TETRA TECH
International Development

Independent Evaluation of the Girls' Education Challenge Phase II - Teachers and Teaching for Marginalised Girls

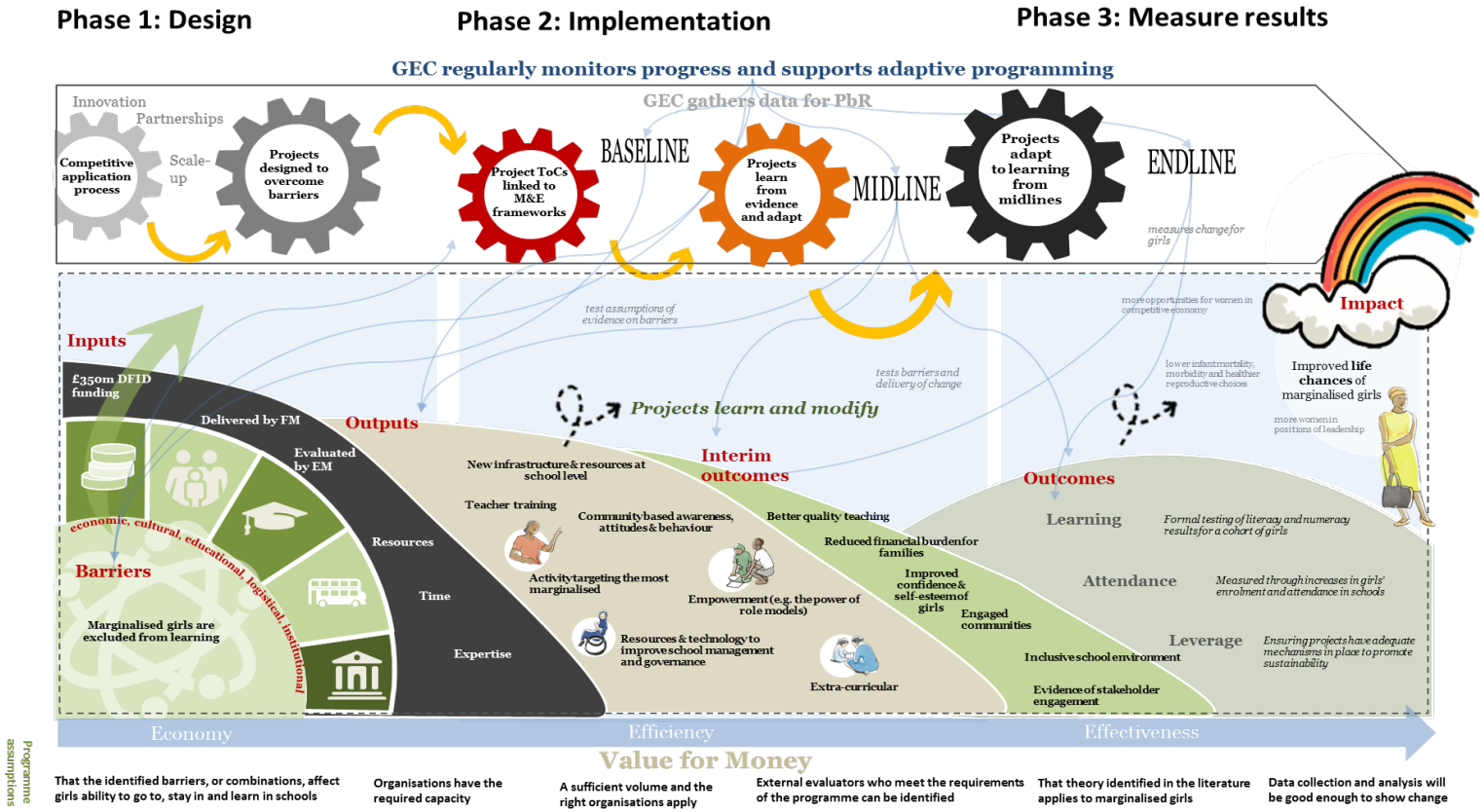
Annexes

December 2021

Annex A: GEC II Theory of Change

This annex presents the GEC II Theory of Change (ToC). This was produced as part of the FCDO's GEC Phase II Business Case in 2016. The overarching purpose of the GEC II ToC at the fund level is to provide a high-level overview of the process of change (and causal pathways) the programme is intended to deliver and the links between these changes at output, intermediate outcome, outcome, and impact levels. It summarises the programme's rationale and forms the basis for its detailed design and delivery.

Figure 1: GEC II Theory of Change



Source: Fund Manager

Tetra Tech, December 2021

Annex B: Research Design and Methodology

This research design describes the overall approach, limitations, and design considerations of the study. This includes: the research framework, which outlines the methods and data sources for answering the research questions (elaborated upon in full below in the Research Methods section); the selection processes for identifying GEC II projects for inclusion in the study; the sampling strategy for including schools for primary qualitative data collection; strategy for identifying respondents; and replacement strategies.

Throughout, the section highlights the rationale behind key research design decisions, any major trade-offs or priorities addressed through the design, and key steps taken to mitigate biases and limitations in the overall design.

This draws on the Desk Review Report (available on request) that was conducted by the study team to ensure that the research design and methods – including the finalisation of key research questions, project selection protocols, and other core research design activities – met the needs of, and incorporated feedback from, the FCDO and other key stakeholders; drew on the wider evidence base; and incorporated key GEC project and portfolio-level documentation and lessons.

1. Research Design and Analytical Framework

1.1. Development of Research Questions

The research questions for this study were developed through an extensive iterative and consultative process conducted throughout the finalisation of the Terms of Reference (ToRs) and the desk-based review. During the finalisation of the study ToRs, extensive feedback was received from key stakeholders, including the FCDO, the Evaluation Studies Working Group (ESWG), the Independent Advisory Group (IAG), and the Fund Manager (FM). The Independent Evaluation (IE) team responded to each comment that these stakeholders shared on the research questions and provided a rationale for how the feedback was considered and any further action required. The Research Team also solicited direct feedback on the proposed research questions from Implementing Partners (IPs) through an online, participatory webinar.

This resulted in the following two overarching research questions:

- RQ1: How have GEC II projects implemented and adapted interventions with teachers and teaching prior to **Covid-19**?
- RQ2: How and to what extent have GEC II projects adapted and supported interventions related to teachers and teaching **during Covid-19**: i) to enable girls to continue to learn at home during school closures, and /or to return to school following school closures, and ii) to support them in other learning spaces (e.g., community-based learning, training on remedial learning etc.)?

Additional sub-questions are presented in *Section 1.3* below.

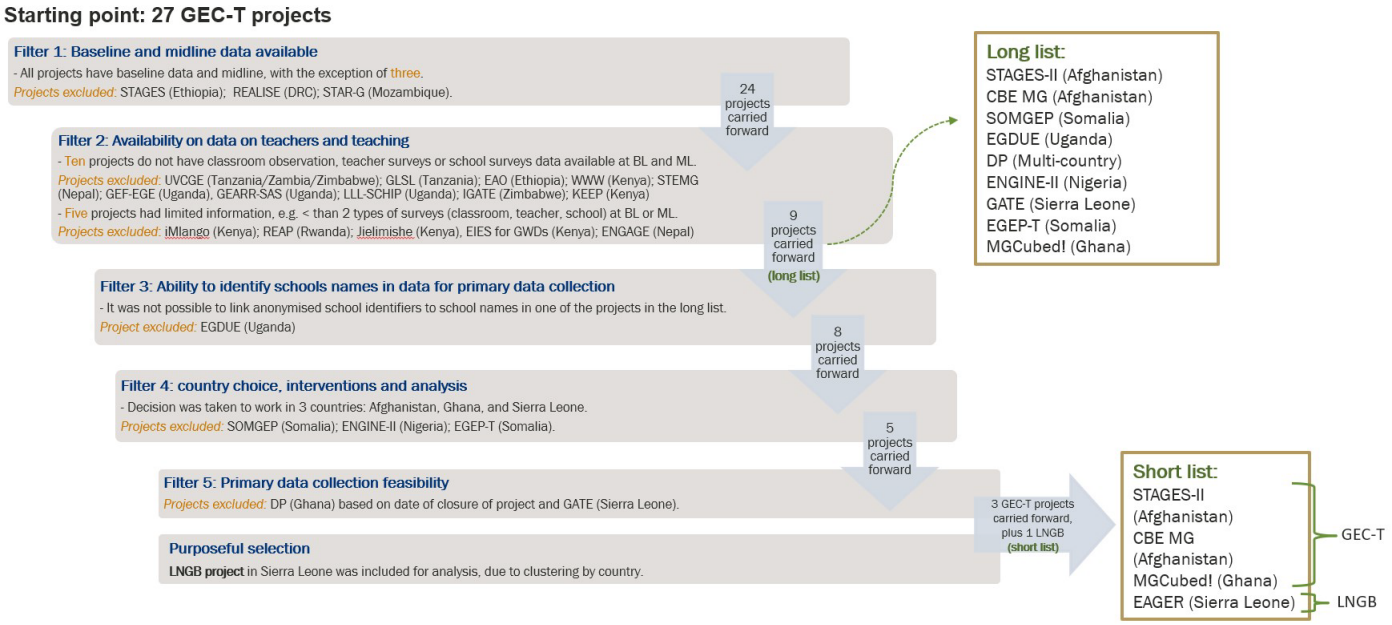
1.2. Project Selection Strategy

To answer the overarching research questions (RQs) (see *Section 1.1*), two sets of GEC II projects were selected for inclusion in this study:

- A **long list of ten GEC II projects** identified for secondary data and documentation analysis (RQ1); and
- From the long list, **a subset of four GEC II projects** was selected for primary data collection and analysis (RQ2 and RQ3).

The long list and shortlist were identified using a rigorous selection strategy and amended to account for feedback from the desk review stage of the research design. This selection strategy (as seen below in *Figure 1*) was applied to the GEC Transitions (GEC-T) projects, with the Leave No Girl behind (LNGB) window subjected to a purposive selection approach due to the different nature and timing of that window.

Figure 1: Project selection strategy



As presented above, all 27 GEC II projects were subjected to an initial screening process evaluated against the essential criteria set out in *Table 1* below.

Table 1: Selection criteria for GEC-T projects

	Selection Criteria	Essential	Desirable
Filter 1	Availability of project baseline and midline quantitative data	✓	
Filter 2	Availability of project data on the profile of teachers (including demographic characteristics, assessment of teacher quality, teaching practices, etc).	✓	
	Availability of baseline and midline data from at least two of the following: classroom observation data, teacher surveys and/or school surveys	✓	
Filter 3	Ability to identify schools	✓	
Filter 4	Relevance of interventions for teaching and teaching practices (including gender-responsive pedagogy)	✓	
Filter 5	Availability of a range of project stakeholders for primary data collection[1]	✓	
	Availability of project data on teachers in the household survey/ girls' survey		✓
	Availability of qualitative data on teachers		✓
	Availability of project data from a range of countries (including at least one project in a fragile or conflict-affected context)		✓

Desirable criteria were ultimately not included in the filtering process as the majority of projects included similar questions regarding girls' perceptions on teachers and teaching.

Application of the selection protocol based on essential criteria

The following selection protocol was used to select the projects for inclusion in this study (*Table 1*):

1. The first exclusion criterion was the availability of both baseline and midline project data, as a foundational requirement for analysis (**Filter 1**). Three GEC-T projects were excluded through this stage.

2. The second essential criterion was the availability of both baseline and midline data from at least two of the following instruments (**Filter 2**):

[1] e.g. REAs, EAs, Implementing Partners, parents, teachers, headteachers, national and local government stakeholders, girls.

- Classroom observations, which include relevant information on teaching practices;
- Teacher surveys, which include information on teacher background characteristics, and whether they have received training as part of the projects' interventions; and
- School surveys, which include information on teachers, students, school environment in relation to the school infrastructure and approaches undertaken to prevent violence against children, etc.

Ten GEC-T projects were excluded on the basis that no data on teachers and teaching was collected at any point. In addition, five projects were excluded given limited information on teachers and teaching and schools.

Three additional filters – filters 3, 4, and 5 – were then applied to this longlist to identify projects for promotion to the shortlist for primary data collection.

3. **Filter 3** was based on the ability to identify the school names in the evaluation samples for primary data collection in the same schools. One GEC-T project – EGDUE – was excluded on this criterion.

4. **Filter 4** included consideration of broader project information, including the potential for in-depth country or regional focus, and the potential for a focus on particular kinds of interventions and approaches to teachers and teaching either across all short-listed projects, or a smaller number of projects on the shortlist. A key consideration at this point was the inclusion of projects in three to five countries, and including one fragile or conflict-affected country, as agreed in the ToRs for this study.

   The IE team also considered the types and focuses of the interventions involving teachers and teaching, to identify which projects focused on areas relevant to the research questions and the cross-cutting themes of the study, including teacher training on gender-responsive pedagogy, and types of teacher training models. On this basis, a decision was made to focus on Afghanistan, Sierra Leone and Ghana. Three projects – SOMGEP (Somalia), ENGINE-II (Nigeria) and EGEP-T (Somalia) were excluded at this stage.

