Schools project that need to be maintained through, for example, the use

of in kind and donated services as well as mobilization of volunteers for community projects.

If necessary, the strategy will make clear how much follow-on assistance the project is willing to provide, such as intermittent technical support (including sector adviser visits), or supplementary financial support to enhance the prospects for sustainability and to consolidate achievements. And although a project may only be intended as a 'short-term support system', there is still a need to build up support from local

resources and financial management systems. During implementation, planners should consider strategies for reducing dependency on donor funds and short-term projects. This would begin with setting targets for alternative source revenue raising and managing the project to achieve those targets. Also, for optimum use of any financing mechanism, first it is necessary to train key staff in sound financial planning, accountability, management and fundraising.

You may also consider training your staff and partners on fundraising and resource mobilization according to these minimum standards:

- Resource mobilization, definition and outline;
- Types of resources and resource providers;
- Mechanisms of resource mobilization;
- Discussion and analysis, case studies and 'Public-Private Partnership' (PPP) models;
- How to develop a resource mobilization and sustainability plan;

- What elements make a good resource mobilization and sustainability plan;
- Analysis of factors that motivate resource providers;
- Gaps between resource mobilization and strategy planning;
- Donor priority areas of investment and mapping;
- Effective communication with donors;
- Proposal writing; and
- Action plan of resource mobilization.

Useful resource mobilization guides provide a collection of information and activities that can help your projects and local organisations gain financial sustainability by:

- Planning resource mobilization in a strategic, mission-driven rather than donor-driven manner;
- Building communications skills;
- Designing, implementing and monitoring resource mobilization activities; and
- Learning from others' experiences.



Community/school based resource mobilization guideline on DRR in development

UNESCO is currently planning to draft a short community/school based resource mobilization guideline on DRR. It is expected that a first draft outline of this material be ready by June 2015 and shared for input with the Asian Pacific Coalition for School Safety. The Guideline will be practical and easy to use, and will allow community and schools to identify in cash and in kind internal or external sources of funding to support local Safe Schools interventions.

Step 6: Recurrent financing cost analysis

A recurrent financing cost analysis is included in the project design and will feed into the future exit/phase-out strategy (see “Learning, transition period and exit strategy”) over a defined time period. Key considerations for this analysis are:

- Recurrent cost financing requirements for staffing, operational support, and asset maintenance, etc., are clearly identified in the design, including an analysis of expected financing source;
- Counterparts contributions are clearly identified;
- “User strategies” have been considered in the design based on willingness of communities, schools and parents to pay for Safe Schools initiatives;
- A phased approach to handing over operation and maintenance costs to local agencies within a realistic time frame is provided in the project design;
- Additional recurrent costs are kept to a necessary minimum in the project design; and
- Implementing partners accept the recurrent cost implications as being manageable and can describe how these will be met.



Example of cost effective activities:

In 2011, the International Federation of the Red Cross (IFRC) published its Guide on Public Awareness and Public Education for Disaster Risk Reduction’. Page 40 of the guide proposes a list of cost effective activities for scaling up public awareness raising interventions as per below

Method	Tips on how to scale up impact in a cost effective way
Disseminate all your tools freely	Make them easily discoverable online and available in multiple formats and languages.
Share costs	Invite private sector sponsors and local government to help print and distribute materials.
Use cascading models of training	First, instructor-trainers train trainers, then those trainers train more people, and so on. Each group in the chain needs to be capable and committed to reaching targets. This process undergoes quality monitoring.
Radio and television	Entertainment, public service announcements and news spots reach millions of people, but only for a few minutes at a time. Negotiate for public service airtime by finding win-win propositions for mass media outlets. Repetition of messages is essential.
E-learning	When well designed, this is proven to be as effective as classroom learning. People have 24/7 access and are not embarrassed by their mistakes. It is most useful when you face a shortage of skilled trainers or have limited funds. It reduces the need to travel, with associated environmental, cost and time benefits.
Billboards and banners	This approach conveys key messages to mass audiences. The quality must be excellent to make an impact, so learn from others and find out what works. Try advertising on public transport.

Method	Tips on how to scale up impact in a cost effective way
Sports matches, benefit concerts and telethons	At an event where lots of people are watching, you have a chance to popularize your issue and to give the impression that 'everyone is doing it'. Connect with champions willing to support your cause.
Piggybacking	Collaborate with other programmes; integrate and cut costs. Insert messages into public utility bills. Provide information in clinic waiting rooms. Ask for advertisements on website landing pages.
Use response and recovery	Promote disaster reduction education at every opportunity, particularly when salience is high and people are seeking answers.

Step 7: Children's participation and inclusion during the project design phase

During the design phase of the project, specific research concerning children should be conducted. During this exercise, children themselves participate in prioritizing the issues that they want to work on and they help decide on an action plan to address the problem.

Children's participation in research is important because it:

- Increases their sense of ownership of a project by enabling them to research the issues that are important to them;
- Affirms their right to express themselves, to be heard and to be listened to;
- Develops their abilities to analyse information;
- Gives them confidence and independence;
- Changes the way adults view children;
- Changes the relationship between adults and children;
- Improves the quality of the research results because child researchers can access information that adult researchers cannot; and
- Helps develop better Safe Schools policies and programmes for children.

Inclusion of vulnerable groups (out-of-school children, gender, disability, ethnicity) in planning

An education and DRR Safe Schools programme operates at multiple levels. It addresses infrastructure, policy, community involvement and capacity building of multiple actors. The involvement or inclusion of vulnerable groups is often viewed as an additional layer to an already challenging programming context. People with a variety of functional needs and access concerns are too often overlooked and denied the time or space needed to vocalize their specific needs and requirements. When projects do take into account vulnerabilities, they may fail to build in the costs associated with meeting everyone's needs. It might be that a ramp needs to be built or an audio program put in place for visually impaired children. Since every child has the right to safety, survival, education and participation, these items need to be factored into plans and budgets. Equal access to the learning facilities is expected before, during and after a disaster event.

Examples of activities to consider in the design of an inclusive Safe Schools action plan for all children:

Early warning systems

- Inclusion of vulnerable group multi-sensory warnings: Visual and auditory;
- Accessible training modules (audio for blind, sign language for deaf, visual for cognitively impaired);
- DRR education activities at special schools and residential institutions;
- Disaggregated indicator data by gender, disability and other excluded groups;
- Appropriate EMIS provides information on location of groups of vulnerable children;
- Include plans for safe evacuation of children with physical disabilities;
- During the development of risk and resource mapping with communities, households with elders and people with disabilities should be clearly identified and marked;
- Set up community support networks to assist people with both physical and mental disabilities during evacuations; and
- Ensure that women and girls actively participate during the process;

Preparedness

- Curricular and IEC materials: emphasis on audio and video, and visually oriented materials;
 - Multi-lingual versions of materials;
 - Use of sign language and Braille where needed;
 - Older students help younger students.
- Appropriate infrastructure for all needs; and
- Establish partnerships with local organisations (e.g., organisations for disabled people).

Disaster mitigation

- Consultation with marginalized and vulnerable groups when developing mitigation guidelines;
- Gender analysis conducted before implementation of activity;
- Guidelines/codes/policy/practices have taken into account needs of all students, teachers and staff;
- Construction takes into account needs of all those who will access learning facilities: wheelchair access, visual/hearing impairments; and
- Alternative methods of activity delivery.

Source: Practitioner Guidelines on the Integration of Disaster Risk Reduction and Climate Change adaptation into Sector based Programmes, Education and Child Protection, Save the Children, November 2013



Examples of disability friendly Safe Schools projects:

In 2014, Plan International commissioned regional research in Nepal and Vietnam that aimed to strengthen the disability inclusion of future Safe Schools programming in Vietnam, Nepal and other countries. The research analysed present interventions and provided tools/guidelines to improve future projects.

In Nepal, the Safe Schools project has hired special language teachers and interpreters to convey messages on DRR knowledge and skills to hearing impairment children attending a specialized school. The children helped produce an IEC magazine on the inclusive approach of DRR. They also equally contributed to the development of a curriculum on DRR at the district level. As in all other schools, DRM committees were established with the strong involvement of children with disabilities, representing 35% of committee membership. The school has also organised 'duck-cover-hold' exercises and drills in 'safe exit and evacuation to safe havens with students, as called for in their school DRM plan.





One key result of the work conducted in this school was that a student scored the first position in an evaluation of First Aid training that involved non-disabled children.

In Indonesia, most of the schools supported by Plan made infrastructure provisions for children with disabilities in the schools such as constructing ramps and modifying of toilets. Yet, as measures are required in the wider communities to make sure that the children with special needs - physically and mentally - can come to the schools to benefit from the facilities, the scope of inclusiveness efforts still needs to be broadened beyond just schools in collaboration with other actors at various levels.

Step 8: Inclusion of sustainability in the Safe Schools project 'log frame'

The Logical Framework Approach (LFA) is an effective planning tool for designing, implementing and evaluating Safe Schools projects. It is an equally useful tool for incorporating sustainability issues into the project concept. In this way, accountability for working toward sustainability throughout the process can be documented and appraisal of the extent to which the design and implementation process is promoting sustainability can occur. Benchmarks and verifiable indicators will be visible in the links between the stated project purpose, the outputs and inputs for the Safe Schools project, and the concrete, quantified indicators. At each level, from the more general purpose to the most specific project activities, it is recommended to incorporate at least one benchmark for achieving benefit sustainability by the end of the project and then define verifiable indicators for each of these benchmarks.

Monitoring and evaluation (M&E) activities are conducted in relation to stated goals and objectives. If the project declares merely 'life-of-project' outputs or an end-of-project status in explicit goals and objectives, then monitoring and evaluation systems will be designed to assess progress toward those objectives. Alternatively, if sustainability is a stated project objective, monitoring and reporting on progress toward sustainability is more likely to occur.

To include sustainability, objectives should include a 'view of the future' for what will occur after the project succeeds in accomplishing its intended purpose. Below is an example of a simplified Safe Schools project log frame that includes sustainability components.

Benchmark statements	Indicator statements
<p>Objective: Children in most-at-risk communities have access to safer education on a sustainable basis through duty bearers minimizing the impact of disasters on their right to quality education.</p>	<p>By the completion of the project, schools are safer and duty bearers are continuing to implement Safe Schools interventions through various funding sources and mechanisms.</p>

Benchmark statements	Indicator statements
<p>Results:</p> <ul style="list-style-type: none"> • A Safe Schools model is established, promoted and implemented in target countries by advocating policies, regulations and guidelines at all decision making levels and cost recovery mechanisms are in place; • The participation of children in the local and national process of establishing Safe Schools in the target countries is enhanced; and • Ministry/Department of Education, local authorities and CSOs develop, implement, monitor, evaluate, and are equipped with long term plans to sustain DRR measures at school level. <p>Examples of activities related to integration of sustainability</p> <ul style="list-style-type: none"> • Support for development of a joint advocacy strategy to address gaps in the five sustainability factors. (advocating for more human capacity and financial resources for Safer Schools in the country) • Training for Safe Schools counterparts in using mentoring approaches; including on-the-job training. 	<p>Safe Schools guidelines and framework have been approved by the MoE and fundraising strategy and resource mobilization plans are available to sustain the project at sub-national level.</p> <p>Children effectively participate in the design, implementation and monitoring of the initiative and continue participating in school management and DRM committees after the project ends.</p> <p>All project schools have a Safe Schools plan that includes a fundraising strategy and resource mobilization plan to sustain DRR at local level.</p>

Step 9: The phase-out/exit strategy

Program and project designs should include a strategy for the phasing out of Plan International support and for the uptake of management and financing responsibilities by the appropriate stakeholders. The phase-out/exit strategy clearly spells out how the partners will be likely to continue the flow of benefits after the project ends (well led, with adequate and trained staff, sufficient budget and equipment and for which activities and benefits); Counterparts should be properly prepared for taking over financial management and technical management.

The strategy should then be further refined and detailed as implementation proceeds. A phase-out strategy might include:

- A phased use of Plan International staff based on an analysis of local operational and absorptive capacity (as described in these guidelines);

- Changing roles of Plan International's technical advisers over time from executing to supporting;
- A phased approach to funding local costs (declining over time);
- A clear training/skills development strategy;
- The option of on-going technical and financial support after the main period of funding has been completed (through a fundraising strategy and funds mobilization plan); and
- Establishment of long term institutional linkages to better anchor/embed the project in the formal education system.

Phase-out strategies should be prepared in a participatory way with the key project stakeholders, and agreement reached (as appropriate) with national, provincial and community/school level partners. Guiding principles for the formulation and management of such strategies are summarized in the table below:

Key issues	Guiding principles
Timing and process of formulation	<p>A phase-out strategy should be incorporated into the original design document and described as part of the overall sustainability strategy. The overall duration of the project will have a determining influence over the phase-out strategy particularly if the project has many different cycles of funding. Longer planning perspectives (more than the standard 3 to 5 years) are often required, particularly for complex programmes. Phase-out may also be uneven with some components being under local responsibilities sooner than others.</p> <p>Smooth phase-out is related to stakeholder ownership and capacity, therefore, early stakeholder involvement in the design, the determination of needs and implementation (including decision making) is important.</p>
Content and focus	<p>The specific content and focus of the strategy will depend on the individual program or project scope and objectives. Key generic elements are likely to include the following:</p> <ul style="list-style-type: none"> • Reference to the Plan International Country strategy papers and long term Safe Schools strategy in the region and locally; • Management roles and responsibilities: The responsibilities of the counterparts should increase while Plan International staff are phased out over the course of the project. This assumes that the counterparts have these abilities and are given professional roles in the project in line with their skills. The final year of the project may see minimal input from the project technical advisers or Plan International staff in direct operation and management as their role shifts to one of consultation and support. Technical advisers should demonstrate collaborative work and mentoring skills; • Training: Training is an important element of phase-out and must not only be technical (e.g., on how to implement a Safe Schools project using the Guidelines). It should also include management and planning skills, coordination with other bodies, analysis and problem solving, monitoring, training needs analysis and the training of trainers. Training materials should be in the local language and should be left behind once the project ends; • Finance: Recurrent costs that are met by the donor during implementation must continue to sustain benefits but should be phased out over time with the stakeholders taking on responsibility for meeting these costs (through, for example, the use of a fundraising strategies and resource mobilization plans as described in these guidelines); and • Asset maintenance: Equipment and asset maintenance procedures need to be in place before project completion. But introducing a culture of maintenance requires time and planning in some contexts as well. Therefore, this may require some level of intervention post project including follow-up visits by Plan International staff.
On-going management	<ul style="list-style-type: none"> • Annual plans: Phase-out strategies need to be refined over time, often developing a more intensive focus in the latter phases of the project. The annual planning process could therefore be the appropriate mechanism by which phase-out strategies are regularly reviewed and updated; • Technical advisory groups or school management committees: Where used, their terms of reference (TORs) could include reviewing and reporting progress in implementing the phase-out strategy and making recommendations for further action required; and • Midterm reviews (MTRs): MTRs are an important time in the life of a project to discuss sustainability issues and examine the level of implementation of the phase-out strategy.



Lessons learned on exit strategies from the Tsunami Global Lessons Learned

You can find useful lessons learned on the implementation of exit strategies on page 145 of the Disaster Recovery Toolkit, Tsunami Global Lessons Learned Project - Asian Disaster Preparedness Centre (ADPC).

3.3 PROJECT

IMPLEMENTATION

During the project implementation, agreed resources are used to achieve the project purpose (the target group(s) receive the planned benefits) and the wider, overall objectives according to the logical framework. This progress is assessed (monitoring) to enable adjustment to changing circumstances. At the end of implementation, a decision should be taken to close or extend the project.

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Supportive institutional environment	How does the project contribute to build a supportive institutional and operational environment for Safe Schools in the country?	<p>Step 1: Develop a joint advocacy strategy with objectives and messages related to call for more human resource capacity, financial resources and highlighted participation of children.</p> <p>Step 2: Safe Schools guidelines and checklist include points related to the five sustainability factors. There is concrete evidence of materials produced by the project to advance the operational framework of the Safe Schools agenda in the country.</p>	<p>Advocacy strategy.</p> <p>Inclusion of sustainability factors in Safe Schools guidelines.</p>	<p>Read these useful guides to help you design your advocacy strategy:</p> <p>A practical guide for advocacy in DRR-Building safer communities in South Asia. IFRC 2009 http://www.preventionweb.net/files/16348_advocacybookfullfinalfor-printng.pdf</p> <p>Guidebook on Advocacy for Integrating community based disaster risk management (CBDRM) into Local Government Policy and Programming. ADPC 2006. http://www.adpc.net/pdrsea/pubs/advocacyfull.pdf</p> <p>Go to Step 2 to see an example of inclusion of sustainability factors into Safe Schools guidelines in Nepal.</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Commitment and ownership	How does the project ensure ownership and participation of duty bearers through collaborative work with government institutions and CSOs?	Step 3: Include sustainability issues in the Memorandum of Understanding (MoU) with the partners. Other important steps to build commitment and ownership: <ul style="list-style-type: none"> • If feasible, locate Plan International staff and counterparts in the same office with equal access to similar levels of operational resources; • Use mentoring approaches and on-the-job training with counterparts; • Discuss sustainability issues during participatory implementation strategies, annual review and planning workshops; • Support communities/school management groups/committees and involve Red Cross volunteers; • Provide beneficiaries with access to on-going information dissemination and awareness raising activities about the project that are culturally relevant and gender sensitive; and • Safe Schools DRM plans are formally approved by the school and district education offices. 	MoU with the partners.	See Step 3 to for important points to consider when including sustainability issues in an MoU with partners.
Institutional and local capacity	Is organisational structure appropriate? Which crosscutting and non-technical training topics are being taught?	Steps to develop institutional and local capacity: <ul style="list-style-type: none"> • Plan International staff work with counterparts who are in existing line positions rather than in newly created 'project' positions; • Training is related to the three main technical pillars of the Safe Schools framework, but also includes topics related to cross cutting issues such as gender, inclusivity, project management, coordination, leadership and resource mobilization; and • A TOT cascade approach is implemented. 		
Economic and financial aspects	Is the project implementing a sustainable financial strategy that also involves the private sector (if relevant) and possible in kind and in cash support.	Step 4: School disaster management plans are costed and include various possible sources of funding for the proposed activities. Fundraising strategies, alternative resource identification and generation have been identified and are being used. Project activities are co-funded by external sources and local sources of funds. The project has set up budgeting and accounting systems appropriate for the local context or for local financial inputs.	Costed school plans (a plan that shows the costs of each activity). Fundraising strategies.	See Step 4 for an example of a template to include activities related to a school disaster risk management plan as well as their costs and the source of funds. Costs and source of funds depend on the local context. http://siteresources.worldbank.org/EXTDISASTER/Resources/8308420-1357776325692/Short-Note-4_Budget-Mobilization-and-Natural-Disaster-Fund_04Nov2013.pdf

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Genuine and effective participation	How do teachers, parents and children participate in the implementation of the Safe Schools project?	<p>Step 5: School principals, teachers, parents and children are members of the board and sub-committees of the school DRR committees and participate meaningfully.</p> <p>Children meaningfully participate in the development and implementation of school DRR plans.</p> <p>Step 6: Feedback mechanisms capture views of beneficiaries.</p>	<p>Children's participation during implementation.</p> <p>Feedback mechanisms.</p>	<p>Child-centred DRR - building resilience through participation. Lessons from Plan International - 2010 http://www.planuk.org/assets/Documents/pdf/planuk_drr_building-resilience-through-participation.pdf</p> <p>Tanner, T et al (2009) 'Children's multiple modes of participation in community based disaster risk reduction and adaptation to climate change' in Participatory Learning and Action http://pubs.iied.org/pdfs/G02813.pdf</p> <p>Disaster Risk Reduction in School Curriculum: Case Studies from Thirty Countries. Geneva: UNICEF/UNESCO http://www.unicef.org/education/files/DRRinCurricula-Mapping30countries-FINAL.pdf</p> <p>Children in disasters-Games and guidelines to engage youth in risk reduction- IFRC http://www.preventionweb.net/files/16726_16726childrenindisasters-gamesandgui.pdf</p>



Short description of main tools and references for mainstreaming sustainability during the project implementation phase

Step 1: Advocacy strategy

The principles underpinning Plan's Safe Schools programming are informed by a child-rights based approach, thus advocacy is a key element of Plan International's 'Safe Schools programmes. Plan works with, and on behalf of, children in advocating to influence duty bearers and public opinion on Safe Schools

policies, and on monitoring their implementation at all levels. Plan advocates for dialogue between the education and disaster risk management sectors in order to support Safe Schools programming. Advocacy activities thus aim to support and hold accountable duty bearers to fulfil children's rights to survival,

protection and education in the context of disasters and as such contribute considerably to sustainability issues for safer school programmes.

For this to happen, Plan works in partnership at all levels using evidence for effective advocacy on risk reduction, particularly at the global level, through the Children in a Changing Climate coalition and its regional arms, the Global Alliance for Disaster Risk Reduction and Resilience in the Education Sector (GADRRRES). Plan International has also established relationships with the Asia Pacific Coalition for School Safety (APCSS) and is leading the consortium on the ASEAN Safe Schools Initiative (ASSI).

ASSI encompasses many of the five sustainability factors, including: (1) increase funding, tools, local expertise and guidance for Safe Schools initiatives in the ASEAN region; and (2) improve capacity at the national level through inter-agency collaboration and the use of the CSSF.

The development of a joint advocacy strategy and action plan that include components of the five sustainability factors is therefore a critical element of Safe Schools programming.



Collaborative work on advocacy

As an example, in Vietnam, the Climate Change Working Group (CCWG) and the Disaster Risk Management Working Group (DMWG), two civil society information sharing and coordination forums, came together to develop their joint advocacy strategy through a two day workshop with the following agenda:

Day 1: To agree on the priority focus areas and objectives for joint CCWG/DMWG advocacy. Day 1 included presentations of network capacity and policy analysis on gaps and opportunities, and discussion on the focus areas and priorities for advocacy.

Day 2: To develop and agree on strategies for achieving the objectives, including target audiences, key actions and coordination mechanisms and M&E indicators. On Day 2, the focus was on the development of the action plan.

<http://www.ngocentre.org.vn/event/joint-advocacy-workshop-78-june-2011>

Step 2: Inclusion of sustainability into Safe Schools guidelines

Safe Schools guidelines and Safe Schools checklists developed by Plan International are excellent resources for integrating considerations related to the five sustainability factors.



An example of integration of sustainability in Safe Schools guidelines:

Plan International in Nepal has included the following points in their Safe Schools guidelines:

- Train teachers in the development of an evacuation plan, emergency response, first aid, fire Safety, and search and rescue to ensure that School Disaster Management Plans (SDMPs) will be sustainable;
- Provide technical education on Safe Schools construction and maintenance to local builders (including masons) and construction firms to ensure that DRR initiatives are sustained in the community;
- Organise periodic meetings of education stakeholders to educate them about SDMPs using audio and visual presentations to create an environment conducive to resource generation and management;
- Safe Schools mitigation plans should be aligned with school improvement plans for resource management for periodic operation and maintenance;
- No initiative to mainstream DRR in school curricula has yet been taken and few policies have been amended to address the new context. These policies must be dynamic and, for example, must include new provisions to encourage community based, low-cost school construction with the mobilization of local resources;
- Generate internal and external resources and prepare policy guidelines to execute SDMPs; and
- School Safety minimum standards should be funded by government; community; school management committees; political/elected officials, local bodies and corporate contributions.

Step 3: MOUs with the partners

Given the critical importance of stakeholder contributions for achieving sustainable benefits, MOUs remain key documents in formalizing partner commitment for sustaining benefits after a project ends. An MOU (and the design document) should include a complete financing plan and responsibility table for the entire programme or project up to the achievement of the log frame purpose or outcome. This must include how the partner proposes to allocate recurrent costs for maintaining assets and skills.

An MOU should define: (i) the objectives of the programme or project; (ii) the contributions of both partners and of Plan International (financial and in kind); (iii)

mechanisms for providing and disbursing programme/project funds; (iv) the conditions under which Plan International personnel are working in-country; (v) coordination mechanisms; and (vi) respective responsibilities for M&E.

The MOU should also be revisited on a regular basis to determine if mutual obligations are being met. This could be done on an annual basis through project coordination committee (PCC) meetings and the results of this review of compliance should be included in the annual plan. This table provides a quick checklist of key issues that (most) MOUs may need to address to achieve sustainability benefits.