5. The final stage in confirming the proposed shortlist of projects was an assessment of the feasibility of primary data collection in the countries **(Filter 5)**. Primary data collection was required to be deemed feasible in a safe, timely, and cost-effective manner within the constraints of the Covid-19 pandemic, without risk of harm to participants, partners or fieldworkers. At this stage it was noted that DP could not be included in the primary data collection efforts as it would conflict with the project closing. In addition, GATE (Sierra Leone) declined to participate in the primary data component due to concurrent research and evaluation activities. These projects were therefore excluded from the final shortlist (but retained on the longlist), resulting in three GEC-T projects and one LNGB on the final shortlist.

While LNGB projects were not included in the data availability mapping and not included in the initial shortlist, one LNGB project – EAGER – was purposively added at this later stage on the basis that the project has baseline data on teachers, implements interventions targeting educators, and operates in a country already on the shortlist of GEC-T projects (Sierra Leone).

The final list of shortlisted projects is presented in *Table 2*.

Table 2: Longlisted and shortlisted GEC-T projects for the study

Project name	Window	Country	Shortlist (primary data)
Steps Towards Afghan Girls Educational Success II (STAGES-II)	GEC-T	Afghanistan	x
Community-Based Education for Marginalised Girls in Afghanistan (CBE MG)	GEC-T	Afghanistan	x
Making Ghanaian Girls Great! (MGCubed!)	GEC-T	Ghana	x
Every Adolescent Girl Empowered and Resilient (EAGER)	LNGB	Sierra Leone	x
Discovery Project (DP)	GEC-T	Ghana	--
Educating Nigerian Girls in New Enterprises Phase II (ENGINE-II)	GEC-T	Nigeria	--

Project name	Window	Country	Shortlist (primary data)
Girls' Access to Education (GATE)	GEC-T	Sierra Leone	--
Somali Girls' Education Promotion Project (SOMGEP)	GEC-T	Somalia	--
Educate Girls, End Poverty (EGEP-T)	GEC-T	Somalia	--
Empowering Girls with Disabilities in Uganda through Education (EGDUE)	GEC-T	Uganda	--

Note: Throughout this report, the above acronyms are used for brevity.

As noted above, projects were screened based on their focus on teachers and teaching, availability of data for secondary quantitative analysis, country of operation and finally, feasibility of collecting primary data. As such, the selected projects should not be considered representative of the wider GEC II portfolio, but rather those that included specific interventions related to teachers and teaching and met the inclusion criteria mentioned above. For this reason, the recommendations provided in the main report focus on highlighting learning from these projects – for example, what projects have done successfully and could be replicated elsewhere – rather than providing specific recommendations for the GEC II portfolio.

1.3. Research Framework

To answer these overarching research questions, the Independent Evaluation team developed an approach that included secondary quantitative data and project documentation, as well as primary qualitative data.

To address RQ1, the study primarily used **secondary quantitative data** collected as part of project evaluations together with a review of project monitoring reports and other project documentation. For RQ2, we collected four types of **primary qualitative data.** An overview of key data sources is provided below:

- **RQ1:** *How have GEC II projects implemented and adapted interventions with teachers and teaching prior to Covid-19?*
  - Secondary data:
    - A review of project documentation, including external evaluation and technical monitoring reports, GEC II FM documentation, and GEC II project websites.
    - Analysis of secondary quantitative project-level data collected by external evaluators at baseline and midline collected between 2017 and 2019 (for all longlisted projects except EAGER, which commenced in 2020 and for which the IE team only had baseline data).
- **RQ2:** *How and to what extent have GEC II projects adapted and supported interventions related to teachers and teaching during Covid-19: i) to enable girls to continue to learn at home during school closures, and /or to return to school following school closures, and ii) to support them in other learning spaces (e.g., community-based learning, training on remedial learning etc.)?*
  - Primary data (collected in relation to the four shortlisted projects only):
    - 153 in-depth interviews (IDIs) with a sample of project headteachers and teachers
    - 24 focus group discussions (FGDs) with a sample of female beneficiaries who returned to education following the pandemic, and for MGCubed! and EAGER, 7 additional FGDs/IDIs with those who did not return
    - 31 FGDs with School Management Committees/Shuras/Community Stakeholders
    - 60 narrative classroom observations in a sample of project schools for shortlisted projects, involving both observation of the teacher/ educator and beneficiaries/learners to observe qualitative indicators of gender-responsive and other pedagogical practices (thus, 180 forms, as each classroom observation consisted of 3 forms).

In addition, 34 key informant interviews (KIIs) with national government and district education authority officials; IP and consortium partner staff; and project external partners were undertaken to inform RQ2 and the contextual analysis.

The Research Framework set out in *Table 3* outlines the GEC II projects, data sources, and methods deployed to answer the overarching research questions that guided this study. The application of these qualitative and quantitative

methods, as well as a list of any documents and discussion of data sources mentioned, are discussed at length in *Section 3*.

Table 3: Research framework

TIMEFRAME	SAMPLED PROJECTS	QUESTIONS	KEY DATA SOURCES

Contextual analysis	N/A	**How and why do the projects' interventions with teachers and teaching differ across contexts?**
		3A: Which factors have been barriers to progress or drivers of change in the implementation and adaptations of GEC II interventions aimed at helping teachers support girls' education, both in, prior to, and within the Covid-19 crisis period?
		3B: How well, and to what extent, have teachers engaged with or been supported by various stakeholders (e.g. implementing partners, school leaders, government officials) in delivering the GEC interventions, including to inform appropriate adaptations and interventions, both prior to, and within the Covid-19 period?
		Additional: What is known about improving teachers and teaching in low-income contexts?
			SECONDARY DATA
			• Review of current country Covid-19 context, from sources including the Global Partnership for Education, UNESCO Institute for Statistics and the World Bank Open Data platform
			PRIMARY DATA
			• Key informant interviews with:
			  • National government and district education authority officials
			  • IP and consortium partner staff

Pre-Covid-19: Research Question 1	Longlist	**How have GEC II projects implemented and adapted interventions with teachers and teaching prior to Covid-19?**
		1A: What is the profile of the GEC II teaching cadre, and how has this changed from baseline to midline?
		1B: Have teaching practices changed between baseline and midline and, if so, how? In particular, have gender-responsive approaches been adopted, and is there evidence that this has helped marginalised girls?
		1C: To what extent have teachers been provided with adequate and relevant training and resources in supporting them in delivering the GEC II project interventions?
			SECONDARY DATA
			• Review of project documentation:
			  • External evaluation reports
			  • Technical monitoring reports
			• Analysis of secondary quantitative data
			• Analysis of Midline scorecards from FM (intermediate outcomes) (1b)

During Covid-19: Research Question 2	Shortlist	**How and to what extent have GEC II projects adapted and supported interventions related to teachers and teaching: i) to enable girls to continue to learn at home during school closures, and /or to return to school following school closures, and ii) to support them in other learning spaces (e.g. community-based learning, training on remedial learning etc.)?**
		2A: How, and in what ways, has the composition of the GEC II teaching cadre changed during the Covid-19 period? What is the evidence for the reasons behind these changes?
		2B: Have interventions related to teachers and teaching practices changed during the Covid-19 crisis (both during school closures and after school re-opening), and if so, how and why?
		In particular, have gender-responsive approaches been adopted and adapted either through distance/ remote learning during school closures, and/or through in-school practices once schools were reopened?
		If so, how and to what extent have these approaches responded to girls' needs and supported their learning?
			SECONDARY DATA
			• Review of project documentation:
			  • Medium-Term Response Plans (MTRPs)
			PRIMARY DATA
			• Key informant interviews with:
			  • National government and district education authority officials
			  • IP and consortium partner staff
			• In-depth interviews with:

TIMEFRAME	SAMPLED PROJECTS	QUESTIONS	KEY DATA SOURCES

		2C: If/ when schools were closed, how, why, and to what extent have teachers been engaged in providing remote or adapted learning opportunities for girls (e.g. home visits, telephone-based support) during the Covid-19 period?
		
		2D: How, why, and in what ways have teachers worked to identify, monitor, and mitigate girls at risk of dropping out and of not returning to school?
		
		What support, if any, have teachers received (from schools and the wider education system) in relation to help mitigate the dropout of girls?
		
		2E: Have teachers been provided with adequate training and resources in adapting to the Covid-19 situation both through remote/ home learning and in schools once they re-opened?
		
		Have they been provided with adequate training and resources to support the resulting remediation process that are likely to be needed for marginalised girls? (e.g. training on hybrid learning models, accelerated learning, catch-up programmes etc.)
		
		2F: Have teachers been provided with training and/or resources to support their own social and emotional wellbeing during school closures and once they re-opened? Have teachers been provided training on psychological first aid and social/ emotional support for girls?
			• Headteachers
			• GEC II Teachers
			• Focus Group Discussions with:
			  • Female project learners (returners and non-returners)
			  • School Management Committees/ Community groups
			• Classroom observations (mixed-gender and single-sex classrooms)

2. Analysis of Secondary Data: Methods and Limitations

The team reviewed various secondary data sources and evidence collected independently and provided by the FM. As discussed in *Section 1.3*, these were primarily used to inform the analysis of RQ1.

2.1. Review of the Key Literature

A literature review was conducted using a purposive search strategy to identify recent (within the last 10 years) research evidence on the theme of teachers and teaching.

Themes

The search prioritised literature addressing key themes relevant to the study, including:

- Teacher professional development in low-income systems of education;
- The role and impact of female teachers;
- Quality teaching for marginalised girls (including gender-responsive pedagogy and girls' education in low-income contexts).

Search strategy

Literature was identified through: rapid online keyword searches in academic journals and databases; 'snowballing' techniques to identity further literature cited in the reference lists of these articles; recent publication lists from recognised international agencies and organisations, such as UNICEF, UNESCO, and the World Bank; and purposive document selection from recommendations from key stakeholders directly and through webinars, such as key staff from implementing partners presenting at Fund Manager GEC II webinars. Key GEC II documents and thematic reports were included to ensure the study incorporated key GEC project and portfolio-level lessons.

Limitations

The review sought to define and provide an introduction to the key concepts utilised in this report with the aim of informing the framing of the study, rather than an extensive review of all literature on the topic. It was not intended as a rigorous or a systematic review of the literature.

2.2. Review of Project Documentation

The Research Design includes three main sources of project-level documentation that were included for analysis:

- Project technical monitoring reports
- External evaluation reports
- Project Medium-Term Response Plans (MTRP) in response to Covid-19 (short list only).

The Fund Manager provided technical monitoring and external evaluation reports for relevant GEC II projects to the Independent Evaluation Team for the purposes of the study. The Independent Evaluation team conducted a thorough document review of thirty-seven documents relating to the ten long-listed projects, including midline evaluation reports for all projects (except EAGER in Sierra Leone, for which the baseline external evaluation report was used), and technical monitoring reports provided by the FM.

This document set was uploaded to the qualitative analysis software NVivo and coded using a simple coding framework designed to capture information for the overarching Research Question 1 (*Table 4*).

Table 4: Coding framework for technical monitoring and external evaluation reports

Node	Child code
Teacher Professional Development (TPD) evaluation assessments	• TPD strengths • TPD weaknesses • TPD recommendations
Teacher professional development content	• Content knowledge and pedagogical content knowledge • Gender-responsive pedagogy • Inclusive pedagogy • Safeguarding and child protection • Remedial or accelerated curriculum • Language or medium of instruction (incl. English language) • Lesson facilitation and lesson planning • Learner centred pedagogy • Formative assessment
Teacher professional development modality/ delivery	• Cascade training • Coaching, mentoring, and role models • Competency or teaching standards-aligned training • Continuous professional development (incl. school-based) • Peer-learning • Performance management and/or classroom observation • Remote or distance TPD (incl. digital/ ICT-based) • Printed materials or resources • Teacher training (general)
Teachers/educators targeted	• Female teachers • Underperforming teachers • Teacher trainers • STEM teachers • All • Community-based education (CBE) teachers • Government teachers • Headteachers • Para-educators (e.g. teaching aids, mentors)
Adequacy of TPD provision	• Teacher satisfaction • Sustainability • Mainstreaming of Gender Equality and Social Inclusion (GESI) • Accessibility • Frequency or duration • Effectiveness of TPD on teaching practices and/or learning outcomes

Coded data were then analysed to extract qualitative information on:

- Intervention descriptions aligned with intermediate outcomes for improving the quality of teaching;
- Barriers related to teachers and teaching, including supply-side barriers;

- The roles and responsibilities of GEC II teachers and educators, including government and community-based education teachers, headteachers, teacher educators, and para-educators, such as mentors and facilitators;
- Data on the number of teacher beneficiaries reported at midline, including—where possible—disaggregated data by teacher/ educator role, gender, school level, and subject/ type of training received;
- Information on where these teachers and educators work; and
- Evaluators' assessments of the strengths, weaknesses, and recommendations for improving teacher professional development (including training and resources).

Two mapping exercises were then conducted. One mapped the interventions reported by projects by: intervention type, teacher professional development type, and content of teacher professional development. The other mapping exercise mapped supply-side barriers reported by projects related to teachers and teaching. These mapping exercises formed the basis for analysis conducted to answer overarching Research Question 1.