Key issues	Key points to be addressed in M.O.U.s
Staffing	<ul style="list-style-type: none"> • The number and designation of staff who will directly contribute to the management of the project (including both Plan International and partner staff); • The use of multiple counterparts and how issues of staff turnover are to be managed; • The source of funding for these staff and the estimated costs both during the period of Plan International support and beyond; and • The time period for the phasing out of Plan International support and the uptake by relevant stakeholders.
Recurrent operational activities	<p>The source of funding and estimated operating cost of supporting 'new activities' introduced through a Safe Schools project; which will need to be continued after Plan International funding is completed if outcomes are to be sustained. Examples may include costs of continuing to:</p> <ul style="list-style-type: none"> • Run new in service training programmes or refresher trainings; • Deliver an expanded Safe Schools programme after the pilot phase; • Supply any additional materials or equipment (e.g., small emergency preparedness kits to schools); • Matching any recurrent costs with a realistic assessment of ability to contribute is essential; and • Review and update any operational procedures and policies. <p>The expected timeline for phasing out donor support should also be described.</p>
Asset maintenance or replacement (e.g., small emergency preparedness kits for schools/communities)	<p>The source of funding and estimated cost of either maintaining or replacing assets provided by the project. Specific examples include:</p> <ul style="list-style-type: none"> • Replace computers and upgrade software on a three- year cycle; • Maintain the investment done on retrofitting the schools or replace emergency equipment provided; • Maintain and replace motorbikes/cars for supervision; and • Replenish supplies for first aid kits in schools. <p>The expected timeline for phasing out donor support should also be described</p>

Actions by Safe school component	By whom	Timescale	Expected outcome	Resources required (in cash or in kind)	Sources of funding
Safe Schools facilities					
1.					
2.					
School disaster management					
1.					
2.					
Risk reduction education					
1.					
2.					

Source: Based on the template from the Safe School guideline developed by Plan International, Live and learn and German Red Cross in Vietnam.



School DRM plan used as an advocacy tool to raise funds

In Nepal, the national government feels committed to financially support a project if there has been a local demand generated through a bottom-up approach from the communities/schools to the district level. A District Education Officer who has been convinced by the importance of replicating the Safe Schools initiative in his district has been proactive in galvanizing this local demand by pushing the headmasters of the schools to include a budget request for DRR in their yearly School Improvement Plan (SIP) as a precondition for receiving future funding allocations. This move will allow the allocation of future funds from the national and district budgets to implement DRR in schools.

Step 5: Participation during project implementation

Sufficient local level stakeholders should participate in Safe Schools implementation. Table 7 on pages 144-145 of the document, *Towards A Learning Culture of Safety and Resilience: Technical Guidance for Integrating Disaster Risk Reduction in the School Curriculum - UNICEF/UNESCO 2009*, can be used to guide discussion among key school stakeholders directed at identifying and determining respective roles and responsibilities in transforming the school into a DRR learning organisation. Roles and responsibilities for school management committees, school councils/boards of trustees, principals, district officials, teacher trainers, students, parent teachers associations, district and division officials are described in detail in the report.

While children are the most vulnerable group in disasters, they are also the best communicators for making a disaster-resilient environment. Children are very receptive to new knowledge about how to make themselves and future generations safer, and they are advocates and catalysts for safety in their homes and communities. They can be called agents of change because they can effectively alert their families, societies and schools about disasters. School authorities can take the lead role in planning and sustaining a culture of disaster safety in school environments with children's participation.

During project implementation, it is important to make sure that children take a role in the organisational aspects of the project and also in representing the project. Below are some roles that can be fulfilled by children:

- As analysers of risk and risk reduction activities;
- As designers and implementers of DRR interventions at the community level;
- As communicators of risks and risk management options, especially communications with parents, adults or those outside the community;
- As mobilizers of resources and action for community based resilience;
- As builders of social networks and capital; and
- As monitors of progress in implementing disaster reduction activities in line with the Hyogo Framework for Action and/or the Sendai Framework.

Below are some examples of effective participation of children in Safe Schools projects:

- School principals, teachers, parents and children are all active members of the board and sub- committees of the school DRR committees;
- Children meaningfully participate to the development and implementation of child-centred or child-led activities mentioned in the school DRR plan. This means that children can potentially be involved in, and participate in, all activities mentioned in the three pillars of the Safe Schools framework;
- Children design and use child friendly IEC materials made for a child audience;
- The Safe Schools guidelines and checklist are field tested with the children and children give their input for its improvement;
- Children represent the project whenever there is a donor or media visit; and
- Children speak about their problems and propose solutions during advocacy events organised at all levels (local, sub-national, national and international).

Participation will not be effective if certain children are marginalized. Below are some concrete activities to engage more proactively with marginalized children/ groups to ensure their full engagement and participation in Safe Schools initiatives³:

- Schools can give in-school children a facilitating role in inducing out-of-school children to come to school through forms of child-to-child contact and communication;
- Schools can invite ethnic minority leadership to join school support committees;
- Schools can hold joint classes on safety and DRR for out-of-school and in-school children in a community context away from the school. They can also offer community risk reduction workshops periodically for adult members of marginalized groups;
- Schools can offer contextually appropriate incentives to out-of-school children to encourage their school attendance. In Cambodia, schools that have meals programmes could link them with on-going school and community safety initiatives;
- Schools can introduce learning materials and learning occasions that highlight and give voice to ethnic minority and other marginalized groups, and that also focus on how they have traditionally reduced risk;
- Teachers can employ participatory teaching and child-to-child learning processes that give a sense of security to the minority or marginalized child so they are better able to relate and interact (for instance, use of pair or small group work to build confidence, leading, by stages, to work in larger groups);
- Schools can forge links between developing Safe Schools facilities and ensuring accessibility for those with disabilities;
- Teachers can give attention to incorporating self-esteem building courses into Safe Schools initiatives because improved self-esteem helps the marginalized and also fosters a mind set for proactive participation;
- As much as feasible, make bilingual teaching support available to also ensure access for children from ethnic minorities; and
- Make use of the Red Cross national societies network of Red Cross youth volunteers to reach out-of-school children.

Step 6: Feedback mechanisms

Feedback mechanisms are systems that aim to improve downward accountability, participation and community evaluation of (mainly) humanitarian aid projects. There have also been attempts to increase accountability mechanisms in development related projects. As identified by a review of current mechanism in place (<http://devinit.org/wp-content/uploads/2013/08/Beneficiary-feedback-mechanisms.pdf>) the real challenge is to ensure that feedback loops are closed and beneficiaries who have participated see changes as the result of their efforts.

Feedback mechanisms can also be seen as an avenue for genuine participation of project beneficiaries (children, youths and parents) during the implementation of Safe Schools projects. Below are some examples of their application.

³ Extracted from: Enhancing Child-centered Disaster Risk Reduction for Safe School: Insights from Cambodia, China and Indonesia. Commissioned by Plan Asia Regional Office Fumiyo Kagawa & David Selby Sustainability Frontiers 10 February 2013.



Community empowerment and feedback mechanisms

In recent years, the organisation of social audits has become compulsory for certain government offices in Nepal. Social audits are community consultations that are organised on an annual basis at the initiative of government institutions and schools to capture the voices and feedback of the community they serve. Thanks to the community based awareness-raising activities (of the Safe Schools project) delivered to the general public, there have been reported instances during social audit consultations where parents formally requested schools to secure funding for a proper retrofitting exercise to make their school safer against possible earthquakes.

In Pakistan, a complaint and response mechanism was piloted as part of the accountability principle of Plan International programming. An apex body made of Plan, CSOs (CSOs), school representatives and communities receives the issues raised by the communities. Most of the issues that originated from this feedback mechanism were less about the project implementation and mainly concerned with lack of commitment to Safe Schools among community members and teachers.

In April 2012, the World Bank Board of Executive Directors approved the creation of the Global Partnership for Social Accountability (GPSA). This new mechanism will scale up and support social accountability to beneficiary groups and CSOs.

The purpose behind the initiative is the improvement of service delivery, so beneficiary feedback and participation are central to the approach. In the long term, the GPSA aims to provide a global platform for knowledge exchange including best practices in measuring the impact of social accountability interventions.

Web link: <http://www.thegpsa.org/sa/gpsa-knowledge-platform>

The GPSA's list of social accountability activities and tools

Budget literacy campaigns
Independent budget analysis
Citizens' charters
Input or output expenditure tracking
Citizen report cards
Participatory budgeting or audits
Community contracting

Procurement monitoring
Community oversight
Public access to information legislation
Grievance redress mechanisms
User management committees
Independent budget analysis

3.4 PROJECT MONITORING AND EVALUATION (M&E)

Monitoring is an on-going process of observing, reflecting and responding to opportunities and challenges faced during the implementation phase of a project. It is a phase that promotes management, control and accountability. It also promotes learning and feedback into the process throughout the entire project cycle.

Evaluation is a process that systematically and objectively assesses the achievement of results and outcomes by examining relevance, efficiency, effectiveness, impact and sustainability of on-going and completed projects and programmes against expected or planned results.

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Supportive institutional environment	How does the project monitor changes in the institutional, legal and operational environment of the local, national and international contexts related to Safe Schools?	<p>Important steps in monitoring the environment for Safe Schools:</p> <ul style="list-style-type: none"> • Update the situation/policy analysis developed during the project identification phase regularly; and • Promote and track key signs/indicators that the project is being progressively institutionalized and scaled up. 		
Commitment and ownership	<p>How participatory and sustainable is the project's monitoring system and how is it 'owned' by the main partners?</p> <p>How does the project monitor the participation of the partners, their appropriation of the activities and their commitment to the achievement of the project results?</p>	<p>Step 1: The Safe Schools checklist is approved and used by the MoE/DoE for monitoring purposes.</p> <p>Step 2: If feasible, the project monitoring system is embedded into the Department of Education monitoring system.</p> <p>Participatory monitoring visits, events and review exercises are conducted with key stakeholders.</p> <p>Joint monitoring visits are organised between Plan International and partners, plus supervisors from MoE/DoE.</p>	<p>Integrating sustainability into the Safe Schools checklist.</p> <p>Project monitoring system embedded into the education system.</p>	<p>You can find useful information related to monitoring and evaluation of conflict and DRR in the context of the education sector on page 65, Chapter 4, of 'Integrating Conflict and Disaster Risk Reduction into Education Sector Planning. Draft- UNICEF and UNESCO- 2011' (www.iiep.unesco.org)</p>

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Institutional and local capacity	<p>How does the project monitor the level of KAP and technical capacity gained by the main partners and beneficiaries trained by the project?</p> <p>How does the project monitor the level of integration of the Safe Schools project into MoE/DoE programme and plans?</p>	<p>Step 3: A performance monitoring system is in place and uses pre- and post-test training assessment tools, supervisor observation checklist, and base line and end line surveys.</p> <p>Monitoring and reporting frameworks based on project log frame look beyond the contracted activity and output levels, and incorporate regular assessment of the movement toward achieving sustainable outcomes.</p>	Monitoring change in Knowledge, Attitudes and Practice (KAP).	Plan Asia Regional Office and ADPC developed a KAP guide in 2014. The aim of this guide is to present the different steps and rules for the preparation and implementation of KAP studies for Plan International's Safe Schools projects.
Economic and financial aspects	How the project tracks changes in government/ partners/ communities prioritization and financial/in kind allocation for Safe Schools initiatives especially for those who are disadvantaged or marginalized?	<p>Step 4: Evidence based information on financial aspects of Safe Schools is collected for advocacy through budget advocacy</p> <p>In 2013 in Vietnam, the INGO Development Workshop France (DWF) conducted a budget tracking survey on financing DRR at local levels. The rationale behind the study was that adequate financial resources are a crucial and central issue if one wants to increase the capacities and reduce the vulnerabilities of local communities who are at the forefront of natural hazards. The study aimed to contribute to the collection of evidence based information for advocacy in the area of DRR financing in Vietnam. The main finding of the survey was that there were no clear, pre-identified budget lines and earmarked funds specifically for DRR interventions even though DRR related interventions were taking place in the country. Access to the full study is available by emailing dwf@dwf.org or guillaume.chantry@dwf.org.</p> <p>The consolidated report by UNESCO incorporates useful elements on the status of costing and financing for conflict and DRR activities in six countries in the Asia-Pacific region⁴. The country level self-assessment included the following questions:</p> <ol style="list-style-type: none"> 1. Does the education plan contain costing and financing for conflict activities (C/DRR)? 2. Has there been an analysis of the costs of mitigating or responding to conflicts or disasters as part of the overall budget framework? 3. Are C/DRR and any emergency related activities costed and included in the national education sector budget? 4. Is there other national funding (e.g., within the President's Office or through a national disaster management organisation) that the MoE can draw upon in an emergency? 5. Do emergency prone regions have specific funds available for emergency preparedness and response? 6. Does MoE provide funds to schools for on-going safety and maintenance? 7. Does MoE provide specific funds to schools for C/DRR activities? <p>Check out this simple tool on how to monitor an advocacy program: Candidate Outcome Indicators: Advocacy Program at http://hcfgkc.org/sites/default/files/documents/hcf-measuring-advocacy.pdf</p>		

⁴ Self-Monitoring and Reporting Mechanism on Education Policies and Plans for Conflict and Disaster Risk Reduction for Sustainable Development in 6 countries: Bangladesh, Bhutan, Lao PDR, Nepal, Philippines, and Sri Lanka.

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
	Is the project likely to receive a sufficient flow of funds after donor assistance ends (either generated by the project or otherwise committed by the government or other stakeholders) to cover operating costs, maintenance and depreciation?	Step 5: If possible, undertake a private sector mapping exercise of on-going or planned interventions in DRM and Safe Schools to gauge their interest for Safe Schools initiatives.		<p>Engagement with the private sector:</p> <p>In 2011, ADPC conducted a mapping exercise of DRM initiatives in Southeast Asia, funded by the private sector, called 'Promoting public private partnership in DRR - linking private sector to disaster risks, government initiatives and community resilience'. This 'approach paper' was conducted with the purpose of reviewing and studying models of public-private partnership in the region. A detailed case study was also done in Vietnam.</p> <p>Through the Joint Advocacy Network Initiative (JANI), ADPC has been instrumental in facilitating the linkages between the Ministry of Agriculture and Rural Development (MARD), in charge of the design and implementation of national CBDRM and the corporate sector in Vietnam. After a series of high level workshops and forums, a formal MoU was signed between the Ministry and representatives from the private sector to support the implementation and funding of a national CBDRM programme. The document is available by contacting Mr Aslam Perwaiz (email: aslam@adpc.net), Head of Department at Asian Disaster Preparedness Centre, in charge of promoting private sector engagement in disaster risk reduction.</p>
Genuine and effective participation	<p>Do monitoring systems (framework, tools and plans) monitor the effective participation of children in the Safe Schools projects?</p> <p>How did teachers, parents and children participate to monitoring and evaluation exercises for the Safe Schools projects?</p>	<p>Step 6: Ensure that children have an active role in representing the project during monitoring, project evaluation and/or donor visits.</p> <p>Track growing documented evidence of increased demand from the communities and schools for safer schools.</p>	Genuine participation of children during monitoring and evaluation exercises.	<p>Toolkit for evaluating and monitoring children's participation - Save the Children 2014 http://www.savethechildren.org.uk/resources/online-library/toolkit-monitoring-and-evaluating-childrens-participation</p>
Crosscutting points about evaluation and sustainability	How well does the project evaluate the level of sustainability of Safe Schools initiatives after the project ends?	<p>Step 7: Conduct ex post project evaluation</p> <p>Include criteria on sustainability in evaluation TORs.</p> <p>Use this checklist for the evaluation.</p>	Ex post evaluation.	<p>See the Japan International Cooperation Agency (JICA) guidelines on ex post and ex ante evaluations. Page 80 provides a list of key questions related to ex post evaluation. http://www.jica.go.jp/english/our_work/evaluation/tech_and_grant/guides/pdf/guideline03-02.pdf</p>



Short description of main tools and references to mainstreaming sustainability during the monitoring and evaluation phase of the project

Step 1: Integrating sustainability aspects into the Safe Schools checklist

Educational facilities play a key role in the ability of school officials to respond to emergencies. Most school emergencies are due to natural hazards such as tornadoes, hurricanes, floods, severe winds and earthquakes. However, additional threats can include weapons, drugs, student bullying, biological terrorism and deteriorating educational facilities. A primary objective for school officials is to purposefully sustain safe, secure, and healthy learning environments for all students. Thus, school officials need assessment tools to properly prepare and mitigate hazardous situations.

As part of its Safe Schools guidelines, Plan International has drafted useful Safe Schools checklists for several countries. To implement a Safe Schools intervention, schools should first identify their own safety based on the Safe Schools checklist. This checklist is designed according to the three main pillars of the Safe Schools framework: Safe school management,

education on disaster risk in schools and construction and equipment to keep schools Safe during disasters. The checklist provides tools for schools to assess the current situation for creating a safe school. After completing this checklist, the school management board will have noticed what has been completed, and what should be completed to standardize the school to become safer.

The Safe Schools checklist can also be used as a monitoring tool and is an opportunity to integrate sustainability related considerations, such as the provision, funding and enforcement of a school based DRM plan. Ideally, the checklist is completed during joint monitoring visits with Plan International project staff and educational supervisors from the department of Education. Below is an example from Plan International Nepal of how financial consideration is phrased in the checklist.

Item 21 of the checklist: Provision and enforcement of School DRM plans	Score	Value
Unaware of SDMP and evacuation plan		0.0
SDMP and evaluation plan are available but not functional because of resource constraints		0.5
SDMP and evacuation plan are available and translated into action		1.0
Total Score		

Step 2: Embedding Safe Schools monitoring systems in the education sector

Mapping supported by UNESCO, on integration of Conflict and DRR into the education sector, was conducted in six countries in the Asia-Pacific region. This shows the need to strengthen information sharing and data collection, and to better incorporate monitoring of DRR activities into education sector management information systems through the development of specific indicators. The following concrete activities can be implemented to ensure that the monitoring of Safe Schools interventions will actually continue after project intervention.

- Train education officers responsible for collecting and analysing data on understanding DRR issues, on undertaking school surveys or in developing data collection questionnaires. Support training on monitoring Safe Schools interventions in using a soon-to-be released global monitoring framework for Safe Schools, currently supported by Plan International;
- If feasible, embed the project monitoring system (monitoring framework, plans and data collection system) into the

formal ministry/department of education monitoring system;

- Integrate monitoring systems in EMIS. For instance, in the Philippines, DRR/CCA data is captured in the national EBEIS;
- Advocate for the formal endorsement of the Safe Schools guidelines and checklist as part of the regular monitoring tools used by educational supervisors;
- Organise joint monitoring visits between Plan International/partners and supervisors from the ministries/ departments of education during project implementation to ensure joint learning and to build trust and ownership of monitoring system and tools;
- Organise participatory monitoring visits and events, and review approaches with key stakeholders to evaluate and reconfirm their commitment to the Safe Schools initiative, as well as their intention to engage the necessary resources after the project ends (human and financial resources); and
- Finally, to avoid duplication of efforts, make sure that your assessment and monitoring of Safe Schools data is interoperable with EMIS for disaster management.

Step 3: Monitoring change through KAP

As described earlier in these guidelines, the institutional and technical capacities of the partner organisations are key sustainability factors in the success of a Safe Schools programme. For this reason, a performance monitoring system should be in place to follow-up and track the outcomes of capacity building activities through the regular use of tools that allow measurement of pre- and post-training knowledge of learners (pre- and post-test training assessment tools), that follow the effective implementation of the newly acquired skills and knowledge (through supervisors observation checklist), and, most importantly, that measure the

satisfaction level of the rights holders (parents and children) who benefited from the services through pre- and post-KAP surveys showing an increase.

Pre- and post-training assessments tools and forms are commonly used to assess acquisition of knowledge by teachers before and after training sessions take place. It is equally important to support the educational supervisors to conduct follow-up visits to measure actual implementation of the newly acquired knowledge and skills in the field by teachers. An observation checklist used by Safe Schools supervisors should be

developed in relation to the main skillset that teachers should know, to be able to deliver a proper Safe Schools programme in their schools. The general instructions would be that the supervisor/manager will complete the observation checklist each time s/he observes a teacher.

Scores given in this checklist should reflect what was actually observed, not just other opinions of the individual or his/her performance. At the end of the observation, the supervisor will review the checklist with the teacher to answer any questions and provide clarification and examples of how the teacher can improve his/her work. A copy of this form should be

given to the teacher and the original will be securely filed by the supervisor. Ideally, the use of these tools should be embedded in the regular monitoring routines of the supervisors of the formal education system.

Acquisition of KAP by children is the ultimate expected result of the capacity building activities. For this reason, KAP surveys should be organised at the beginning and at the end of the project to explore teachers and children's knowledge on disaster risks, disaster management and school safety, and should verify how this knowledge is translated (or not) into action.

Step 4: Budget tracking study/budget advocacy

To sustain a Safe Schools project after project end, a continuous flow of funding from government is a must. Research has shown that in most countries, few public decisions have a greater impact on people's lives than decisions about public spending. It is here that governments make fundamental choices about the quality of education that children will receive, the availability of health care to the poor, the course of development and about laying the groundwork for their national future. It is for that reason that it is vital for citizens and CSOs to be engaged in those decisions. That involvement rests on three fundamental tasks: getting access to budget information, understanding the implications of the choices involved, and, through advocacy, taking action to help shape those budget choices.



Global monitoring, evaluation and learning (MEL) framework on Safe Schools

In order to track and report on progress and promote accountability and learning in Plan's Safe Schools programming, Plan International will develop a global monitoring, evaluation and learning (MEL) framework in 2015. This will incorporate a set of common indicators for Plan's Safe Schools projects, and practical tools and processes for data collection and analysis at the country and global levels. At the global level, common indicators will allow for global level aggregation of the results of Plan's Safe Schools programming. This will enable the Safe Schools Global Program to track and report on progress and provide information that can be used for communications, advocacy and fundraising. At the field level, indicators and associated guidance will support the design and implementation of M&E systems for individual projects. Contact your regional office for more information.

“Advocacy” means many different things in different contexts. Here, when we talk about “budget advocacy” we mean a strategic approach to influence governments’ budget choices, aimed at achieving clear and specific outcomes e.g., safer people, less poverty, or improved governance in Safe Schools interventions. These are clearly examples of long-term objectives. Effective advocacy will build toward attaining them with small concrete steps, such as increased budget allocations and more solid oversight of how funds are spent.

Policy and budget advocacy seeks to intervene in decision making process in three fundamental ways:

- Changing policy: Based on analysis of the problems involved, advocates
- champion the creation of new laws, new public programmes or activities, or modifications to existing laws and programmes, etc.;

- Changing the decision making system: Advocates also turn their attention to the decision making system itself, by demanding transparency and access to information, secure opportunities for public involvement, and clearer oversight over how public funds and public programmes are managed; and
- Empowering people to make change: Equally if not more important, effective advocacy also involves empowering the people whose lives are impacted by public decisions to understand the issues involved and to be able to take action on their own behalf.

It is by paying attention to each of these three advocacy elements and by integrating them that civil society advocacy can have its greatest impact on what governments do and, in turn, how it impacts people’s lives.



Government accountability, budget transparency and access to information

In recent years, the International Budget Partnership has published a set of case studies of campaigns on issues of government accountability, budget transparency and access to information. See the following web link, which also explains how to conduct a budget tracking study. The methodology can easily be applied to a Safe Schools project.

<http://internationalbudget.org/budget-advocacy/>

Step 5: Engagement with the private sector

Aside from the private sector’s integral role in society and large financial resources, it also possesses a wide set of technical, logistical, managerial, training and communication skills that can be directed to disaster risk reduction projects and programmes. Thus, the impact that the private sector can have on reducing

risk could be much better invested in pre-disaster activities, which have a wider scope of opportunities for businesses than do post-disaster response and recovery. Broadly speaking, businesses can apply their core competencies to DRR, and more specifically to Safe Schools interventions, in two ways: (1) Services,

for example, determining risk and vulnerability through data analysis and providing geophysical data for early warning and detection of disaster; and (2) Products, for example, technology for early warning for communities and schools, low-energy use technologies and disaster mitigation structures. In addition to this, risk management and protection of jobs and supply chains is also a role that businesses should play in DRR.

Fundraising strategies for Safer Schools can also involve, or support, private sector participation, such as:

- Private sector groups have been consulted during design preparation and their role in implementation is clearly described;
- Local companies can donate goods and services to target groups;
- Support to the research and development costs of Safe Schools IEC materials that are beneficial to target groups;
- Training and management support services provided by local businesses free of charge; and
- Provision of appropriate credit facilities to communities affected by natural hazards.



Partnering with the private sector on Safe Schools

In Vietnam, UNESCO and Samsung have implemented a US\$ 1 million, two-year project to develop, pilot and distribute multimedia teacher-training materials on Education for Sustainable Development (ESD). The project involved piloting teacher-training materials in primary schools in coastal Hue, a region particularly hit by the adverse effects of climate change. Samsung also provided its technical expertise and knowhow for developing materials on ESD. By the end of the project, each of the participating pilot schools will have formulated a school DRR and climate change response plan in collaboration with the local community. Collaboration with national universities and other stakeholders is also planned.

Step 6: Genuine participation during monitoring and evaluation

Rights holders (teachers, parents and children) should participate to the monitoring and evaluation of Safe Schools projects. Children should be involved in monitoring and reviewing the progress a Safe Schools project is making toward the objectives and also to evaluate the impact of the project on their lives. Monitoring should be done continuously to make sure that the project is on track. Organised children's assemblies or councils such as the school based DRR committees can ensure monitoring takes

place. A monthly meeting to discuss progress can ensure that the activities are being carried out as planned. A review exercise with children's participation (for example every six months) should be performed occasionally to see whether each level of objectives in the logical framework leads to the next one and whether any changes need to be made to the project plans. An annual review process enables children to help develop the yearly plan of activities. They can also be asked to review the activities of the previous year.