A review of Medium-Term Response Plans (MTRPs) was also conducted for the four shortlisted projects to identify the key adaptations to programmes in light of the Covid-19 pandemic. This comprised the following documents:

- STAGES II Medium-Term Response Plan of 28.08.2020
- CBE MG Medium-Term Response Plan of 13.10.2020
- MGCubed! Medium-Term Response Plan of 31.08.2020
- EAGER Medium-Term Response Plan of 31.07.2020

Key information relating to adaptations relevant to teachers and teaching were extracted and used to produce the adaptation table provided in the main report (see main report *Section 5.4*).

Limitations in the secondary documentation analysis

- Technical monitoring reports are of varied length, scope, and methodology. In addition, the IE team were provided with different numbers of technical monitoring reports for the ten long-list projects, with some projects (e.g., EGEP-T) having many more documents available for analysis than others. For this reason, the reports are not directly comparable. Analysis should therefore not be considered of equivalent scope for all projects, but indicative only of general patterns emerging from the available documentation.
- The inclusion criteria for the barriers mapping were explicit mention of issues that influence teachers and teaching quality in the project contexts. Projects outlined both supply-side barriers and demand-side barriers. As the focus of this study is teachers and teaching quality, we specifically looked the supply-side barriers, e.g., low quality of teaching, inadequate teaching/learning materials, and shortage of qualified teachers. Barriers were identified in a 'deductive' manner, based on what projects explicitly linked to teachers / teaching quality. The key limitations of this approach are that the mapping may have unintentionally excluded barriers that projects alluded to but did not explicitly mention.
- Similarly, the intervention mapping sought to identify the key features of project interventions, including teacher professional development content and format, through a review of available project documentation. There was large variation in the nature, content, and depth of this documentation set. For this reason, a key limitation of this approach is that the mapping captured only those details about interventions that projects explicitly mentioned in the text, and for this reason may have under-reported the number of projects featuring a particular type or format of intervention. This is particularly the case for the coding of teacher professional development content, which was typically only reported in passing by projects, with few details therefore available on the specific content and aims. For this reason, the intervention mapping should be considered indicative, rather than exhaustive.

2.3. Analysis of Secondary Quantitative Data

The team conducted an analysis of secondary data collected for project-level external evaluations. This data was provided to the IE team by the FM. The approach to the analysis of this data is set out below.

Data availability

This data comprised baseline and midline data for the ten GEC-T projects sampled, and baseline data for the LNGB project (EAGER, which had not yet conducted a midline at the time of this study). Prior to Covid-19, no project had yet conducted endline data collection. Data was collected by the external evaluators for projects in 2017 - 2019.

Each external evaluation gathered its own data independently and made use of different data collection methods, including FM and project monitoring data; school / headteacher surveys; and classroom observations. For this reason, the nature, format and data content varied across projects. The IE team undertook several steps to understand the tools, the datasets and select the most useful indicators for the study during the study design phase:

Step 1. At the portfolio level, the IE team assessed the completeness of the evaluation data, by:

1. Creating a data bank of all datasets available in the GEC II Portfolio Management System, coded by type of survey contained in each dataset.
2. Creating a project overview of the availability of information by type of survey – surveys of girls and boys (including demographic information about GEC II girls and boys), learning assessment data, household survey, classroom observations, teacher surveys, and school surveys – for baseline and midline.

This step informed the selection of a longlist and shortlist of projects. The single LNGB project (EAGER) was not included in this mapping exercise because they had a different project design and the timing of implementation and reporting requirements also differed, meaning it was not possible to make comparisons with the GEC-T data.

Step 2. Several tables were created using colour coding to assess data availability across projects included for analysis, as shown below:

- **Green**: Data are available to the IE team.
- **Amber**: Data partially available (for instance when the data were collected at baseline only).
- **Red**: Data have not been collected

Table 5 shows the instruments used across the external evaluations for longlisted projects for baseline and midline. It is important to note that while the nine GEC-T longlisted projects collected data through classroom observations, teacher surveys and school surveys, as well as head teacher survey in some cases, the tools were not the same nor had the same questions/indicators collected. This is due, in part, to the fact that external evaluations did not aim to make portfolio-level comparisons, and as such no known guidelines were produced for these tools to enhance comparability.

Table 5: Quantitative instruments employed to collect data for each project external evaluation

	Project name	STAGES II	CBE MG	SOMGEP	EGDUE	DP	ENGINE-II	GATE	EGEP-T	MGCubed!
	Country	Afghanistan	Afghanistan	Somalia	Uganda	Ghana	Nigeria	Sierra Leone	Somalia	Ghana
Baseline tools available	Classroom observation									
	Teacher survey									
	School survey									
	Head teacher survey									
Midline tools available	Classroom observation									
	Teacher survey									
	School survey									
	Head teacher survey									

Step 3 entailed investigating the availability of external evaluation data to answer the study research questions, as well as whether the same questions were asked at both the baseline and midline ('panel' variables). Data from non-comparable questions were not analysed.

Data analysis with data available

Data was analysed using STATA and R. The analysis included the following two thematic areas (based on data availability as outlined above): **teacher training**; and **teaching practices**.

Table 6 provides an overview of the descriptive analysis produced by the IE team and the projects that were included in each one included (based on data availability).

Table 6: Analyses

Thematic area	Analysis	Projects with available data
Training	Proportion of observed teachers who have undergone training (male/female)	STAGES-II, CBE MG, ENGINE-II, EGEP-T, MGCubed!
	Proportion of observed teachers who have undergone training on gender-responsive pedagogy (male/female)	STAGES-II, CBE MG, ENGINE-II, EGEP-T, MGCubed!
	Proportion of observed teachers who have undergone training on numeracy (male/female)	EGEP-T, MGCubed!
	Proportion of observed teachers who have undergone training on literacy (male/female)	EGEP-T, MGCubed!
Teaching practices	Teacher practices	Varied across categories (see below)

Training – see analysis in report section 4.2.2

The IE team conducted an analysis of the extent to which teachers in project-support schools had received training at baseline and midline external evaluation, using observations from classroom observations and teacher surveys.

Teaching practices – see analysis in report section 4.2.3

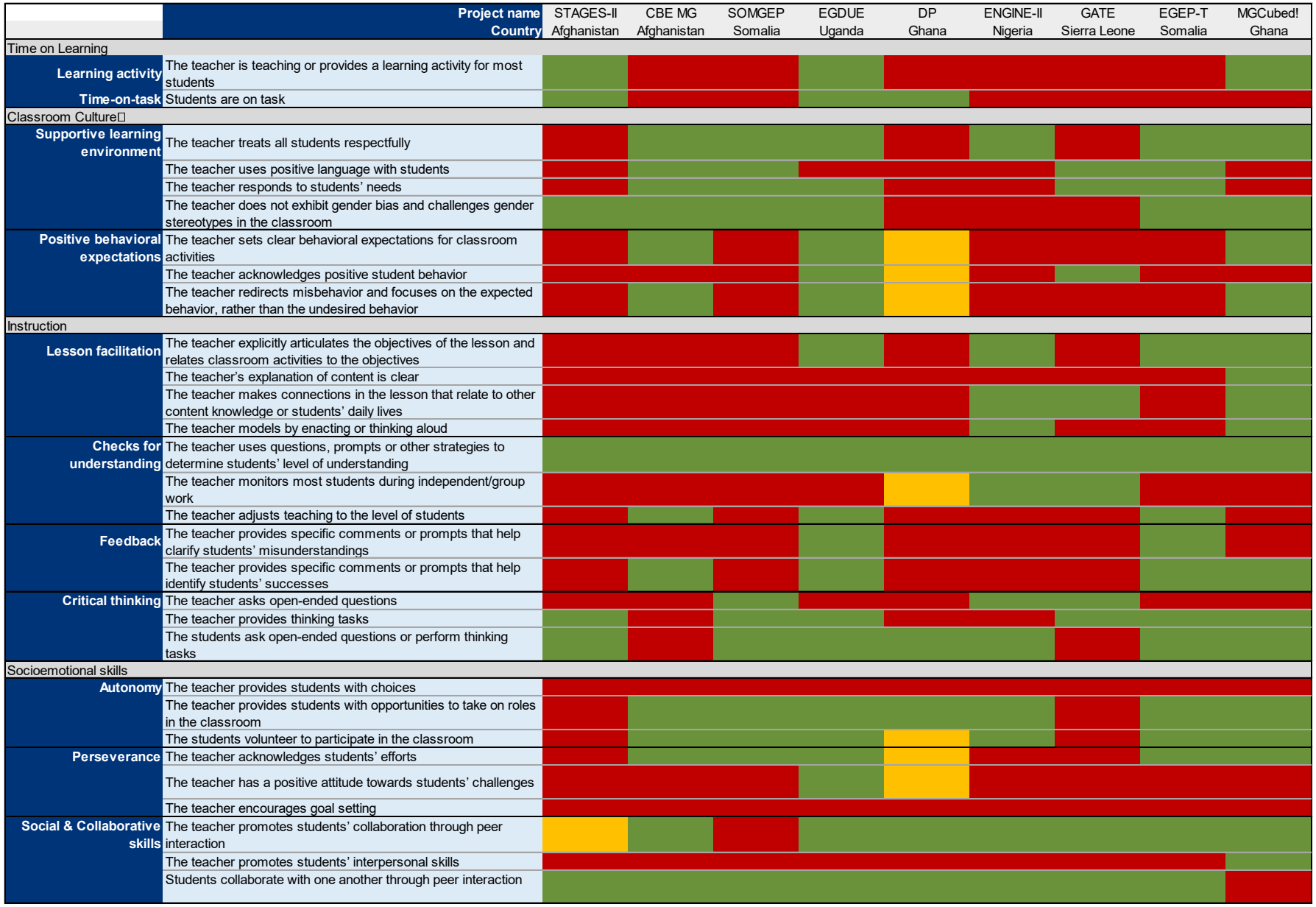
To compare positive teaching practices from baseline to midline, the IE team shortlisted all the classroom observation questions that referred to teaching practices and gender-sensitive approaches available at both baseline and midline and mapped to relevant categories of the World Bank Teach Tool.[2] The Teach Tool is a classroom observation tool which is intended to measure what happens in the classroom holistically. It does so by considering not just time spent on learning but, more importantly, the quality of teaching practices.

Most external evaluations did not collect data that could be clearly matched to most of the Teach Tool sub-categories. The tools were not designed to be compared to Teach but rather to be utilised for M&E purposes. The Teach tool, however, was used to establish a comparable framework across projects' different classroom observations tools.

Table 7 below details classroom observation data availability separated by Teach Tool categories across longlisted projects. Green shows that there was at least one 'equivalent' panel question (available at baseline and midline) for that teach sub-category in the external evaluation data shared with the IE team. Amber indicates that data were partially available (for example, data were collected at baseline only). Red indicates that data have not been collected. As can be seen in *Table 7,* the analysis for each indicator included a different set of projects.

[2] See: World Bank. (2019). Teach: Helping countries track and improve teaching quality. Retrieved from https://www.worldbank.org/en/topic/education/brief/teach-helping-countries-track-and-improve-teaching-quality

Table 7: Mapping of availability of GEC II project external evaluation data to Teach Tool



Results from this mapping exercise show that most of the data from classroom observations focused on capturing how teachers conducted their classes rather than their pedagogical skills and thus most of the questions ended up falling within the **Supportive Learning Environment** sub-category of the Teach Tool. For this reason, this was selected as the first focus area, as there were sufficient data from different projects to enable a comparison across projects.

In addition, the IE team included one indicator drawn from the sub-category of **Checks for Understanding**, as this was mapped to at least one indicator in each of the nine longlisted GEC-T projects. This metric reflects an important step in the teaching and learning process: gauging what girls, particularly marginalised girls, get out of their lessons.

The project team then mapped the variables available at project level to the Teach Tool indicators and assigned each one an ID (ID1-ID31). These are summarised in *Table 8*. Full findings for this question can be found in *Annex D* (expanded quantitative findings).

Table 8: Indicator definition for Supportive Learning Environment and Checks for Understanding

Category	Indicator	Definition
Sub-Category 1: Supportive learning environment		
Indicator 1: The teacher treats all students respectfully	ID1	Teachers are using corporal punishment against students
	ID2	Teachers are physically disciplining students
	ID3	Teachers are using angry tone or harsh language with students
	ID4	Teachers are exhibiting anger or hostility
	ID5	Teachers are scolding or punishing student on incorrect answer
	ID6	Teachers are reprimanding students for incorrect answer
Indicator 2: The teacher uses positive language with students	ID7	Teachers are saying positive things to students
	ID8	Teachers are providing positive encouraging feedback
	ID9	Teachers are congratulating students
Indicator 3: The teacher responds to students' needs	ID10	Teachers are actively trying to involve a student who was not participating
	ID11	Teachers includes all students in lesson
	ID12	Teachers are noting learners who are struggling
	ID13	Teachers are conveying genuine concern/understanding for students
	ID14	Teachers are pairing learners with different needs together
	ID15	Teachers are encouraging students to ask questions
	ID16	Teachers are stopping lesson to invite questions from students
	ID17	Teachers are allowing time at the end of lesson for students to ask questions
Indicator 4: The teacher does not exhibit gender bias and challenges gender stereotypes in the classroom	ID18	Teacher are giving boys and girls equal opportunities to participate in class
	ID19	Classes with girls given equal access to materials, etc.
	ID20	Classes with girls and boys given equal time to respond to question
	ID21	Classes where teacher calls on boys and girls equally
	ID22	Classes where teacher praises boys and girls equally
	ID23	Classes with girls asked the question with same difficulty as boys
	ID24	Teachers are giving a direct question or comment to a male (female) student
Sub-Category 2: Checks for Understanding		
Indicator 5: The teacher uses questions, prompts or other strategies to determine students' level of understanding	ID25	Teachers are asking questions from the whole class at the end of lesson
	ID26	Teachers are asking questions from students on the subject presented in class
	ID27	Teachers are using formative assessments
	ID28	Teachers are using both whole class teaching and Q&A
	ID29	Teachers are checking students' work

Category	Indicator	Definition
	ID30	Minutes of total class time are spent on learners being assessed by teacher
	ID31	Number of times teacher called on students for responses

To ensure that results are comparable, the IE team constructed a panel of schools per project to carry out the secondary data analysis for this question. The IE team also made certain assumptions which are listed below:

- The dataset does not include teacher names or teacher identifiers. This means that teachers observed at baseline are not necessarily the same as the teachers observed at midline. Given the lack of identifiers, the IE team were unable to create a panel of individual teachers. As a result, we are assuming that **teacher observations and teacher surveys, if sampled randomly, can be considered representative of the school usual teaching practice and teachers' mean characteristics.**
- The teachers, as well as the proportion of classes observed by subject, change between baseline and midline. For this analysis the IE team made an assumption that the **indicators in these sub-categories apply equally to all subjects observed**.
- Some of the projects used 'snapshot' observations (evenly spaced lesson observation intervals) whereas others used whole-class observations. For this analysis the IE team made an assumption that an **aggregate of all the snapshots for a class can be considered as a whole class observation.**
- In some of the projects, the external evaluators only observed a teacher for one class at baseline but observed teachers in more than one class (usually 2) at midline. **To compare teacher practices between baseline and midline, the scores for the teachers, where they were observed for more than one class, were averaged out.**

Limitations

The analysis of secondary data was subject to some key limitations. These include the following:

- The datasets did not contain identifiers for individual teachers or learners. For this reason, the IE team were unable to compare the variables for individual teachers or learners from baseline to midline. This also prevented the IE team from focusing on the ways in which these practices resulted in outcomes for marginalised girls. The analyses we are able to include ultimately reflect the availability of data, rather than the importance of these analyses in understanding the role of teachers in the GEC II or in providing recommendations.
- The availability of external evaluation data and indicators used varied across projects and limited the extent to which the IE team could conduct a comparative analysis of certain themes. This is due, in part, to the fact that the intention of external evaluations was not to make portfolio-level comparisons and no guidelines were provided for these tools to ensure some degree of comparability.
- The timeline of this study means that the analysis of quantitative secondary data only covers baseline and midline data, which was collected prior to Covid-19. Due to the short time interval between both rounds – a year on average – any impact of the intervention may have been limited at this stage in the timeline as the intervention had only been active for a short period.
- The baselines and midlines by external evaluators collected data in samples of project-supported schools. The samples included both teachers who were trained and those not trained by the projects. In addition, as mentioned above, external evaluations did not uniquely identify the teachers, and teachers were not necessarily tracked over time. As such, the IE team cannot attribute any changes in teaching practices observed in these schools to direct project activities. However, the underlying assumption is that teachers in the GEC II project schools will either directly or indirectly benefit from project activities.

3. Collection and Analysis of Primary Data: Methods and Limitations

3.1. Overview

As outlined in the Research Framework above, the research design for this study includes four main methods for primary data collection. These methods, and the key research design rationale and limitations considerations, are outlined in *Table 9* below.

Table 9: Research design: primary qualitative methods and limitations

Method	Respondent(s)	Rationale	Limitations and mitigation strategies
Semi-structured open-ended in-depth interviews	16 headteachers	Semi-structured open-ended interviews (including in-depth and key informant) provide key topics (translated for context) and probes. This improves comparability of responses across countries or projects. Key informant interviews provide information to inform the wider context within which the GEC II projects are working. In-depth interviews designed for headteachers and teachers to share their experiences and perspectives on the key interventions and themes.	Respondents may feel obliged to portray a particular topic or intervention in a certain light, particularly if direct or indirect beneficiaries of the project being discussed. Interviews depend on trust and rapport between interviewees and facilitators, which can be hard to establish in a short time frame. Interviews require a high degree of facilitator knowledge and skill, and therefore require careful recruitment and appropriate training on both the instruments and the content. Facilitators' own observational, cultural, and other biases may be reflected in the way questions are framed. Data generated through interviews can also be difficult to generalise, owing to the interactions between groups and the risk of perspectives not representing those of a wider population. To overcome these challenges, highly qualified facilitators were recruited through data collection partners in-country. An open-ended concluding question also provided respondents with the opportunity to raise any important issues not already covered.
	137 teachers		
Semi-structured open-ended key informant interviews	6 government education authority officials		
	8 district education authority officials		
	7 IP and partner staff		
	7 external partners		
Focus group discussions	24 groups of beneficiaries (returners)	Focus group discussions are included to engage the voices of GEC II learners, including those who did and did not return to	Focus groups can feel contrived and intimidating for participants not used to this kind of research, particularly those from

Method	Respondent(s)	Rationale	Limitations and mitigation strategies
	7 groups of beneficiaries (non-returners) 31 groups - community stakeholders, incl. school management committees/ Shuras 6 groups of teacher educators	schools after they reopened, and school community groups. Group interviews can be less intimidating than in-depth or one-on-one interviews and facilitate a livelier discussion among respondents, particularly groups of friends from the same school or community, with diverse experiences and perspectives. Focus group discussion instruments for use with beneficiaries were written to use familiar and unthreatening language, and open-ended questions. Focus groups provide an opportunity to triangulate data gathered through other methods, for instance girls' reports of their experiences of teaching in the classroom, compared to what teachers say they do in the classroom, and what observational data suggest happens in the classroom.	marginalised communities or groups. Focus groups require a high degree of facilitator knowledge and skill, and therefore require careful recruitment and appropriate training on both the instruments and the content. Facilitators' own observational, cultural, and other biases may be reflected in the way questions are framed. Data generated through group interviews can also be difficult to generalise, owing to the interactions between groups and the risk of perspectives not representing those of a wider population. There is a risk of more and less active participants. Sensitive areas—such as corporal punishment or gender-based violence—may also be confronting or triggering for beneficiaries or their families. Questions about sensitive areas are kept to a minimum, and training on safeguarding protocols for the respective projects is built into the training and piloting process. Facilitators were trained on ensuring equitable inclusion of respondents, directing prompts or re-asking questions to respondents who are shy or less engaged.
Narrative classroom observations	12-18 classroom observations are allocated for each of the four short-listed projects (2-3 per school in sample, per project), totalling 60	For the narrative-based classroom observations, two facilitators attend the lesson: one facilitator observes the teacher/ educator; the other observes four pre-selected learners, based on the selection protocol (see *Annex C* on research tools for learner selection protocol). Narrative-based classroom observations allow facilitators to observe qualitative indicators of gender-responsive and other pedagogical practices, including: • the chronology of key events, with a focus on the four learners and the teacher, including levels of student engagement, teacher inclusion, and peer reactions in single-sex and mixed-gender classrooms;	Narrative observations require a high degree of facilitator knowledge and skill, and therefore require careful recruitment and appropriate training on both the instruments and the content, for instance gender-responsive pedagogy. Two facilitators are required for each observation: one to observe the teacher; and the other to observe the learners. In contexts where female facilitators are required for female-only learning settings, recruitment of suitably qualified facilitators can present a challenge. Observational data may reflect the facilitators' own observational, cultural, and other biases.

Method	Respondent(s)	Rationale	Limitations and mitigation strategies
		• the quality of interactions or rapport between teachers and learners; • non-verbal signals, such as teachers' tone of voice or body language; • classroom atmosphere The instruments include guidance on what kinds of behaviours or events the facilitators could focus on, while also providing scope for open-ended observations arising from the classroom. This qualitative approach affords for richer, more nuanced data on the quality of interactions and types of gender-responsive practices than quantitative or structured observations.	The presence of facilitators in the classroom may introduce 'performance bias' among teachers and disrupt the usual flow and dynamics of the classroom. Observations also produce a large amount of data through teacher observation transcript, learner observation transcript, and joint observer moderation form. This requires careful attention and triangulation. To overcome these limitations, facilitators were given dedicated training on the instruments, and the Independent Evaluation team provided feedback on the piloting transcripts to improve the quality of data gathered.

3.2. Data Collection Partners and Process

The IE team collaborated with local data collection partners to collect data in Sierra Leone, Ghana and Afghanistan.

Prior to fieldwork commencing, our Southern Academic Partners (SAPs) – the Institute of Social and Policy Sciences (I-SAPS) in Pakistan; and the Africa Population and Health Research Centre (APHRC) in Kenya - and the four IPs – STAGES-II and CBE MG in Afghanistan, MGCubed! in Ghana and EAGER in Sierra Leone - supported with the development of context-specific research tools (*Annex C*). Collaborations and consultations with the partners ensured that the tools designed by the IE team were able to generate accurate, context-relevant findings in response to the research questions, and to generate findings that are relevant to the wider programmatic and policy efforts.

The majority of fieldwork took place between March and June 2021. Due to the sensitivities in working with women and girls, fieldwork staff were selected by the local data collection partners based on previous experience working with girls and in schools on similar projects.

Training for interviewers, moderators, and supervisors was designed and managed by Fieldwork Manager, Julia Midland. The study team offered feedback and provided input into all training material. Due to Covid-19 travel restrictions, the Fieldwork Manager worked virtually with our local partners and oversaw in-depth training via Zoom of all local partner management and training staff. These local partner management staff then delivered the training in-person to the research teams, with daily oversight from the Fieldwork Manager. Logistical and technical realities made it difficult for the Fieldwork Manager to attend all training sessions virtually. Training oversight was managed through check in calls with local partner staff twice daily, once before each training day and once at the end of each day. Training content was reviewed and any issues or queries that arose during the training were discussed and clarified. Training in Afghanistan was completed using a train the trainer model due to insecurity and cultural considerations (for example, the inability for women to travel unaccompanied in many parts of the country). Regional managers and team supervisors from all provinces included in the study travelled for in-depth training and initial piloting led by the local data collection partner's Project Manager.[3] In all three countries, training was designed to take place over seven days, with the sixth day reserved for tool piloting.

Training covered:

- Project overview, objectives, and purpose
- Research methodology, sampling, and quality control
- Safeguarding, research ethics, consent, and interview technique

[3] Fieldwork in Afghanistan was conducted between March and June 2021, prior to the August 2021 Taliban takeover of the country.

- Data protection
- Research tool review
- Interview and moderation technique
- Classroom observation protocol
- Role playing and dummy interviews

The sixth day of training in each country was reserved as a pilot day to test for research tool sensitivities and comprehension, and to allow research staff the opportunity to practise prior to commencing fieldwork.

Our Fieldwork Manager and data collection partners upheld rigorous standards to ensure quality control, including but not limited to the following:

- Completing all data collection in line with standard research practice and complied with ethical standards of consent. All staff were transparent with respondents regarding the aim and objectives of the project and fully explained the process prior to commencing interviews.
- Audio recording all IDIs, KIIs and FGDs.
- Holding debrief meetings at the end of each day of fieldwork.
- In Sierra Leone and Ghana, all classroom observation data collected using Computer-Assisted Personal Interviewing (CAPI) devices was encrypted and held in PSI's secure data storage platform.
- All moderators, observers, quality control officers, and management staff recruited to work on this study signed non-disclosure and confidentiality agreements before they were engaged for fieldwork.
- Daily calls and check ins between the Fieldwork Manager and the local research teams allowed for resolution of issues during fieldwork, as needed. Further, the Fieldwork Manager worked closely with the IE team to manage the data collection process through daily updates and weekly calls.

3.3. Sampling and Respondents

Overview

The primary qualitative data component for the study was designed using a multi-level approach that engaged key informants and participants from across the education system, including:

- The system level, such as government or national agency representatives;
- The middle or regional level, including district education authorities and district-level implementation partner staff;
- The organisational level, including implementing partners and consortium partners;
- School and classroom level, including headteachers, teachers, and learners; and
- Community level, including members of community groups and school committee or Shura members.

The target and achieved numbers for interviews, focus group discussions, and classroom observations with respondents accommodated in the research design are detailed in *Table 10* below. Please note, this table outlines the allowances catered for by the research design for the primary qualitative methods component: the actual number of interviews and focus group discussions varied between projects due to conditions arising in the field and respondent availability.