Monitoring exercises should also monitor the effective participation of children in Safe Schools projects.



Experiences of children conducting M&E related activities

From Plan International in Cambodia: Children's Councils, present at every school, conducted monthly meetings to review progress and work plans on DRR, CCA, water, sanitation and hygiene (WASH) activities and child rights action plans. Children Councils also conducted peer-to-peer activities with other students, acting as teachers and drivers of change in their school communities.

Monitoring visits should verify that children are members and that they effectively and meaningfully participate to the design and functioning of school based disaster management committees, school DRR plans and Safe Schools activities. Save the Children has developed a booklet that provides a range of tools for use with different stakeholders, especially children and young people, to gather and analyse information to monitor and evaluate the scope, quality and outcomes of children's participation. It introduces core M&E tools, such as interviews, focus group discussions, observation techniques, surveys and stories of significant change. It also introduces participatory tools. There are also comments from the organisations that piloted the tools, describing how they worked in practice and their benefits in encouraging children to express their views freely.

Readers are encouraged to adapt the tools to the specific context in which they are working. Implementers should also make all efforts possible to actively involve girls and boys of different ages and backgrounds, including younger children and children with disabilities, working with school going and out-of-school children.

Step 7: Ex post evaluation

In addition to end-of-project evaluation, additional ex-post evaluations should be conducted six months or one year after project end. This type of evaluation verifies whether the outcomes that the project aimed for are continuing after a certain period of time. The results of these evaluations are used generally to feed back to similar Safe Schools projects in the planning phase or to the formulation of programmes at the macro level, for example, country programmes.

Ex post evaluations also include recommendations for the partner

organisation that is continuing the activities. This focuses mainly on two evaluation criteria, (1) "impact", which is expected to appear after a certain period of time after the end of the project, and (2) "sustainability", where evaluators look at whether the effect is continually produced after the end of operations.

Main evaluation questions common to ex post evaluations are, "Is the effect continuing without external support after the end of the cooperation?" and "Was a long term impact produced?" From the view of the five commonly used evaluation

criteria, “impact” and “sustainability” are the main criteria for this evaluation. The verification of efficiency and effectiveness was already completed in the final evaluation and by principle no verification of these is conducted in ex post evaluations.

To draft more concrete evaluation questions, evaluators can use the reports of the midterm and final evaluations. Because the sustainability prospects and impact forecasts are already examined, evaluators may obtain hints as to what is important to be investigated



M&E and children’s participation: Learning from ‘other sector’

World Vision’s Street and Working Children’s project in Myanmar conducted an evaluation that aimed to assess the impact of the program and to identify ways in which children and staff could improve it in the future. Until the evaluation, there was limited children’s participation in the project. The evaluation took the following steps:

- Election of the evaluation team: Children elected 16 of their number to be on the evaluation team;
- Initial meetings: Staff and children met to brainstorm a list of questions. Primary stakeholders were identified and meetings held with them;
- Questions: Questions were developed for each stakeholder group that focused on their specific motivations and interests;
- Choosing questions: From the lists, eight major questions were selected;
- Planning the interviews: The evaluation team planned the interviews in detail, deciding who would do what, how, where and when. The questions were grouped according to particular focus groups;
- Question guides: A guidebook was developed for the interviewers, to give them advice about time, participants, and note taking;
- Training: Children volunteered to be interviewers and were trained to facilitate focus groups;
- Implementation: The interview teams were formed, and schedules and question guides drawn up. Focus groups and interviews were carried out. Secondary information about the project was gathered from office records;
- Results: The evaluation team held a three-day workshop. Findings were presented in participatory and visual ways. A Strengths, Weaknesses, Opportunities and Threats analysis (SWOT) was done using the information from focus groups; and
- Recommendations: The workshop ended with key recommendations for the project including a step-by-step process to achieve some of them



Monitoring activities through community “reflexion” meetings to monitor activities

In Bangladesh recently, Safe Schools projects were evaluated by external consultants after completion, as is common. In addition, a few months after the project was completed, Plan organised “community reflexion” meetings through a “ceremonial” event with participation of schools and community members. During this event, and in line with Plan’s principles on Child-Centred Community Development, a participatory process of consultation with communities and schools was supported. To identify the degree of sustainability of the completed project, Plan used the ‘spider diagram tool’ and the ‘H’ methodology. Through community participation and increased ownership, community members were asked to identify the contributing factors for success or failure as well as the lessons learned and recommendations for improvement, (<http://www.kstoolkit.org/Spider+Diagrams>)



3.5 LEARNING TRANSITION AND EXIT

Reflection and learning exercises crosscutting the other phases of the project cycle. This is an important aspect, which ensures that learning points are well captured and documented for further reference during the next project cycle. Phase-out or exit strategies are tools that focus more particularly on the sustainability of the project and need to be integrated earlier in the overall project cycle through a collaborative approach with all stakeholders.

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Supportive institutional environment	<p>Did the project consolidate its achievements, document case studies and best practices (also on sustainability integration) and share these with the government and education/ DRM cluster at national and sub- national level?</p> <p>How have changes been institutionalized at different levels? What is the potential for scaling up the project?</p>	<p>Step 1: Collect and consolidate best practices.</p> <p>Examples of institutionalization or scale-up of the project results are documented.</p>	<p>Collecting best practices.</p>	<p>In Vietnam, the INGO, the Centre for International Studies and Cooperation (CECI) has produced interesting lessons learned on community resilience (including on education) in upland areas. You can access the reports at:</p> <p>http://www.ceci.ca/assets/Asia/Asia-Publications/Quyen-DRREIS-1.pdf</p> <p>http://www.ceci.ca/assets/Asia/Asia-Publications/CECI-Lessons-Learnt-Report-.pdf</p>
Commitment and ownership	<p>How much has the project supported the development of a long-term plan fully implemented by the partner?</p>	<p>Step 2: Design a phase-out or exit strategy.</p>	<p>Phase-out strategy.</p>	<p>See Tool 8 on for a handover strategy template on page 15 of the following web link: http://www.ifc.org/wps/wcm/connect/af05f38048855652b9acfb6a6515bb18/12014tools-.pdf?MOD=AJPERES&CACHEID=af05f38048855652b9acfb6a6515bb18</p>
Institutional and local capacity	<p>Are the project's partners and duty bearers sufficiently equipped with the necessary knowledge and skills to take over and continue the project after Plan International interventions?</p>	<p>Step 3: Counterparts, partners and school committees have been properly prepared for technically and managerially taking over the project.</p>	<p>Training is related to the three main technical pillars of the Safe Schools framework, but also includes topics related to crosscutting issues such as gender, inclusivity, project management, coordination, leadership and resource mobilization.</p>	

Sustainability factors	Guiding questions	Main steps to mainstreaming sustainability	Main tools 	References/link 
Economic and financial aspects	How much has the project supported the development of a fund raising/ resource mobilization plan to secure a regular flow of funding after the Safe Schools project ends?	Step 4: A fundraising strategy is jointly developed with project implementing agencies.	Fundraising strategy.	<p>Resource mobilization: a Practical Guide for Research and Community Based Organisations, 2nd edition - October 2010. Link to access the guide: http://www.idrc.ca/EN/Documents/Donor-Partnership-guide.pdf</p> <p>Resource mobilization facilitator guide - USAID - New Partners Initiative Technical Assistance (NuPITA) Project 2010 Link to access the guide: http://www.usaid.gov/sites/default/files/documents/1864/Resource-Mobilization-Module-Facilitators-Guide.pdf</p> <p>Toward Financial Self-reliance - A Handbook on Resource Mobilization for CSOs in the South – Trainer’s Manual, Richard Holloway. Link to access the guide: http://www.akdn.org/publications/akf_toolkit_manual.pdf</p>
Genuine and effective participation	How do we ensure that teachers, principals, parents and children participate meaningfully and effectively in the learning, transition and exit phases of the project?	Step 5: Learning exercises involve children who participate meaningfully through child-centred or child led exercises.	Documenting lessons learned with children.	<p>Children’s participation in the project cycle. Tearfund 2004 http://tilz.tearfund.org/~media/Files/TILZ/Publications/ROOTS/English/Child%20participation/Child_participation_E-%20section%204.pdf</p> <p>So You Want to Involve Children in Research? Save the Children 2004 http://www.savethechildren.org.uk/resources/online-library/so-you-want-involve-children-research</p> <p>So You Want to Consult with Children? A Toolkit of Good Practices, Save the Children, 2003 http://www.managingforimpact.org/resource/so-you-want-consult-children-toolkit-good-practice</p>



Short description of main tools and references to mainstreaming sustainability during the learning, transition and exit phases of the project

Step 1: Collection of best practices

Below is an example of how to write a lessons learned report to consolidate best practices for Safe Schools initiatives, including sustainability related issues for replication of the model. The whole report should not exceed 15 pages including annexes. The report can also be used at the end of the project to organise an information-sharing workshop.

Guiding questions for a lessons learned report	
Title	Give a very brief, catchy and attractive title for this report
Acronyms and abbreviations	Full expansion of acronyms and abbreviations used
Abstract/summary of the report	Give a brief description of the good practices (300 words max.) highlighting the innovative qualities and results achieved by the Safe Schools project/initiative
What has happened?	<ul style="list-style-type: none"> • What were its major goals and objectives? • What has been its impact?
What type of project/initiative is this?	<ul style="list-style-type: none"> • What are the concrete and verifiable results and/or outcomes? (Please mention why and how you measure participation of marginalized children, gender, inclusivity, acquisition of knowledge and skills) Provide any other relevant information
When was the project/initiative started?	<ul style="list-style-type: none"> • Is the project still under way? • If not, when was it completed? • Is a next phase currently planned?* Provide any other relevant information
Where was the project implemented?	<ul style="list-style-type: none"> • Where was the project/initiative implemented (country + village, town, district, province etc.)? Provide any other relevant information
Who was involved?	<ul style="list-style-type: none"> • How many people were targeted by the project and who were they? • What was the process at the beginning of the project to involve and select the beneficiaries? • Who implemented, funded, sponsored or supported the project/initiative? What was the contribution of the district, commune, Plan International, beneficiaries? • How many children, schools and teachers have been involved in the project? What percentage of the total participants were from the area? Provide any other relevant information
Why is this a good practice?	<ul style="list-style-type: none"> • What have been the key success/failure factors of this initiative? • What are the innovative elements and results? Provide any other relevant information
How was the project implemented?	<ul style="list-style-type: none"> • Which strategies and methods were used to implement the project? Provide any other relevant information

Guiding questions for a lessons learned report	
Lessons learned	<ul style="list-style-type: none"> • What have been the major challenges of this project/initiative and how were they overcome (if they were)?
What is (are) the key lesson(s) learned from this project?	<ul style="list-style-type: none"> • How to improve similar projects/initiatives in the future? • How many rights holders involved in the project are satisfied with the project outputs? How did you consult them to get their opinion? How many were consulted? • Has the project developed innovative, new and creative solutions to common problems? <p>Provide any other relevant information</p>
Potential for replication of the model How easy would it be to replicate this practice elsewhere?	<ul style="list-style-type: none"> • Who will be responsible to carry on the project after the completion of this first phase? How have the local authorities committed themselves to ensuring its sustainability? • Do the beneficiaries have enough skills and knowledge to continue or disseminate the model? Will they commit to sustained financial investments? • Without external funding support, how will the project continue? • How will the project be duplicated and extended to other households after completion of this first phase? • What is the link between the benefits of this project/initiative and the specific context of implementation? • How could the practice be replicated in a different context? <p>Provide any other relevant information</p>

Step 2: Celebrating and documenting lessons learned with the participation of children

A Safe Schools project should encourage children to document their own experiences and learning. Children know how to celebrate! A spirit of fun and playfulness should be a feature of all work with children. Adults tend to be more focused on the outputs and results, whereas children enjoy the process. Everyone wants a good result, and opportunities should be created to celebrate success and learn from mistakes. The following ideas and tools can be used with and by the children to capture and document learning from children themselves:

- Dance, song and handicrafts can be used by children to express the different activities they were involved in;
- Drawings, paintings and photographs can be displayed in the school and community.
- Sketches can be presented that show the strengths of the project and areas that need improvement;
- Write a newsletter with children that describes what has been achieved. For example, develop a 'wall journal' designed and written by the children. The paper can later be posted on walls in the school or around villages. (The newsletter can contain cartoons and articles.);
- Write a document outlining what has been learned about the interaction between children and teachers/adults;
- Encourage the children to document their own experience and learning. For example, ask them to record their own history and experiences in order to represent the true meaning of the Safe Schools project on their lives; and
- Develop participatory videos with children. (See examples below.)