Table 10: Primary methods and respondent allocations: targeted and achieved

Level of data collection	Total by project (target)	Total for CBE MG (achieved)	Total for EAGER (achieved)	Total for STAGES-II (achieved)	Total for MGCubed! (achieved)
National level					
KIIs at national Ministry of Education or equivalent	2	3	1	1	1

Level of data collection	Total by project (target)	Total for CBE MG (achieved)	Total for EAGER (achieved)	Total for STAGES-II (achieved)	Total for MGCubed! (achieved)
Regional level					
KIIs with district education authority	2	2	2	2	2
School level (6 schools/Space Spaces included per project)					
Interviews with educators	30-60	36	18	47	36
Interview with headteachers	6	4	N/A*	6	6
Classroom observations	12	12	18	12	18
Focus group discussions with learners (returners)	6	6	6	6	6
Interviews/focus group discussions with learners (non-returners)		N/A**	5	N/A**	2
Discretionary focus groups (e.g. School Management Committees, school shuras)	12	6	13	6	6
Implementing partners and key stakeholders					
KIIs with IPs/ External Evaluator/ Consortium partners	2	2	2	1	2
KIIs with external stakeholders, e.g., training providers/ partners, teacher hubs	2	2	1	3	1

**There are no headteachers at Safe Spaces.*

***The team in Afghanistan did not encounter any non-returners (based on information from the schools and from IP staff).*

School sampling

For each of the four projects on the primary data collection shortlist, six educational spaces (i.e., schools/'Safe Spaces/Learning Centres/Learning Spaces') were identified as sites for primary qualitative data collection through the four main qualitative methods (in-depth interviews, key informant interviews, focus group discussions, classroom observations).

The sampling approach for identifying these six educational spaces was purposive, conducted in collaboration between the IE team and the implementing partners. The IE team provided IPs with a template (see *Table 11* for the main columns) identifying the key sampling criteria and characteristics to aid sampling decisions. These key sampling criteria include:

- Six schools/Safe Spaces to be drawn from two rural districts (three schools/Safe Spaces per district) in Ghana and Sierra Leone, and twelve schools (six per IP) in Afghanistan to enable a focus on marginalised girls and teachers in rural settings. A safety risk assessment informed the district selection, considering Covid-19 and/or security concerns;
- Sample schools must have project-trained teachers available for classroom observation and/ or interview; and
- Sample schools must include schools with evidence of varied effectiveness of project implementation of interventions for improving the quality of teaching, e.g., highly effective, average, and less effective implementation of GEC II interventions.

Other sampling considerations included, where possible:

- Availability of female teachers for observation and/or interview; and
- School sample includes schools which bridge upper primary and lower secondary (where possible).

Table 11: School sampling template

Implementing/ consortium partner (if other than IP)	
District	
Community/Village	
School name	
School level (e.g. upper primary, lower primary)	
School Type (if project works with public and CBE)	
Grade-level (e.g. upper primary, lower secondary)	
Rural (remote)/ Rural (not remote)	
Is the District a hard-to-reach area?	
Primary Industry	
Primary Language	
Primary Religion	
Is there a primary school in this village/district?	
Is there a secondary school in this village/district?	
How has girls' progress with learning been in this community, compared to other communities? (e.g., above, below or average)	
Evidence/source data for measuring girls' progress with learning	
Level of effectiveness of implementation of interventions related to improving teaching quality, such as mentoring/ coaching, teacher professional learning, etc… (highly effective, average, less effective)	
Please describe relevant interventions used for this assessment, and evidence of effectiveness	
Have there been any challenges to implementation of these interventions in this community? (e.g., attendance, mentors/facilitators/teachers' ability, support from stakeholders, girls' engagement, etc.)	
Selected for sample? (Yes, no)	

Respondent selection

Respondents were purposively selected in consultation with implementing partners, to maximise the experience and expertise represented across the respondent sample within the scope for the Teachers and Teaching study objectives and research questions. Please see *Table 10* for the respondents and methods included in the research design.

Where possible, respondents from implementing partners prioritised staff with responsibility for GEC II teacher recruitment, deployment, or training.

Data collection partners were also provided a learner selection form to help facilitators identify learners for the observations and subsequent inclusion in focus group discussions (please see the Learner Selection Protocol in *Annex C*).

Fieldwork replacement strategy

The IE Field Manager ensured the timely collection of primary data by the data collection partners. This included managing the fieldwork replacement strategy in the event that proposed respondents could not be interviewed. This was done in close coordination with the IE team and data collection partners to help identify the most suitable substitutes to reduce limitations to the study's data quality. Issues were identified during daily or near-daily communication with the local partners, which were then collated, and raised with the IE team.

For cases in which national level informants or external stakeholders were not available, could not be located, or refused to be interviewed, the identified individual was replaced by an official with similar knowledge. The team encountered one refusal for a national-level KII in Sierra Leone, several refusals at the national-level, two refusals by teachers, and one by a School Management Committee member in Afghanistan.

In some locations, the local teams were not able to locate sufficient respondents for the female learner and non-returner FGDs. In cases where at least five girls were available, the FGDs were conducted with fewer respondents. In cases where fewer than five girls were available, the FGDs were replaced by IDIs with the available girls. In some locations, where no non-returners were available, the teams were allowed to omit the FGD for that location.

3.4. Research Tools, Training and Translation

As mentioned above, all research tools (*Annex C*) developed for the study were designed in close collaboration with the IPs and our SAPs. Research tools for use with children, such as focus group discussions with girls, were developed with reference to literature on child-focused research methods, and particularly on safe and ethical research with girls and marginalised children.

Clear instructions were developed for facilitators responsible for implementing the data collection tools. These instructions were included in remote facilitator training and provided along with all data collection tools. Research tools in all countries included three classroom observation forms – one Joint Moderator Form, one Learner Observation Form, and one Teacher Observation Form – as well as twelve separate qualitative guides for Sierra Leone and Ghana and ten for Afghanistan.

In Ghana, the twelve guides were developed as follows:

1. KII with Ministry of Education
2. KII with Ghana Education Service
3. KII with District Education Authorities
4. KII with MGCubed! representative
5. KII with MGCubed! Lead Master Teacher Trainer
6. Discretionary KII with Ghana Broadcasting Corporation
7. IDI with MGCubed! Headteacher
8. IDI with MGCubed! Facilitators / By-Grade Teachers
9. FGD with MGCubed! Lead Master Teacher Trainer
10. FGD with Female MGCubed! Beneficiaries (who returned once schools reopened)
11. FGD with Female MGCubed! Beneficiaries (who did not return)
12. FGD with School Management Committee

In Sierra Leone, the twelve guides developed included:

1. KII with Ministry of Basic and Senior Secondary Education
2. KII with District Education Authority
3. KII with EAGER consortium Implementing Partners
4. IDI with Basic Literacy and Numeracy facilitators
5. IDI with Life and Business Skills mentors
6. Focus Group Discussion with Life and Business Skills Officers
7. Focus Group Discussion with Basic Literacy and Numeracy Officer
8. Focus Group Discussion with female EAGER beneficiaries (who returned to the Safe Space once they reopened)
9. Focus Group Discussion with female EAGER beneficiaries (who did not return to the Safe Space once reopened)
10. Focus Group Discussion with key community stakeholders

In Afghanistan, the twelve guides were developed as follows:

1. KII with Ministry of Education

2. KII with District Education Authorities

3. KII with STAGES-II consortium partners, CBE MG

4. KII with External Stakeholders

5. IDI with Public School Teachers

6. IDI with CBE Teachers

7. IDI with Headteachers

8. FGD with School Management Committee

9. FGD with Students (who returned once schools reopened)

10. FGD with Students (who did not return)

In all three countries, all instruments – consent forms, IDI, FGD, and KII guides – were translated as needed prior to interviewer and supervisor training. The tools were translated into Krio for data collection in Sierra Leone; Dangme and Ewe for data collection in Ghana; and Dari and Pashto in Afghanistan. Professional translators were used for all local language translations. Per standard data collection partners' protocol, a neutral, third party was hired to review and verify all translations through back-translation, a process in which the translator is asked to translate the local language translations back into English, without seeing the original English language files. Reviewed translations were then verified against the English master. All translations were further verified during training, when staff were given the opportunity to discuss the nuance of specific words used and offer feedback on the translations. Piloting the tools at the end of training further tested the adequacy of these translations. Suggested revisions to the tools were thus made after piloting.

3.5. Ethical Research and Safeguarding

All research undertaken for this study was conducted in line with the research and safeguarding protocols set out in the Independent Evaluation of the GEC II Ethical Research and Safeguarding Framework (*Annex E*).

Ethical clearance for this study was granted by the Faculty of Education at the University of Cambridge. In the case of Sierra Leone, Institutional Review Board (IRB) approval was given from the International Rescue Committee. Research permissions were granted by the Ministry of Education (Afghanistan), Ghana Education Services (Ghana) and the Ministry of Basic and Senior Secondary Education (Sierra Leone).

The IE team developed comprehensive assent (for respondents under 18 years) and consent (for respondents above 18 years) forms that were read out to each respondent before undertaking primary research. These assent and consent forms allowed for oral consent as well as written consent, to cater for varying literacy levels among respondents. The content of these forms included the purpose of the research study, the request for participation, and an option for respondents to revoke assent or consent to participate if at any point they felt uncomfortable during the interview or focus group discussion.

During the analysis phase, any potential welfare or safeguarding incidents that were raised by the research team relating to classroom behaviours observed in the course of the fieldwork were reported to the FCDO, the FM and the respective Implementing Partners. These was done in line with the reporting mechanisms set out in the Ethical Research and Safeguarding Framework (*Annex E*).

3.6. Analysis of Primary Data

To answer the research questions, a set of 429 primary qualitative transcripts received in English were gathered, cleaned, and analysed. This section describes how these data were analysed.

Computer-assisted qualitative analysis software

Analysis of the primary qualitative data (transcripts) was conducted through the computer-assisted qualitative analysis software, NVivo. A team of six coders collaborated through a Cloud Collaboration licenced version of the software, to enable multiple coders to simultaneously code all 429 transcripts gathered for the study.

Analysis of the coded data was conducted using three main analytical queries facilitated by NVivo:

- **Simple coding queries**, which allow analysts to gather coded data coded at combinations of different nodes (top level codes) or from cases with specific attributes (for instance respondent IDs disaggregated by gender, age, implementing partner or other demographic or characteristic data logged in the classifications sheet);
- **Matrix queries**, which enable analysts to compare different demographic groups, different contexts, or attitudes by code, and to visualise data through matrices, charts, or tables; and
- **Cross-tabulation queries**, which enable analysts to look at additional levels of attribute or code data, such as codes disaggregated by any combination of age, gender, implementing partner

Respondent attribute classification sheets

The study team developed a classifications sheet to catalogue unique respondent IDs and attributes data for all 773 respondents who participated in any of the primary research methods for this study. This classifications sheet was then uploaded to NVivo, and the relevant transcripts were linked through case IDs to the relevant respondent(s) to allow for disaggregated data analysis by respondent type and attributes.

While attributes gathered through primary data collection vary depending on the type of respondent, standard respondent attributes include for instance (as relevant): age, gender, country, district, GEC II project, implementing partner, years of teaching experience (for teachers, headteachers and community members with a teaching degree), distance travelled to school (for teachers only), and highest level of qualification.

Coding frames and processes

All 429 transcripts were distributed across members of the coding team. To improve intra-coder reliability and efficiency, coders were allocated the entire set of one type of transcript, or transcripts by country: for instance, one coder was responsible for all the focus group discussions involving beneficiaries, while a group of three coders worked respectively on one of the three types of classroom observation transcripts. This facilitated consistency in coding approaches within a set of transcripts.

Coding of the qualitative primary data was then conducted in NVivo through a two-step process. First, the team coded the primary data using a combined deductive and inductive approach: i) a deductive coding structure was developed in advance for each instrument type, with codes structured to capture data based on the specific interview/ Focus Group questions in each instrument; ii) coders then extended this coding structure inductively, developing new codes based on patterns or key themes emerging from the data.

Second, these codes were combined and simplified into an overarching coding frame, to remove duplicate or conflated codes that may have emerged through the inductive stage, and to facilitate data analysis around the overarching research questions and emerging thematic focuses from the data (*Table 12*).

Table 12: Qualitative coding frame for interviews and FGDs

Node	Codes
Changes to interventions since the pandemic	Interventions introduced during school closures and continued after schools reopened During school closures Reason for changes to interventions Since schools reopened
Distance teaching and learning during school closures	Adapted curriculum and instruction Home visits, phone calls/text message, group tuition National distance learning initiatives Other distance teaching and learning Self-study for students (including TV/radio programmes)
Gender-responsive approaches during the pandemic	Data used for gender-responsive pedagogy and programming Evidence gender-responsive approaches meet girls' needs Remote or adapted gender-responsive pedagogy learning during school closures Gender-responsive approaches since schools reopened Girls' experiences of gender-responsive pedagogy approaches

Node	Codes
	Teachers' perspectives of gender-responsive pedagogy approaches
Impact of pandemic on GEC II teaching cadre	Changes in the GEC II teaching cadre Evidence for changes in teaching cadre Impact on female teachers Impact on rural or remote teachers Recruitment, retention, and training
Monitoring and safeguarding activities	GEC II teacher involvement in monitoring and mitigation Girls' experiences of monitoring and mitigation activities Girls' experiences of corporal punishment National-level monitoring and mitigation strategies Training and support for monitoring and mitigation Informal monitoring, mitigation, and safeguarding
Contextual analysis	Barriers Challenges to the sector Disincentives Enablers Incentives Interactions Links between GEC II and national strategies Stakeholders
Social and emotional wellbeing	Student experiences - wellbeing Teacher experiences - wellbeing Training and resources for student wellbeing Training and resources for teacher wellbeing
Teacher training and resources during the pandemic	IP teacher training and support content IP teacher training modalities Teacher perception of adequacy of GEC II training Teacher reports receiving IP training Teachers reports not receiving IP training Teacher desire for additional or different training GEC II training and support for monitoring and mitigation GEC II training and support for remote or adapted teaching Teacher reports receiving government or other training or support during pandemic
Teaching and learning since schools reopened	Automatic grade promotions Adapted curriculum and pedagogy Remedial or accelerated curriculum Girls' experiences of remedial or accelerated learning Repeated content or rescheduled programming

Classroom observation coding frame

A distinct coding framework was developed for the classroom observation transcripts. This is displayed in *Table 13*. The overarching structure of the coding framework was developed in reference to the Quality Teaching Framework for Marginalised Girls, including the overarching categories (or nodes) for Competencies for creating safe and inclusive

classrooms, and technical competencies to improve learning outcomes, and associated sub-categories. One alteration in the coding structure is that 'gender-responsive pedagogies' has been elevated from under 'Competencies for creating safe and inclusive classrooms,' given the centrality of this concept to this analysis and need for additional 'child' codes.

Detailed indicators or codes for gender-responsive pedagogies were then derived in part from the Gender Responsive Pedagogy Toolkit for Teachers (2020), published by the Forum for African Women Educationalists (FAWE) (FAWE 2020). The Toolkit includes a gender-responsive pedagogy Assessment Card (p.143) for teacher self-assessment and peer assessment of gender-responsive pedagogical practices, which have been adapted as codes under the Gender-Responsive Pedagogies node in this coding framework.

Additional codes, and definitions for gender-responsive, gender blind, gender-neutral, and gender-sensitive pedagogies are derived from *Putting SDG4 into practice: Gender-responsive pedagogy for early childhood education*, published by VVOB Education for Development.

This coding framework was also developed to complement the classroom checklists included in each classroom observation, which were designed to gather information about teacher preparedness, condition of the classrooms, classroom learning resources (including gender-responsiveness of charts, tables, and other teaching and learning materials on display), and Covid-19 protocol observance during class. Please see *Annex C* for the final research tools, including learner selection criteria and classroom observation forms.

Table 13: Classroom observation coding frame

Node	Codes	Child codes
Competencies for safe and inclusive classrooms	Inclusive education	Learning resources for learners with disabilities (inc. chairs, teaching and learning materials) No learners with disabilities reported in class Space and seating arrangements for learners with disabilities Quality of teacher inclusion of learners with disabilities Quality of learner interactions with learners with disabilities
	Safe classrooms and learning environment	Covid-19 facilities (hand sanitisation, ventilation, masks) Drinking water First-aid kit available Teacher inflicts physical punishment during lesson Non-violent discipline observed during lesson Violence between students observed during lesson Gender-related violence observed during lesson Provisions for pregnant or breastfeeding learners Provisions for learners with children
	Social and emotional wellbeing and resilience	Teacher positively supports learners to manage behavioural challenges Teacher encourages positive self-esteem or confidence Teacher provides psychological first aid if appropriate
Gender-responsive pedagogy	Classroom management and dynamics	Respect and rapport in the classroom Teacher manages classroom dynamics so girls and boys have equal opportunities (mixed gender) Teacher manages classroom dynamics so girls have equal opportunities (all-girls class) Teacher encourages respectful peer interactions Teacher excludes learners
	Teacher tone of voice	Positive Negative

Node	Codes	Child codes
		Neutral
	Teacher choice of language	Teacher uses respectful language towards learners
		Teacher uses gender-biased language
		Teacher actively corrects gender-biased language
	Lesson content or focus of lesson	Directly addresses gender equity or related content
		Perpetuates harmful gender stereotypes or norms
		Neither addresses nor perpetuates harmful gender stereotypes or norms
	Teaching activities	Safeguarding
		Promotes gender-responsive roles and equity
		Perpetuates harmful gender stereotypes or norms
	Teacher behaviour and attitude	Positive
		Negative
		Neutral
	Teacher body language and non-verbal cues	Positive
		Negative
		Neutral
Teacher technical competencies	Assessment and feedback	Formative assessment
		Summative assessment
		Positive feedback
		No feedback observed
	Content and pedagogical content knowledge	Teacher uses manipulatives or learning aids
		Teacher demonstrates ability to explain content to diverse learners
		Teacher does not demonstrate ability to explain content to diverse learners
		Teacher uses lesson plan, e.g., to set learning objectives/ review prior content
	Direct instruction	Teacher uses direct instruction/ lecturing all the time
		Teachers uses direct instruction/ lecturing some of the time
		Teacher does not use direct instruction/ lecturing
	Learner-centred pedagogy	Teacher tailors instruction to the level of the learner
		Teacher provides opportunities for group or paired work
		Teacher includes problem-solving or interactive activities
		Teacher engages learners through dialogic strategies

Triangulation

Where one respondent participated in multiple methods (for instance in classroom observations AND interviews or focus group discussions), multiple transcripts relating to one respondent were generated. To allow for triangulation between these data sources, transcripts were linked via unique IDs through the classification sheet and through NVivo. For instance, a teacher who conducted a class for a classroom observation who was then interviewed through an in-depth interview would have four transcripts coded to his or her unique ID: the IDI transcript and the narrative classroom observations (which consisted of three transcripts – one Teacher Observation Form, one Learner Observation form and one Joint Moderator form). Similarly, beneficiaries who were 'observed learners' and who then participated in a focus group discussion would also have four linked transcripts: the classroom observation transcripts (therefore, three transcripts), and the focus group discussion transcript. These subsets of transcripts could then be analysed to compare for instance what a teacher says about their teaching practices against what practices they were observed implementing in the classroom.

Teachers and learners were also linked to each other's respective observations, allowing triangulation between learners and teachers within one class observed.

The study team also triangulated responses to like questions asked of different types of respondents—for instance what implementing partner staff said they were doing to support teachers, compared to what teachers said about what support they were receiving from IPs—to highlight potential gaps in implementation or delivery.

3.7. Limitations and Mitigation

Coding was conducted using Cloud Collaboration software version of NVivo, which is time consuming and required monitoring of new codes to ensure consistency. There was also insufficient time for cross-coding (e.g., provision for coders to re-code different transcripts, to compare the coding outcomes from different coders) due to time constraints for completion of coding.

Other limitations in the coding include:

- Challenges in coding something that does not happen: for instance, if a behaviour or practice such as use of formative assessment is not observed;
- Coders were required to interpret qualitative data provided through an observation they did not themselves conduct.

Efforts to address these limitations in the methods, and to improve inter- and intra-coder reliability were undertaken through:

- A full day of **targeted training** led by the Senior Research Lead – Dr. Phoebe Downing - introducing coders to NVivo, and to the coding process/ framework for the study;
- **Weekly team workshops with the coders**, where the Senior Research Lead – Dr. Phoebe Downing - met with the coding team to discuss challenges, emerging codes, and suggested priority areas for analysis
- An interactive **coding log**, through which coders reported on the coding process (including challenges they were experiencing, as well as emerging themes or suggested new codes), which was regularly reviewed by the Senior Research Lead; and
- Input from the **Qualitative Methods Expert -** Dr Catherine Jere - who reviewed the coding frameworks and attended one of the weekly workshops to help troubleshoot ideas and answer questions from the coding team.

Purposive sampling was an appropriate approach for identifying schools and participants for inclusion in the study, which is an evaluation for learning. A purposive approach to sampling enabled the IE team to gather rich qualitative information from various, relevant sources for an in-depth analysis of key research questions and the area of inquiry.

However, the purposive sampling methodology used in this study and the resultant limited number of included projects and the schools/centres that were selected in consultation with the IPs could introduce the risk of bias. To reduce these risks and limitations, the IE team provided a template and guidance on sampling recommendations from implementing partners, including selection criteria requiring varied degrees of intervention implementation effectiveness. Sites for data collection were selected by the IE team, not the IPs, but in consultation with them, to ensure accessibility and safety. The template for school selection can be found in *Table 11*. Given the research design of this study, it is not intended to be representative and so there are limits on the generalisability of its findings to the GEC II portfolio overall.

The IE team also provided a selection protocol for the identification of learners for the classroom observations which included learners of different levels of attainment, those with children or who are pregnant, learners with disabilities, and a mix of girls and boys (where feasible). For the learner selection guidance, please see *Annex C* (Research Tools).

Annex C: Research Tools

This information is available on request.

Annex D: Expanded Quantitative Findings

This section contains the data tables for the review of quantitative data presented in section 4.2 of the main report. A description of methods is provided in Annex B.

This annex contains the following tables:

- Table 1: Number of observed teachers, gender of the teacher, and subject observed
- Table 2: Proportion of teachers using corporal punishment against students
- Table 3: Proportion of teachers exhibiting anger or hostility against students
- Table 4: Proportion of teachers using positive language with students
- Table 5: Proportion of teachers responding to learners' needs
- Table 6: Proportion of teachers using strategies to determine students' level of understanding
- Table 7: Proportion of teachers not exhibiting gender bias
- Table 8: Number/proportion of observed (female) teachers who received any training, project training and gender sensitive training

Mapping of Classroom Observation to Teach Tool

Table 1: Number of observed teachers, gender of the teacher, and subject observed

Project	Evaluation round	# Teachers observed	Share of female teachers	Subject observed: Mathematics	Subject observed: English	Subject observed: Local language	Subject observed: Other
STAGES II	BL	108	54.0	36.0	4.0	27.0	33.0
	ML	108	56.0	23.0	7.0	32.0	38.0
CBE MG	BL	92	95.0	26.0	9.0	40.0	25.0
	ML	92	92.0	24.0	5.0	22.0	49.0
SOMGEP	BL	65	18.0	38.0	38.0	24.0	-
	ML	32	3.0	78.0	0.0	22.0	-
EGDUE	BL	92	61.0	45.0	53.0	-	2.0
	ML	81	56.0	53.0	47.0	-	0.0
DP	BL	62	15.0	65.0	35.0	-	-
	ML	62	13.0	56.0	44.0	-	-
ENGINE-II	BL	33	39.0	41.0	56.0	-	3.0
	ML	34	35.0	44.0	53.0	-	3.0
GATE	BL	44	89.0	25.0	25.0	-	50.0
	ML	44	86.0	25.0	59.0	-	16.0
EGEP-T	BL	191	12.0	37.0	28.0	31.0	4.0
	ML	191	7.0	43.0	32.0	25.0	0.0

MGCubed!	BL	143	42.0	36.0	28.0	1.0	35.0
	ML	146	42.0	29.0	30.0	0.0	41.0

**Source: Classroom observation*

Table 2: Proportion of teachers using corporal punishment against students

Country Programme	Indicator	Baseline	Midline	Difference	N
STAGES II	-	-	-	-	-
CBE MG	ID1	0.402	0.152	-0.250***	184
SOMGEP	ID2	0.662	0.313	-0.349***	97
EGDUE	ID2	0.034	0.013	-0.021	169
DP	-	-	-	-	-
ENGINE-II	-	-	-	-	-
GATE	-	-	-	-	-
EGEP-T	ID2	0.759	0.233	-0.526***	380
MGCubed!	ID2	0.086	0.034	-0.052*	262

*Note: *P<.05, **P<.01, ***P<.001*

Table 3: Proportion of teachers exhibiting anger or hostility against students

Country Programme	Indicator	Baseline	Midline	Difference	N
STAGES II	-	-	-	-	-
CBE MG	-	-	-	-	-
SOMGEP	ID3	0.154	0.188	0.034	97
EGDUE	ID4	0.090	0.013	-0.077**	169
DP	-	-	-	-	-
ENGINE-II	ID5	0.031	0.000	-0.031	66
GATE	-	-	-	-	-
EGEP-T	ID3	0.163	0.068	-0.095***	375
EGEP-T	ID6	0.294	0.110	-0.184***	369
MGCubed!	-	-	-	-	-

*Note: *P<.05, **P<.01, ***P<.001*

Table 4: Proportion of teachers using positive language with students

Country Programme	Indicator	Baseline	Midline	Difference	N
STAGES II	-	-	-	-	-
CBE MG	ID7	0.891	0.967	0.076**	184
SOMGEP	ID8	0.578	0.656	0.078	96
EGDUE	-	-	-	-	-
DP	-	-	-	-	-
ENGINE-II	-	-	-	-	-
GATE	ID9	0.814	0.949	0.135*	82
EGEP-T	ID8	0.779	0.741	-0.038	379
MGCubed!	-	-	-	-	-