Participatory videos with children

Plan international has produced many participatory videos with children about DRR and Climate Change. A specific booklet documents the participatory video methodology as an affordable and easy-to-use video tool enabling children and community members to record their experience and strengthen their own knowledge on disaster risks and climate change, as well as to increase their capacity to act on that knowledge and secure change.

You can find the booklet at the following link.

<http://www.preventionweb.net/english/professional/trainings-events/edu-materials/v.php?id=26509>

Examples of videos can also be found at:

- Water for My Village (Indonesia)
- T-Shelter Project by Plan Indonesia in West Sumatra
- Active Children Participation in Monitoring of T-Shelter Project by Plan Indonesia
- Flood: A Menace to Education (Philippines)



04

**ADDITIONAL CASE
STUDIES ON
SUSTAINABILITY
OF SAFE SCHOOLS
INTERVENTIONS**

Below are additional case studies arranged by sustainability factor.

4.1. CASE STUDIES ON ECONOMIC AND FINANCIAL SUSTAINABILITY

In **Indonesia**, the Gotong Royong, or the Indonesian mutual assistance system, in which community activities are completed collaboratively and communally, provided structural changes in the project schools including: more safe desks and chairs that include blunted corners and edges; disaster prepared classroom doors; landslide-retaining embankments; improved sanitation and disaster-prepared facilities.

A positive example of a cost effective strategy involving several stakeholders took place at Mahendra Higher Secondary School Bhimphedi in **Nepal**. The VCA exercise conducted by the project had identified that the school was at risk of slipping toward a nearby riverbed. The school management committee then mobilized workers from the community and was able to fill in land behind the school with stones and dirt. The value of this in kind support has been estimated at USD 10,000. In addition, at the same school, the project conducted a structural vulnerability assessment that was later used by the school committee to successfully advocate to the district authorities to register the school on the list of the five eligible schools in the district to benefit from retrofitting in the coming year. The district engineer has already visited the school and the work will be funded by the Flagship 1 of the national Nepal Risk Reduction Consortium (NRRC) programme funded by the Asian Development Bank (ADB).

In **Nepal**, in one school supported by Plan International, secondary duty bearers such as the communities and the parents have used funds collected during a religious event to make their school safer. They had raised USD 27,000 during “the religious week” and from this amount allocated USD 15,000 to their school to conduct DRR related activities after the project ended.

In one school in **Bangladesh**, as part of the improvement of the structural aspects of the school facilities (Pillar 1 of the Comprehensive Safe School Framework), Plan International succeeded in leveraging 20% of the costs of a renovated playground through the mobilization of cash and in kind support from both the school management committees and from the communities. This was made possible through a contiguous engagement of the communities in all stages of the design, development and implementation of the school DRM plans. The negotiation related to the funding of the plans took place during the planning stage and has involved all concerned parties: Plan International; the parent teacher association, the school committee and the representatives of the district educational authorities. In addition, and to motivate other potential private donors, the school plan has been printed on poster board and is displayed on the wall showing various sources of funding including the names of the private donors.

4.2 CASE STUDIES ON COMMITMENT AND OWNERSHIP

At the local level, the District Education Office in Makwanpur, **Nepal**, adopted the Safe Schools model for replicating the initiative in non-project areas. The office decided to locally develop a Safe Schools curriculum and guidebook to be used for the in-service training of the teachers in the district. In-service training for teachers has been funded by the national budget and comprised 15 training sessions. Thanks to the project, there are now two sessions dedicated to DRR in the professional teacher-training programme in the district.

In **Nepal**, the committees, taskforces and groups formed during the project period are being institutionalized at the community and school levels through the pool of resource persons trained. In each school, a Safe Schools Disaster Risk Management Plan (SSDRMP) has been developed and endorsed by the District Education Officer (DEO). In the project schools, teachers are now linking Safe Schools and DRR concepts during the teaching of related topics in the class. Practice drills by children at schools have been institutionalized in the form of praying in the morning before the school begins. Also, local DRM committees meet quarterly on implementation of their plans and the consolidated district DRM plan, development of which was supported by the project, will soon be endorsed by the District Development Committee (DDC).

In **Nepal**, the project has influenced the government agenda at local level and more particularly the district chapter of

parent/guardian associations that advocated for the inclusion of the Safe Schools approach in the private boarding schools (there are 100 private schools in the district). Since then, three private schools approached Plan's partner to receive training on DRR and Safe Schools.

4.3 CASE STUDIES ON INSTITUTIONAL CAPACITY AND COMMUNITY EMPOWERMENT

In the village of Palung, **Nepal**, the project supported local parents to develop their first school and community DRM plans. Through a VCA exercise, they identified that one of the walls of the school could easily collapse and that they were also at risk when crossing the river on their way to school, as there was no bridge. Parents then advocated the local government to secure funding to support the construction of both a new wall and a bridge.

In Rastriya Secondary School, in the village of Sunachuri, also in Nepal, the district government also provided USD 500 to the school to purchase some emergency equipment, a need that had been previously expressed by the school and parent/teacher association, who used their School DRM plan as an advocacy tool. Before project intervention, the school had only been receiving USD 100 per year for a similar activity. Even though the amount remained insufficient, it has been increased five times and the example shows that the local communities have been empowered through their participation

in the project to identify and raise their concerns with the district development committee.

Nepal already has an approved building code for the construction of new schools, but that has rarely been put into practice⁵. Since the Safe Schools project implemented by Plan, however, the relevant persons in the District Education Office of Makwanpur, and parents, have become much more risk informed. They have now decided to enforce the building code for new public buildings in the education sector. A telecom company also began plans to support the construction of a new building in the schoolyard: when they started to dig the foundations of the classrooms, parents and local authorities stepped in and asked the builder to change the design of the building to make it earthquake resistant.

In **Timor Leste**, in the community of Biloko, Aileu District, children have to cross a river to get to school for four to six months of the year due to seasonal rains. During the dry season, the adults mark both sides of the river with stones to show where the safe path is. When the river flow increases, parents then form 'a human chain' and accompany the children across. The adults who know how to swim lead the group and carry smaller children on their shoulders. Other children support each other hand in hand while holding their school bags on their heads.

The District Education Officer reported that this situation might lead to increased dropout in the community. This is also a health issue, because not only could the children contract colds while crossing the river, but because the lack of a suspension bridge prevented the community from having access to an evacuation road in cases of emergency.

To build on this existing local knowledge and practices, Plan International has advocated to the District Education Office to allocate funding for the construction of a bridge. In the meantime, the project decided to support the community through participatory design of a school based DRM plan, establishment of school DRM committees and provision of first aid training, solar panels and megaphone as part of the early warning system. Life jackets were also distributed to the students and a flood marker was installed where the river is regularly crossed by the children on their way to school.

4.4 CASE STUDIES ON SUPPORTIVE INSTITUTIONAL ENVIRONMENT

In **Nepal**, the project has successfully advocated to the MoE to replicate the programme in other locations. At the national level, the Under Secretary of Education visited the project in the district to learn more about the Safe Schools model. In addition, Plan Nepal supported three government officers to attend the ASEAN ministry conference on DRR in Bangkok in June 2014. The three officers reported that this event was an eye opener for them about the importance of better promoting the Safe Schools initiative in Nepal. Soon after, the MoE formed a taskforce to develop the Safe Schools policy for Nepal. The Safe Schools Policy Mapping previously conducted by Plan International had also helped the MoE to take the task forward. Since then, and with support from the project, the task force

⁵ Communities would generally have the tendency to save money from construction costs related to a proper implementation of the building codes to be able to increase the size of the building

has met and developed a 'zero draft' Safe Schools policy.

In Indonesia there have now been four Safe Schools projects implemented by Plan International, mainly through SIDA funding. The program has had the following achievements in sustaining its intervention:

- Institutional environment: Plan led an advocacy campaign with other stakeholders in 2010 to advance the National Agenda on Safe Schools. This joint effort has convinced the Indonesian government under the Head of The National Disaster Management Agency to issue policy No. 4/2012 and guidelines on Safe Schools implementation;
- Coordination: In terms of governance for Safe Schools, in 2010, a national secretariat for school safety (SEKNAS) was established in Indonesia. This institution promotes the sustainability of Safe Schools interventions in the country. It is led by the Ministry of Education and Culture and involves civil society (NGOs/INGOs/UN agencies) as members; and
- Commitment and sustainable funding allocations: At the local level, Sikka District (NTT Province) and Rembang District (Central Java Province) Education offices also passed their own local regulations to support Safe Schools initiative and have allocated between USD 10 to 15,000 per year to disseminate the principles of the CSSF in the schools of their respective districts. In one of these districts, the regulation also covers higher-level educational facilities rather than just the primary schools, which shows the commitment of the local authorities. In a third district, USD 100,000 has been proposed by the DRM local authority to be used for Safe Schools initiatives. The budget has not been approved at this stage but shows a positive trend in government resource allocation.

IFRC is also currently promoting the National Societies of the Red Cross (NSs) as one of the possible vehicles to sustain Safe Schools achievements. Because of their unique organisational structure, NSs are auxiliaries of government institutions and as such have a privileged position and access to government information and programmes. In addition, NSs in each country have various departments/divisions established at the headquarters level. Departments/divisions of social work, youth/volunteers, disaster management, organisational development and health care are all identified as playing a role in the DRR efforts of the Red Cross. The organisation's youth structure is also generally embedded in the formal school system and recognised by local education authorities, offering an opportunity to link formal and informal initiatives in support of school safety.

This approach offers great potential for scale up and sustainability, where MoEs support their Red Cross Society in building school safety. Because of this privileged position, NSs can also play a role in advocating for education and DRR through 'humanitarian diplomacy', including ensuring that such efforts are sustainable and inclusive. They can pursue this role by engaging in national-level dialogues, networks, working groups, and discussions on policy development, to ensure that DRR education is included in planned activities.

Red Cross chapters/branches at the provincial and district levels are also fundamental to the operationalization of DRR activities. For the purpose of DRR education activities, this level of actors can assist with the scaling up of community activities, disseminating information on efforts between districts and 'feeding' local-level perspectives and experiences up to national-level dialogues. At the community level, the Red Cross often has networks of

volunteers and youth representatives, who historically have been actively engaged in disaster response. NSs are also strongly positioned with an established reputation and presence from the local to national levels to ensure that informal DRR educational approaches reach beyond schools. This is reinforced by the fact that many government DRR initiatives in Asia and the Pacific are promoting a devolution of power from national to regional levels.

Using the Red Cross network is also an added advantage in order to extend the coverage of DRR strategies to out-of-school children, therefore recognizing the risks that these children face outside of their normal learning environment, and also in order to harness the power that informal child and youth networks possess.

In using Youth as Agents of Behavioural Change (YABC), the Red Cross Society in Myanmar is also currently supporting a pilot project on youth empowerment in 10 schools that will inform the development of guidelines on the role of youth volunteers in Safe Schools projects. YABC seeks to empower individuals to take up an ethical leadership role in their community and it has been successfully integrated in numerous existing programmatic areas of Red Cross - Red Crescent work, such as first aid, disaster management, migration, shelter, road safety and psychosocial support. In Vietnam as well, the National Red Cross was able to sign an MOU with MARD to support the rolling out of the national CBDRM programme with a particular focus on Pillar 2 of the CSSF.

More information: Children in Disasters - Games and Guidelines to Engage Youth in Risk Reduction- IFRC 2010
http://www.preventionweb.net/files/16726_16726childrenindisasters-gamesandgui.pdf

4.5 EVALUATING SUSTAINABILITY

Plan International in **Vietnam** has developed a two-pronged strategy to institutionalise the Safe Schools framework in the country. One approach is taking place at the national level, where Plan is advocating alongside other child-centred organisations such as UNICEF, Live and Learn (a local NGO) and Save the Children, to advance the national agenda for the development of a national Safe Schools framework with the Ministry of Education and Training MoET. In parallel, Plan is supporting the district Department of Education and Training (DoET) and the schools in Dakrong District to implement the three pillars the Safe Schools framework. During the evaluation of the first phase of the project, the project evaluation team has used four main indicators to assess the degree of sustainability of the project: Level of confidence and capacity gained by the main resource persons of the DoET trained by the project; level of integration of the **school based DRM** plans into the DoET action plans; level of integration of the Safe Schools checklist into the **monitoring system** of the DoET; and the identification of possible **funding allocation** to support Safe Schools integration in the future.

District officials have noted that during the past two years, they have learned much through their involvement in the project and now have a good understanding of the Safe Schools conceptual framework, and now know how to implement it at school level. They have been trained as 'person resources' and have participated in several joint monitoring visits with Plan staff. With funding from the project, and after requests received from the

non-project schools, the DoET in Vietnam has since decided to organise a three-day training for 89 representatives of the 14 other non-project schools (primary and secondary schools) to start rolling out the new initiative in the entire district. The DoET is now strongly committed to move forward with the rollout of the Safe Schools framework and will soon propose to the District People's Committee, the highest decision making body in the District, to use Safe Schools guidelines in non-project schools. Officials now report they are confident that a formal document can soon be issued to formalise this process.

Before the project, these schools were routinely asked to submit a yearly school based storm and flood action plan that was, in the past, mainly drafted only by a few teachers and without the participation of the children. Now, after the project, the schools are asked to give up their previous planning template and use the **Safe Schools planning framework instead**, which is more participatory and includes a 'multi-hazard' approach.

In addition, the previous monitoring tool of the DoET has now been enriched with new tools derived from the Safe Schools checklist. Officials will now use the **revised tools to monitor** the implementation of Safe Schools, first in the project schools and later in non-project schools. Due to the scarcity of human resources in the district, teachers who have received training will also soon be asked to act as resource persons to support the non-project schools to conduct their VCA assessments and develop revised and more participatory DRR plans in the future.

Regular **funding** from the Ministry of Education, to the schools, may be insufficient to implement all of the small-scale mitigation activities proposed in the school DRM plans. Thus, DoET is also implementing time bound sector programmes on WASH that could potentially be used in the future to support the implementation of the school plans. The DoET focal point also anticipates that future commune level, school based DRM plans will be consolidated into one district plan that will be submitted to the Department of Finance, Planning and Investment to be considered for future funding allocation.

ANNEXES

ANNEX 1:

List of references used in these guidelines

- Education sector snapshot template for comprehensive school safety and education in emergencies developed by Save the Children and UNICEF
<http://www.preventionweb.net/english/professional/trainings-events/edu-materials/v.php?id=38816>
- Consolidated Report Phase II - UNESCO Bangkok “Education in Emergencies for Sustainable Development” project - October 2014
- A Self-Monitoring and Reporting Mechanism on Education Policies and Plans for Conflict and Disaster Risk Reduction for Sustainable Development – UNESCO - November 2013
- A Brief Review of 20 Tools to Assess Capacity, UNDP, 2005
- Capacity Assessment Tools, Methodologies, Resources, Capacity For Disaster Reduction Initiative,
www.unisdr.org/cadri/documents/CAPACITY_ASSESSMENT_TOOLS_FINAL.pdf
- Examples of capacity needs assessment conducted by UNDP in Liberia and Turkey in Disaster Risk Management.
http://www.preventionweb.net/files/17504_cnareportfinaldraft.pdf
<http://www.gripweb.org/~gripweb/gripweb/sites/default/files/Turkey%20DRR%20Cap%20Ass %20Report%20.pdf>
- IIEP and UNICEF WCARO’s Integrating Conflict and Disaster Risk Reduction into Education Sector Planning.
- INEE Minimum Standards for Education: Preparedness, Response, Recovery.
- Practitioner Guidelines on the Integration of Disaster Risk Reduction and Climate Change Adaptation into Sector based Programmes (education and child protection)- Save the Children - November 2013.
- Children’s Participation in the Project Cycle. Tearfund 2004
- UNICEF/UNESCO Disaster Risk Reduction in the School Curriculum, and UNICEF Child-Friendly Education: Climate Change Resource Pack for Educators.
- Assessing School Safety from Disasters. A Global Base line Report. ISDR Thematic Platform for Knowledge and Education 2012.
- Selby, D. & Kagawa, F. 2013 (Pilot version). Towards a Learning Culture of Safety and Resilience: Technical Guidance on DRR in School Curricula. Paris/Geneva: UNESCO/ UNICEF.
- Disaster Risk Reduction in School Curricula: Case Studies from Thirty Countries. UNICEF/UNESCO 2012.
- Resource Mobilization, a Practical Guide for Research and Community Based Organisations, 2nd edition - October 2010.
- Resource mobilization facilitator guide - USAID - New Partners Initiative Technical Assistance (NuPITA) Project 2010.
- Toward Financial Self Reliance: A Handbook on Resource Mobilization for CSOs in the South, Trainer Manual, Richard Holloway, Link to access the guide.
- Disaster Risk Reduction Educational Initiatives for Schoolchildren (DRREIS): A best practice guide for uplands areas (Ethnic Minorities) of Vietnam- CECI-2011.
- Good practices from South & Southeast Asia in Disability Inclusive Disaster Risk Management - Handicap International and Inclusive DRR Network - 2014.
- Mainstreaming disability into DRR: A training manual. Handicap International Nepal 2009

- Handicap International (2012): Disability Inclusive Community Based Disaster Risk Management: A toolkit for practice in South Asia.
<http://disabilityindrr.org/resourcespage/>.
- Manual on disability inclusive Community Based Disaster Risk Management program, Dec. 2013.
- Child Centred DRR, Building Resilience through Participation Lessons from Plan International- 2010.
- Tanner, T et al (2009) 'Children's Multiple Modes of Participation in Community Based Disaster Risk Reduction and Adaptation to Climate Change' in Participatory Learning and Action.
- 2011, Asian Disaster Preparedness Centre (ADPC) Promoting Public Private Partnership in DRR: Linking private sector to disaster risks, government initiatives and community resilience.
- Monitoring and Evaluation with children - Plan International Togo, June 2006.
- A Toolkit for Evaluating and Monitoring Children's Participation - Save the Children 2014.
- Children's Participation in the Project Cycle - Tearfund 2004.
- So You Want to Involve Children in Research? Save the Children 2004
- So You Want to Consult with Children? A tool kit of good practice, Save the Children 2003.
- See JICA guidelines on ex post and ex ante evaluations page 80 that provides a list of key questions related to ex post evaluation
http://www.jica.go.jp/english/our_work/evaluation/tech_and_grant/guides/pdf/guide-line03-02.pdf.
- In Vietnam, the INGO CECI has produced interesting lessons learned on community resilience (including on education) in uplands areas. You can access the reports at:
<http://www.ceci.ca/assets/Asia/Asia-Publications/Quyen-DRREIS-1.pdf>
<http://www.ceci.ca/assets/Asia/Asia-Publications/CECI-Lessons-Learnt-Report-.pdf>.
- Project sustainability manual - Marcus D. Ingle - July 2005.
- Promoting practical sustainability - AUSAID – 2000.
- Handbook for disaster recovery practitioners 2015, Disaster Recovery Toolkit, Tsunami Global Lessons Learned Project
- A Practical Guide for Advocacy for Disaster Risk Reduction, The International Federation of Red Cross and Red Crescent Societies (IFRC) 2009.
- Children in Disasters: Games and guidelines to engage youth in risk reduction, IFRC.
- Guidebook on Advocacy for Integrating CBDRM into Local Government Policy and Programming. ADPC 2006

ANNEX 2:

Checklist for optimal integration of sustainability factors into the project cycle of Safe Schools interventions

Instructions to use the checklist:

To assess the level of sustainability of your Safe Schools Programme⁶, you can use the checklist below. The questions/indicators follow the phases of the project cycle (project identification, project design, implementation, Monitoring & Evaluation and learning/exit) of a typical Safe Schools project.

For each stage of the project cycle and for each sustainability factors, you will need to tick boxes for each evidence indicator highlighted with a bullet point. This exercise will assist you to self-evaluate how your programme is becoming more sustainable.

Your answers below are related to all of your Safe Schools programming.

The following rating scale can be used for this exercise:

2 points	1 point	0 point	N/A
The action has been completed.	The action is partially done and/or on its way to be completed.	The action is not done.	The criteria are not applicable for your context/project.

Sustainability analysis at project identification stage

Guiding questions	Evidence indicators	2	1	0	N/A
1-Supportive institutional environment Is the legal and operational framework in Education and disaster risk management (DRM) conducive to a Safe Schools intervention?	A Safe Schools policy mapping/gap analysis in education and DRM is conducted or available reports are consulted.				
2-Commitment and ownership Is the intended Safe Schools project genuinely demand driven and did it involve key stakeholders (duty bearers and rights holders)? Was evidence of commitment from main stakeholders gathered during the identification phase?	A stakeholder analysis is undertaken and key representatives of concerned civil society, ministries and departments of education were consulted at national and sub-national level and there is evidence of their commitment for the Safe Schools project. (e.g., project endorsement letter, public statements from government officials)				
3-Institutional and local capacity Have the institutional/technical strengthening needs and absorptive capacity within the implementing agencies been identified during the project identification phase? What are the main vulnerabilities and capacities of local communities and schools in the targeted project areas?	A stakeholders training needs/capacity gap analysis is conducted. Local institutional and absorptive capacity of the new project have been assessed with the concerned implementing partners. Initial project base line survey includes an overall VCA and KAP surveys in some of the targeted schools/district.				

⁶ For this study, a program is defined as a set of one or more safe school projects completed or not.

Guiding questions	Evidence indicators	2	1	0	N/A
<p>4-Economic and financial aspects</p> <p>Do we have enough understanding of the planning and financial systems of the Government to support Safe Schools interventions?</p>	<p>An analysis of the government planning and finance allocation system on DRR and education is conducted or available report is consulted.</p>				
<p>5-Genuine and effective participation</p> <p>How did children participate in the identification of the Safe Schools project?</p>	<p>Local level and child friendly consultations were organised with teachers, principals, parents and children (including from vulnerable groups) in representative's project schools.</p>				

Sustainability analysis during project design

Guiding questions	Evidence indicators	2	1	0	N/A
<p>1-Supportive institutional environment</p> <p>Is the programme/project consistent with, and supportive of, relevant partner government sector policies on education and DRM?</p> <p>How much is the project intending to participate in the building up of the legal and operational framework for Safe Schools interventions in the country?</p>	<ul style="list-style-type: none"> • Linkages between relevant policies in education/DRM and the Safe School's project are described in the proposal and are consistent. • If relevant, the project proposal clearly states how it will contribute to build the legal and operational framework for Safe Schools in the country (including through advocacy related activities.) • If possible, schools targeted by the project should be identified as part of an EMIS, including their exposure to natural and human-made hazards and structural vulnerabilities. • The project design incorporates extra curriculum activities and/or activities on the integration of DRR into the school curriculum. 				
<p>2-Commitment and ownership</p> <p>Have main stakeholders (duty bearers) actively participated in the project design process and are they supportive?</p> <p>Are adult participatory approaches a clear element of the implementation strategy?</p> <p>Have the needs for on-going information dissemination and awareness training for rights holders and communities been assessed and provided for in the design?</p>	<ul style="list-style-type: none"> • Expected benefits to sustain, and a Minimum Package of Activities (MPA) that would need to continue to be delivered after the end of the project, have been identified and agree with the partners. • Senior stakeholder representatives and beneficiaries attend meetings, actively contribute ideas and are well informed about the scope of 'their' program/project and the expected benefits. • Participatory approaches are included in the project design: e.g., training in 'Participatory Learning and Action' methods for counterpart staff and community members, establishment of, and support for, communities/school disaster management groups/committees. • The project's design includes communication related resources to ensure that communities and schools will be regularly informed about the project. (e.g., translation costs, dissemination of information, newsletters, use of media to raise awareness). 				

Guiding questions	Evidence indicators	2	1	0	N/A
<p>3-Institutional and local capacity</p> <p>Has a training strategy been developed and does it address capacity gaps, vulnerabilities against hazards and project sustainability issues?</p>	<ul style="list-style-type: none"> • A training strategy/capacity building plan is designed and is aligned with the stakeholders' capacity gaps analysis and the findings from the overall VCA. • The planned trainings will use in-country training resources and as much as possible should be integrated into the training plan of the DOE training plans. • Arrangements for in-country course accreditation are planned. 				
<p>4-Economic and financial aspects</p> <p>Is it clear how local implementing agencies will access financial resources from their 'own' sources both during and after implementation?</p> <p>Has the project design included the development of a long-term fundraising/resource mobilization strategy?</p> <p>Has the involvement of private sector and communities/volunteer stakeholders been appropriately considered and integrated into the design?</p> <p>Did the project ensure that the services being provided are affordable for the intended beneficiaries and are likely to remain so after funding ends?</p>	<ul style="list-style-type: none"> • Education department of Finance/Planning Office, schools and communities committed in cash and in kind support for the implementation of the project as a co funding mechanism. • The project design includes the development of a long- term fundraising/resource mobilization strategy that includes engagement with stakeholders from the private sector and communities/Red Cross volunteers if relevant. • Recurrent costs are kept to a necessary minimum in the design of the project to be sustainable in the future. 				
<p>5-Genuine and effective participation</p> <p>How did children participate in the design of the Safe Schools project?</p>	<ul style="list-style-type: none"> • During research concerning children, the children themselves have prioritized the issues they want to work on and have decided on an action plan to address their problems. • The design of the Safe Schools project is inclusive and takes into consideration the needs of the most vulnerable Groups (out-of-school Children, children with disabilities, children from ethnic minorities....). 				
<p>6-Crosscutting aspects</p> <p>Is sustainability specifically included in the program/project log frame? Is the program/project timeframe sufficient to support sustainability objectives?</p>	<ul style="list-style-type: none"> • The log frame narrative description contains specific reference to sustainability (e.g., includes indicators from this checklist). • Support for the development of a phase-out/exit strategy has been included in the project design and the benefits that are to be sustained are specifically described in its design. 				