Table 5: Proportion of teachers responding to learners' needs

Country Programme	Indicator	Baseline	Midline	Difference	N
STAGES II	-	-	-	-	-
CBE MG	ID10	0.913	0.946	0.033	184
SOMGEP	ID10	0.6	0.813	0.212**	97
EGDUE	D14	0.393	0.421	0.028	165
DP	-	-	-	-	-
ENGINE-II	-	-	-	-	-
GATE	D11	0.884	0.860	-0.023	86
GATE	D15	0.884	0.864	-0.020	87
GATE	D12	0.581	0.875	0.294***	75
EGEP-T	D16	0.770	0.675	-0.094**	382
EGEP-T	D17	0.605	0.489	-0.116**	378
EGEP-T	D13	0.663	0.715	0.052	356
MGCubed!	-	-	-	-	-

*Note: *P<.05, **P<.01, ***P<.001*

Table 6: Proportion of teachers using strategies to determine students' level of understanding

Country Programme	Indicator	Baseline	Midline	Difference	N
STAGES II	ID25	0.769	0.380	-0.390***	216
CBE MG	ID26	0.967	0.967	0.00	184
SOMGEP	ID27	0.462	0.719	0.257**	97
^EGDUE	ID30	5.025	8.604	3.579***	157
DP	ID28	0.597	1.000	0.403***	124
ENGINE-II	ID27	0.152	0.176	0.025	67
GATE	ID29	0.535	0.600	0.065	83
^^ EGEP-T	ID31	7.073	5.895	-1.178**	382
MGCubed!	ID27	0.965	1.000	0.035**	289

^ EGDUE: Minutes of total class time are spent on learners being assessed by teacher

^^ EGEP-T: Number of times teacher called on students for responses

*Note: *P<.05, **P<.01, ***P<.001*

Table 7: Proportion of teachers not exhibiting gender bias

Country Programme	Indicator	Baseline	Midline	Difference	N
^STAGES II	ID24	0.138***	0.145***	-	108
CBE MG	ID18	0.8	1	0.2	7
SOMGEP	ID19	0.908	0.833	-0.074	95
SOMGEP	ID20	0.754	0.656	-0.098	93
EGDUE	ID21	0.787	0.730	-0.057	163
EGDUE	ID23	0.795	0.732	-0.063	159
DP	-	-	-	-	-
ENGINE-II	-	-	-	-	-
GATE	-	-	-	-	-
EGEP-T	ID23	0.810	0.631	-0.180***	331
EGEP-T	ID20	0.810	0.883	0.073*	328
^ EGEP-T	ID24	0.031	0.033		350
MGCubed!	ID20	1.000	1.000	0.000	289

^ STAGES II & EGEP-T: Test of significance to see if the proportions for teachers directing questions at boys and teachers directing questions at girls are different

*Note: *P<.05, **P<.01, ***P<.001*

GEC II teacher trainings

Table 8: Number/proportion of observed (female) teachers who received any training, project training and gender sensitive training

	STAGES-II (TS)		CBE MG (CO)		SOMGEP (CO)		EGDUE (CO)		DP (CO)		ENGINE-II (TS)		GATE (CO)		EGEP-T (TS)		MGCubed ! (CO)	
	BL	ML	BL	ML	BL	ML	BL	ML	BL	ML	BL	ML	BL	ML	BL	ML	BL	ML
Total number of teachers observed	108	108	92	92	65	32	99	89	62	62	32	33	44	44	345	415	143	146
Total number female teachers observed	61	57	87	85	12	1	58	49	9	8	13	12	39	38	43	37	60	61
Proportion of female teachers	56%	54%	95%	92%	18%	3%	60%	57%	15%	13%	41%	36%	89%	86%	12%	9%	42%	42%
Total number of observed teachers received any form of training **– any training**	-	-	-	-	-	-	-	-	60	-	12	31	-	-	176	256	108	125
Total number of observed female teachers received any form of training **– any training**	-	-	-	-	-	-	-	-	9	-	6	10	-	-	26	22	38	54
Proportion of female teacher who received any form of training **– any training**	-	-	-	-	-	-	-	-	15%	-	19%	30%	-	-	8%	5%	27%	37%
Total number of observed teachers provided any form of training **– any project training**	63	79	60	70	-	-	-	-	-	59	-	-	-	-	-	-	-	-
Total number of observed female teachers received any form of training **– any project training**	33	40	58	67	-	-	-	-	-	8	-	-	-	-	-	-	-	-
Proportion of female teachers (out of total teachers) who received project training **– any project training**	31%	38%	63%	73%	-	-	-	-	-	13%	-	-	-	-	-	-	-	-
Total number of observed teachers who received gender sensitive training	60	79	57	53	-	-	-	-	25	45	3	20	-	-	58	28	13	25
Total number of observed female teachers who received gender sensitive training	31	40	55	50	-	-	-	-	4	5	3	7	-	-	10	4	7	10

	STAGES-II (TS)		CBE MG (CO)		SOMGEP (CO)		EGDUE (CO)		DP (CO)		ENGINE-II (TS)		GATE (CO)		EGEP-T (TS)		MGCubed ! (CO)	
Proportion of female teachers who received gender sensitive training	29%	38%	60%	54%	-	-	-	-	6%	8%	9%	21%	-	-	3%	1%	5%	7%
Total number of observed teachers who received numeracy (maths) teaching methods training	-	-	-	-	-	-	-	-	26	59	-	-	-	-	40	68	19	4
Total number of observed female teachers who received numeracy (maths) teaching methods training	-	-	-	-	-	-	-	-	4	8	-	-	-	-	6	4	6	1
Proportion of female teachers who received Numeracy (maths) teaching methods training	-	-	-	-	-	-	-	-	6%	13%	-	-	-	-	2%	1%	4%	1%
Total number of observed teachers who received literacy teaching methods training	-	-	-	-	-	-	-	-	54	57	-	-	-	-	60	67	29	19
Total number of observed female teachers who received literacy teaching methods training	-	-	-	-	-	-	-	-	8	7	-	-	-	-	8	6	12	10
Proportion of female teachers who received literacy teaching methods training	-	-	-	-	-	-	-	-	13%	11%	-	-	-	-	2%	1%	8%	7%
Total number of observed teachers who received positive feedback training	62	78	59	68	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total number of observed female teachers who received positive feedback training	32	40	57	65	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Proportion of female teachers who received positive feedback training	30%	38%	62%	71%	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total number of observed teachers who received using varied activities training	60	69	60	68	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total number of observed female teachers who received using varied activities training	32	36	58	65	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Proportion of female teachers who received using varied activities training	30%	34%	63%	71%	-	-	-	-	-	-	-	-	-	-	-	-	-	-

	STAGES-II (TS)		CBE MG (CO)		SOMGEP (CO)		EGDUE (CO)		DP (CO)		ENGINE-II (TS)		GATE (CO)		EGEP-T (TS)		MGCubed ! (CO)	
Total number of observed teachers who received using materials training	61	73	57	68	-	-	-	-	45	56	-	-	-	-	-	-	-	-
Total number of observed female teachers who received using materials training	33	38	55	65	-	-	-	-	7	8	-	-	-	-	-	-	-	-
Proportion of female teachers who received using materials training	31%	36%	60%	71%	-	-	-	-	11%	13%	-	-	-	-	-	-	-	-
Total number of observed teachers who received child-friendly teaching / learner-centred teaching training	62	76	59	67	-	-	-	-	-	-	10	30	-	-	77	16	-	-
Total number of observed female teachers who received child-friendly teaching / learner-centred teaching training	33	38	57	64	-	-	-	-	-	-	5	9	-	-	15	3	-	-
Proportion of female teachers who received child-friendly teaching / learner-centred teaching training	31%	36%	62%	70%	-	-	-	-	-	-	16%	27%	-	-	4%	1%	-	-
Total number of observed teachers who received non-violent (child protection) methods training	59	71	56	67	-	-	-	-	-	-	4	23	-	-	59	33	-	-
Total number of observed female teachers who received non-violent (child protection) methods training	33	38	54	64	-	-	-	-	-	-	2	7	-	-	11	4	-	-
Proportion of female teachers who received non-violent (child protection) methods training	31%	36%	59%	70%	-	-	-	-	-	-	6%	21%	-	-	3%	1%	-	-
Total number of observed teachers who received using alternative teaching methods to support disabled students training	58	72	54	58	-	-	-	-	-	-	4	6	-	-	45	20	-	-
Total number of observed female teachers who received using alternative teaching methods to support disabled students training	32	36	52	55	-	-	-	-	-	-	2	0	-	-	4	1	-	-

	STAGES-II (TS)		CBE MG (CO)		SOMGEP (CO)		EGDUE (CO)		DP (CO)		ENGINE-II (TS)		GATE (CO)		EGEP-T (TS)		MGCubed ! (CO)	
Proportion of female teachers who received using alternative teaching methods to support disabled students training	30%	34%	57%	60%	-	-	-	-	-	-	6%	0%	-	-	1%	0%	-	-
Total number of observed teachers who received preparing & writing lesson plans training	62	75	58	67	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total number of observed female teachers who received preparing & writing lesson plans training	33	39	56	64	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Proportion of female teachers who received preparing & writing lesson plans training	31%	37%	61%	70%	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total number of observed teachers who received school management training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	63	23	-	-
Total number of observed female teachers who received school management training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	8	0	-	-
Proportion of female teachers who received school management training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%	0%	-	-
Total number of observed teachers who received in-service teacher training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	79	100	-	-
Total number of observed female teachers who received in-service teacher training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	15	10	-	-
Proportion of female teacher who received in-service teacher training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4%	2%	-	-
Total number of observed teachers who received leadership training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	41	14	-	-
Total number of observed female teachers who received leadership training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	7	2	-	-

	STAGES-II (TS)		CBE MG (CO)		SOMGEP (CO)		EGDUE (CO)		DP (CO)		ENGINE-II (TS)		GATE (CO)		EGEP-T (TS)		MGCubed ! (CO)	
Proportion of female teachers who received leadership training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%	0%	-	-
Total number of observed teachers who received remedial teaching approaches training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	67	27	-	-
Total number of observed female teachers who received remedial teaching approaches training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	13	3	-	-
Proportion of female teachers who received remedial teaching approaches training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4%	1%	-	-
Total number of observed teachers who received general training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	55	107
Total number of observed female teachers who received general training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	22	43
Proportion of female teachers who received general training	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	15%	29%
Total number of observed teachers who received other training	3	17	0	5	-	-	-	-	-	-	-	-	-	-	17	11	30	17
Total number of observed female teachers who received other training	1	10	0	5	-	-	-	-	-	-	-	-	-	-	4	0	10	8
Proportion of female teachers who received other training	1%	9%	0%	5%	-	-	-	-	-	-	-	-	-	-	1%	0%	7%	5%

TETRA TECH
International Development

Independent Evaluation of the GEC II: Ethical Research and Safeguarding Framework

Abbreviations and Acronyms

ACASI	Audio Computer-Assisted Self-Interviewing
COI	Conflict of Interest
CVA [Committee]	Child and Vulnerable Adult
DNH	Do No Harm
ESWG	Evaluation Studies Working Group
FCDO	Foreign, Commonwealth and Development Office
FGD	Focus Group Discussion
FM	Fund Manager
GBV	Gender-based Violence
GDPR	General Data Protection Regulation
GEC	Girls' Education Challenge
GESI	Gender Equality and Social Inclusion
HIV	Human Immunodeficiency Virus
HR	Human Resources
ID	Identification
IE	Independent Evaluation
IP	Implementing Partner
MEL	Monitoring, Evaluation and Learning
PLS	Plain Language Statement
RRLF	Rapid Research and Learning Fund
SEAH	Sexual Exploitation, Abuse and Harassment
STD/STI	Sexually Transmitted Disease/ Infection
UNCRPD	United Nations Convention on the Rights of Persons with Disabilities
VAWG	Violence Against Women and Girls
WHO	World Health Organisation

1. Introduction to this framework

These ethical research and safeguarding guidelines apply to the design, implementation and reporting of all research and evaluation activities conducted as part of the independent evaluation (IE) of the Girls' Education Challenge (GEC) Phase II programme. This will cover all research conducted under this contract, including the delivery of discrete research and evaluation studies. In addition, all subcontractors providing research services under the Rapid Research and Learning Fund (RRLF) will be expected to adhere to the principles set out in this document.[1]

This ethical research and safeguarding framework is fully compliant with the guiding concepts and principles set out in the FCDO's Evaluation Policy (2013) and the FCDO's Research Ethics Guidance (2011); the DFID Ethical Guidance for Research, Evaluation and Monitoring Activities (2019); and the UK Data Protection Act (2018). A full set of documents referenced is provided in Annex A.

Definition of Safeguarding

Safeguarding refers to taking reasonable steps to prevent harm, exploitation or abuse occurring, and to protect people from that harm, particularly beneficiaries of programmes, and especially children and vulnerable adults, survivors of violence and people with disabilities. According to the FCDO's (2020) Guidance on Child Safeguarding (Due Diligence for External Partners) [2], child safeguarding encompasses all forms of harm, including physical abuse, sexual abuse, online abuse, child sexual exploitation, neglect and negligent treatment, emotional abuse and commercial exploitation.