Sustainability analysis during project implementation

Guiding questions	Evidence indicators	2	1	0	N/A
<p>1-Supportive institutional environment</p> <p>How does the project contribute to building a supportive institutional and operational environment for Safe Schools in the country?</p>	<ul style="list-style-type: none"> • An advocacy strategy is jointly developed and implemented (including policy gaps analysis and stakeholders capacity assessment in advocacy). • The objectives and messages of the a dvocacy strategy call for more human resource capacity and financial resources, and highlight participation of children for safer schools in the country. • There is concrete evidence of materials produced by the project to advance the operational framework of the Safe Schools agenda in the country (e.g., guidelines, training packages, IEC materials, advocacy activities...) • Safe Schools guidelines and checklists include points related to the five sustainability factors. 				
<p>2-Commitment and ownership</p> <p>How does the project ensure ownership and participation of duty bearers through collaborative work with government institutions and CSOs to increase ownership and discuss sustainability related topics?</p>	<ul style="list-style-type: none"> • MoU with the partners includes sustainability issues. • Plan International staff work with counterparts and use mentoring approaches and on-the-job training, and work with multiple counterparts (to anticipate turnover of staff). • Participatory implementation strategies, annual review and planning workshops discuss sustainability issues. • The project supports communities/school management groups/committees and involves Red Cross volunteers. • Beneficiaries have access to on-going information dissemination and awareness raising activities about the project that are culturally relevant and gender sensitive. • Safe Schools DRM plans are formally approved by the school and district education offices. 				
<p>3-Institutional and local capacity</p> <p>Are the project organisational structure and the use of Plan International staff (male and female) appropriate?</p> <p>Which cross cutting and non-technical training topics are being taught?</p>	<ul style="list-style-type: none"> • As much as possible, Plan International staff work with counterparts who are in existing line positions rather than in newly created 'project' positions. • As much as possible, Plan International staff and counterparts operate from the same office/location with equal access to similar levels of operational resources. • Training is related to the three main technical pillars of the Safe Schools framework, but also include topics related to crosscutting issues such as gender, inclusivity, project management, coordination, leadership and resource mobilization. • A TOT cascade approach is implemented to sustain training of teachers in the theory, facilitation and design of interactive learning for children. 				

Guiding questions	Evidence indicators	2	1	0	N/A
<p>4-Economic and financial aspects</p> <p>Is the project implementing a sustainable financial strategy that also involves the private sector (if relevant) and possible in kind and in cash support and Red Cross volunteers from the communities?</p>	<ul style="list-style-type: none"> • Fundraising strategies, alternative resource identification and generation have been identified and are being used. • School disaster management plans are costed and include various source of funding for the proposed activities. • The project has set up budgeting and accounting systems appropriate for the local context or for local financial inputs, in addition to donor oriented systems. • Project activities are co-funded by external sources and local sources of funds (including in cash, in kind communities and government funds) 				
<p>5-Genuine and effective participation</p> <p>How did teachers, parents and children participate to the implementation of the Safe Schools project?</p>	<ul style="list-style-type: none"> • School principals, teachers, parents and children are members of the board and sub-committees of the school DRR committees and participate meaningfully. • Children meaningfully participate in the development and implementation of child-centred or child led activities of the school DRR plan. • Feedback mechanisms capture views of beneficiaries on the type and quality of goods and services provided (e.g., the Safe Schools guidelines and checklist are field tested with the children). 				

Sustainability analysis during project Monitoring and Evaluation

Guiding questions	Evidence indicators	2	1	0	N/A
<p>1-Supportive institutional environment</p> <p>How does the project monitor the changes in the institutional, legal and operational environment of the local, national and international contexts related to the Safe Schools project?</p>	<ul style="list-style-type: none"> • The situation/policy analysis developed during the project identification phase is updated regularly to ensure that the project remains relevant, consistent and linked with the relevant institutional, legal and operational frameworks related to Safe Schools in the country. • The project promotes and tracks key signs/ indicators that it is being progressively institutionalized into the government/partner system (e.g., The Safe Schools Guidelines developed by the project are endorsed by the local authorities at various levels.) • The project supports and tracks demonstrated evidence that the Safe Schools initiative is being scaled up within the government/ partner system and resources. 				

Guiding questions	Evidence indicators	2	1	0	N/A
<p>2-Commitment and ownership</p> <p>How does the project monitor the participation of the partners, their appropriation of the activities and their commitment to the achievement of the project results?</p> <p>How participatory and sustainable is the project's monitoring system and how is it 'owned' by the main partners?</p>	<ul style="list-style-type: none"> • Participatory monitoring visits, events and review exercises are conducted with key stakeholders to evaluate and reconfirm their commitment to the Safe Schools initiative, as well as their intention to engage the necessary resources after the project ends (human and financial resources). • The Safe Schools checklist is approved and used by the Ministry/Department of Education for monitoring purposes. • If feasible, the project monitoring system (monitoring framework, plans and data collection system/tools) has been designed with, and is embedded into and consistent with the formal Ministry/Department of Education monitoring system. • Joint monitoring visits are organised between Plan International/partners and educational supervisors from the Ministry/ Department of Education. 				
<p>3-Institutional and local capacity</p> <p>How does the project monitor the level of KAP and technical capacity gained by the main partners and beneficiaries trained?</p> <p>How does the project monitor the level of integration of the Safe Schools project into the Ministry/Department of Education program and plans?</p>	<ul style="list-style-type: none"> • Monitoring and reporting frameworks based on project log frame look beyond the contracted activity and output levels and incorporate regular assessment of the movement toward achieving sustainable outcomes. • A performance monitoring system is in place to follow up and track the outcomes of the capacity building activities through the regular use of tools, that allow measurement of pre- and post-training knowledge of learners (pre- and post-test training assessments tools), follow the effective implementation of the newly-acquired skills and knowledge (through supervisors observation checklists), and, most importantly, measure the satisfaction level of the right holders who benefited from the services (through base line and end line surveys/pre- and post KAP surveys that show that knowledge, attitudes, and practices have improved). 				
<p>4-Economic and financial aspects</p> <p>How does the project track changes in governmental, partner and community prioritization and financial/in kind allocation for Safe Schools initiatives, especially for those who are disadvantaged or marginalized?</p> <p>Is the project likely to receive a sufficient flow of funds after donor assistance ends (either generated by the project or otherwise committed by the government or other stakeholders) to cover operating costs, maintenance and depreciation?</p>	<ul style="list-style-type: none"> • Evidence based information is collected for advocacy to increase funding allocation for Safe Schools at all levels (e.g., a budget tracking study/budget advocacy on current and planned allocation for Safe Schools). • As part of the fundraising strategy, regular possible funding opportunities from donors, government and communities are identified (e.g., physical and human resources, including training) to support the Safe Schools • integration in the future. • If possible, a private sector mapping exercise of on-going or planned interventions in DRM and Safe Schools is undertaken to gauge their interest for Safe Schools initiatives. 				

Guiding questions	Evidence indicators	2	1	0	N/A
<p>5-Genuine and effective participation</p> <p>Do monitoring systems (framework, tools and plans) monitor the effective participation of children in the Safe Schools projects?</p> <p>How did teachers, parents and children participate to the monitoring and evaluation exercised of the Safe Schools project?</p>	<ul style="list-style-type: none"> • Monitoring visits verify that children are members, effectively and meaningfully participate to the design and functioning of the school based disaster management committees, school DRR plans and Safe Schools activities. • There is growing documented evidence of increased demand from the communities/schools for more Safe Schools interventions. • A participatory evaluation enables children, parents and teachers to assess whether the purpose and goal of the project have been achieved, and to suggest major changes in strategy and future work. • Children take on an active role in representing the project during monitoring, project evaluation and/or donor visits. 				
<p>6-Crosscutting points in evaluation and sustainability</p> <p>How much does the project evaluate the level of sustainability of the Safe Schools initiatives after the project ends?</p>	<ul style="list-style-type: none"> • When evaluating Safe Schools programmes and projects, OECD/DAC principles and criteria for 'Evaluation of Development Assistance' are used, and include criteria on sustainability. • Safe Schools project evaluations use this checklist to assess the optimal integration of sustainability factors into the project cycle of Safe Schools interventions. • This checklist is used as a reference to design ToRs for project evaluation and frame the evaluative questions related to the criteria on sustainability. • In addition to the regular midterm and/or end of project evaluation, an ex post project evaluation is conducted six months or one year after the project ends to assess the level of sustainability of the project. 				

Sustainability analysis during learning, transition/exit phases

Guiding questions	Evidence indicators	2	1	0	N/A
<p>1-Supportive institutional environment</p> <p>Did the project consolidate its achievements, document case studies and best practices (also on sustainability integration) and share it with the government and education/DRM cluster at national and sub-national level?</p> <p>How have changes been institutionalized at different levels? What is the potential for scaling up the project?</p>	<ul style="list-style-type: none"> • Best practices are collected, consolidated and widely shared through a dissemination plan, and include practical Safe Schools tools and guidelines that are contextual, relevant and easy to use by the partners after the project ends. • Signs/evidence/examples of institutionalization or scale up of the project results (e.g., decision from the government to replicate the pilot Safe Schools model in other areas using their own resources, or a Safe Schools training package developed by the project will be used in other areas by government) are documented. 				

Guiding questions	Evidence indicators	2	1	0	N/A
<p>2-Commitment and ownership</p> <p>How much has the project supported the development of a long-term plan fully implemented by the partner?</p>	<ul style="list-style-type: none"> The project has worked collaboratively with the implementing agencies (government and civil society) to design a phase-out/exit strategy that covers the gradual transfer of management roles and responsibilities, training, funding of recurrent costs, equipment maintenance, etc. to local partners. 				
<p>3-Institutional and local capacity</p> <p>Are the project's partners and duty bearers sufficiently equipped with the necessary knowledge and skills to take over and continue the project after Plan International intervention?</p>	<ul style="list-style-type: none"> Counterparts/partners and school committees have been properly prepared for technically and managerially taking over the Safe Schools project as verified by consolidated findings from the educational supervisor monitoring visits and results from KAP surveys. 				
<p>4-Economic and financial aspects</p> <p>How much has the project supported the development of a fundraising/resource mobilization plan to secure a regular flow of funding after the Safe Schools project ends?</p>	<ul style="list-style-type: none"> A fundraising strategy is jointly developed with the partners and explores a full range of funding and resource options (e.g., other funding sources beside donor/government grants, such as private sector and local community organisations.) 				
<p>5-Genuine and effective participation</p> <p>How do we ensure that teachers, principals, parents and children participate meaningfully and effectively to the learning, transition and exit phases of the project?</p>	<ul style="list-style-type: none"> Learning exercises involve children, who participate meaningfully through child-centred or child led exercises to help review the activities of the previous year and develop the next period plan of activities. The Safe Schools project encourages children to document their own experiences and learning (e.g., through participatory documentary) 				

Additional questions and recommendations

What component of your program related to sustainability do you feel proud of? What have been the contributing factors of success?

What part of your program related to sustainability do you think should be improved? What have been the contributing factors that made things not as you had expected?

The program may be more sustainable at a certain geographical level of the intervention (national, sub-national, local).

Please mention it here if it is the case and explain why there are differences?

Some of the main pillars of the Safe Schools framework may be more sustainable than others. Please mention it here if that was the case and explain why?

Do you have any recommendations in terms of support you would expect from Plan International to improve the sustainability of your Safe Schools program?



Plan Asia Regional Office

14th Floor, 253 Building (Asoke) Sukhumvit 21 Road,
Klongtoey Nua, Wattana, Bangkok 10110, Thailand
Tel: +66 (0) 2 259 8284 Fax: +66 (0) 2 259 8287
www.plan-international.org/asia
Facebook: PlaninAsia Twitter: @PlanAsia