In the context of this independent evaluation, safeguarding concerns include any occasion where anybody working on the IE, including: staff, partners, consultants, suppliers, data collectors etc., takes advantage of his or her position to harm someone they work with, including: beneficiaries, stakeholders, community members, GEC project Implementing Partners (IPs) and Fund Manager (FM) staff, or other IE or staff members, or learns in the course of his or her work of a safeguarding concern elsewhere (e.g. among the study community). All research, monitoring and evaluation staff and volunteers, including enumerators, researchers and supervisors, must be appropriately vetted during recruitment and trained on safeguarding requirements and protocols.

1.1. Framework scope

Who has responsibility for applying these guidelines?

Anyone who is undertaking activity in any capacity under the IE contract, including those collecting data from programme stakeholders or beneficiaries for research and evaluation purposes, i.e. the IE team, consortium partners, subcontracted providers of data collection and research services (including survey enumerators) and organisations subcontracted to provide services under the Rapid Research and Learning Fund (RRLF) – all referred to as "researchers" in this document. All researchers will be provided with appropriate information and/or training on the ethical research and safeguarding principles and expectations set out in this document.

Specific arrangements for the lines of reporting for safeguarding concerns are set out in Section 8.2.

As the IE of the GEC II programme is led by Tetra Tech International Development, the consortium must comply with Tetra Tech's corporate Safeguarding Policy, Whistleblowing Policy and Anti-bribery and Corruption Policy. However, to ensure consistency between the IE team's different consortium partners, the programme has developed this ethical research and safeguarding framework to draw together the main elements of the programme's commitment and approach to safeguarding. The framework will also practically set out roles and responsibilities in implementing different aspects of the policy.

Tetra Tech's contracts with subcontractors (including organisations contracted to deliver studies under the RRLF) will specify expectations on ethical research and safeguarding.

These guidelines are intended to apply to all research and evaluation activities under the independent evaluation of the Girls' Education Challenge Phase II contract, including studies commissioned under the RRLF. Activities undertaken by the Fund Manager (FM) and Implementing Partners (IPs), including any monitoring, research and

[1] See the Rapid Research and Learning Fund Handbook for further details.
[2] https://www.gov.uk/government/publications/dfid-enhanced-due-diligence-safeguarding-for-external-partners/child-safeguarding-due-diligence-for-external-partners

evaluation activities, are governed by separate contracts with the FCDO and so are not covered by the guidelines set out below.

1.2. Development of the framework

This draft ethical research and safeguarding framework has been developed by the IE in consultation and in coordination with the FM (on behalf of the IPs) and the IE team's ethical research and safeguarding expert. The development of this framework has been informed by several resources, guidelines and documents (see Annex A), including:

- National and international guidelines on ethical research, including on research with children;
- FCDO guidance and frameworks on the ethical implementation of monitoring, research and evaluation; and
- Similar frameworks used on other FCDO programmes.

1.3. Purpose and objectives of the framework

These guidelines are designed to ensure that all primary research and related data collection involving individuals, communities and other programme stakeholders is conducted in an ethical, safe manner that prioritises the rights and dignity of all research participants and protects them from harm.

The guidelines are intended to ensure that researchers:

- Carry out a comprehensive assessment of the possible positive and negative effects of the research on the diverse individuals and communities where research is conducted – adjusting the research accordingly to minimise risks to participants;
- Apply ethical principles and best practices when conducting research including informed consent, confidentiality and anonymity, and protecting research participants and researchers from harm;
- Comply with the FCDO's principles and standards for the conduct of safe and ethical monitoring, research and evaluation (2019), which aim to maximise benefit and minimise harm, respect people's rights and dignity, act with honesty, competence and accountability, and deliver work of integrity and merit and
- Complement Tetra Tech's safeguarding policy by providing strategic guidance to support team members with its implementation.

The guidelines provide an overarching framework to support researchers to make informed decisions about the design and implementation of research as well as their own behaviour and involvement. They are intended to underpin and complement risk mitigation strategies identified in the overarching risk assessment framework for the IE in addition to those identified for individual evaluation and research studies.

Although this document provides detailed guidance on important steps to follow in ensuring all research and evaluation activities under this contract are designed and implemented in an ethical manner, these guidelines should be fully operationalised in research and fieldwork protocols for each study that clearly articulate how ethical research risks will be managed for specific pieces of research in each phase of implementation, including design, sampling, pre-testing tools, data collection, data storage, analysis and dissemination.

These guidelines will be reviewed by the FM and revised accordingly to ensure alignment with their own safeguarding processes and protocols.

1.4. How should the framework be applied in practice?

This document is intended to provide a series of guidelines to support IE researchers to implement research, evaluation and other data collection activities in an ethical and safe manner, and should be treated as a living document that should adapt to accommodate the monitoring, research and evaluation needs of the GEC II programme.

This document will be reviewed periodically, every quarter, to ensure continued relevance and efficacy of the framework and reflect on the implementation of the guidelines in light of ongoing research and evaluation activities under this contract. This review will be led by the IE Team Leader/Deputy Team Leader.

In addition, the guidelines may also be updated on an ad hoc basis in light of relevant changes in the contract or study context. This may include, for example:

- Prior to any research or evaluation activities where a new context, type of beneficiary or location may impact on the ethical approach to research or evaluation. This may include significant changes in the COVID-19 context (for example, subsequent peaks and local outbreaks) that may pose new challenges or risks;
- Following feedback gathered through the complaints mechanism to reflect any challenges and lessons learned that should be incorporated into future ethical conduct of research activities;
- Following any significant change (e.g. change in the FCDO or IE consortium research ethics protocols) to ensure that this document reflects at all times ethics procedures and protocols mandated by participating organisations.

The IE Programme Director (working in conjunction with the IE Team Leader/Deputy Team Leader) will be responsible for overseeing the periodic review and updating of this framework (as set out in Section □). Any significant changes will be discussed and agreed with the FCDO and a revised version of the framework circulated to all relevant staff.

1.5. Monitoring and review of this framework and risks

The IE Programme Director (supported by the IE Team Leader/Deputy Team Leader/Programme Manager on a day-to-day basis) is ultimately accountable for ensuring these processes are adhered to across all contract activities.

For individual studies, the Study PI (working in conjunction with the IE Programme Manager) will be responsible for ensuring that the principles and processes set out in this document are being applied in the course of individual research and evaluation studies, including by all subcontractors. In accordance with Tetra Tech Safeguarding Policy, the Programme Manager is the Safeguarding 'Focal Point' for the IE team.

The IE Programme Manager (working in conjunction with the RRLF Manager and Tetra Tech Security and Compliance Team) will be responsible for ensuring that organisations contracted to deliver activities under the RRLF are adhering to agreed ethical research and safeguarding principles set out in their contract.

We expect that ethical research and safeguarding risks to be specific to context, and so will be identified and managed on a study-specific basis.[3] These include (but not exclusively): risks specific to the research context; risks specific to the methodology or tools used; risks of bias and/or undue pressure; risks associated with the capacity and capabilities of the IE team's local research partners and their researchers and enumerators; and risks of misconduct on the part of IE researchers or organisations or external stakeholders. all these risks will be assessed during the detailed planning and preparations for each study, and mitigating actions set out in detail in the Desk Review Reports. It is important to note that the IE team's local research partners are an integral part of our planning process to ensure that our detailed preparations and risk mitigation strategies are appropriately tailored, relevant and specific to local contexts, cultural sensitivities and institutional requirements. The FCDO, the FM and IPs involved in each study will be able to review and comment on the IE team's detailed research plans, research instruments and risk mitigation strategies with aim of seeking FCDO approval prior to the start of any fieldwork

Whilst ethical research and safeguarding policies aim to protect, there may be instances whereby these policies can also maximise benefits to the participants. For example, this may be through the research and evaluation activity highlighting areas of specific need such that resources are targeted more effectively to beneficiaries; highlighting specific issues that may not otherwise be apparent, thereby similarly improving the chances of programmes benefitting individuals further; and strengthening existing activities and frameworks in a manner that means that programmes are more effective in producing outcomes. The IE team will continually seek opportunities to maximise benefits in this manner throughout the research and evaluation activity.

1.6. Definitions

The following definitions are provided by Tetra Tech's Safeguarding Policy that has been informed by international best practice. Tetra Tech is a 'Key Supplier' to FCDO and as such Tetra Tech was required to submit its Safeguarding Policy for review in 2019.

Child: Any person below 18 years of age, irrespective of the age of consent or majority in national law or local custom.

Young person: Adolescents and youth aged 18 – 24 years.

[3] See also the overarching project risk table in the Inception Report.

Vulnerable adult: People aged 18 and over may be vulnerable adults, temporarily or permanently, for a variety of reasons and in different situations. An adult may be vulnerable if they have a learning or physical disability; have a physical or mental illness; are reliant upon humanitarian assistance for basic needs and protection; are detained or imprisoned by state authorities; are living in a shelter or residential care home; or are unable, for any other reason, to protect themselves against significant harm.

Sexual exploitation: Any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Note that *all* sex with sex workers is sexual exploitation.

Sexual abuse: Any actual or attempted abuse of a position of vulnerability, power differential or trust for sexual purposes, including but not limited to actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

- Note that *all* sexual acts with children are sexual abuse. The local age of consent or mistaken belief as to age are irrelevant.
- Profiting monetarily, socially, materially or politically from the sexual exploitation of another (including through forced marriage) is a form of sexual abuse.

Sexual harassment: Any form of unwanted verbal, non-verbal or physical conduct of a sexual nature with the purpose or effect of violating the dignity of a person, or any other behaviours of a sexual nature that might reasonably be expected or be perceived to degrade, cause offence or cause humiliation to another.

Physical abuse: The physical mistreatment, harm and injury. This may include hitting, shaking, caning, ear pulling, being forced to kneel for long periods.

Emotional abuse: Sometimes also called ‘psychological abuse’ or ‘verbal abuse’, this is the persistent emotional ill-treatment such as to cause severe effects on emotional development. It may involve humiliating punishment or being publicly shamed.

Neglect: The intentional or unintentional failure of a caregiver (including a teacher, school, or other learning institution) with clear responsibility by custom or law for the well-being of the child or vulnerable adult to protect them from actual or potential harm to their safety, wellbeing, dignity, and development or to fulfil that person’s rights to survival, development, and wellbeing. It is classified as neglect by a caregiver when:

- The caregiver(s) have the required abilities, financial capacities, and knowledge, and choose not to protect or provide for the child (intentional), or
- In the absence of such abilities, financial capacities, and knowledge, they intentionally fail to take all reasonable steps to seek the assistance that would enable them to protect or provide for the child (intentional), or
- In the absence of abilities, financial capacities, and knowledge of caregivers to protect or provide for the child, other duty bearers fail and/or are unwilling to provide the necessary services and assistance (unintentional).

Within this definition, the term ‘ability’ includes the existence, non-discriminatory availability, and accessibility of essential goods and services. Harm may be visible or invisible. An act may be categorised as neglectful whether or not the caregiver intends to cause harm.

2. Ethical research framework

This Section sets out the overarching principles which will guide the IE team's approach to all research and evaluation activities.

- **Do no harm:** Every care will be taken to ensure that the children, their parents / guardians and other stakeholders who participate in the research are not exposed to harm, stigmatised or further marginalised or discriminated against during, or as a result of, their participation in the research.
- **Informed consent:** All attempts will be made to give respondents – both children and adults – an opportunity to express themselves in their chosen environment, using research methods that they feel comfortable with and on the basis of clear and informed consent/assent (as set out in Section 3).
- **Stakeholder participation:** Mechanisms to seek input from IPs and beneficiaries on research methods and topics will be established, and where feasible findings shared in an accessible and appropriate manner with research participants, as set out in the Stakeholder Engagement, Management and Communications Plan.[4]
- **Inclusive research:** We will seek where possible to ensure that marginalised groups, including adults and children with functioning impairments, are not excluded from participating in research and evaluation activities, and that IE team activities are undertaken in a way that respects their rights and autonomy, as set out in this document and in the IE GESI Approach Paper.[5] In doing so, we will also take into account local power relations and ensure representation of groups with less power.
- **Capacity building:** Our research and evaluation activities will be conducted in collaboration with Southern partners and local research partners and stakeholders on the ground. The IE team will build and strengthen ethical research and safeguarding practices through: the training and development we provide our local research partners, which includes a highly collaborative approach to reviewing and refining research instruments; fieldwork and research management protocols and the application of the guidance in this framework.
- **Transparent and independent research:** Our research methods will be clearly set out in reports and managed in line with the Conflict of Interest Policy (see Section 9)**.** Research conclusions will be developed in a way that is free from bias and external pressure.[6]
- **Useful and necessary data collection**: Our process of study selection (as set out in the FM Memorandum of Understanding and Inception Report), which involves in-depth consultation with the FCDO and FM stakeholders, will ensure that our research is meeting identified needs and considered useful and necessary by stakeholders. Similarly, RRLF study topics will be selected based on input from IPs on their learning needs and in consultation with FM and FCDO stakeholders. An important part of our ethical research board approval process will be to demonstrate that the benefits from conducting the research sufficiently outweigh the associated risks.
- **Fit for purpose**: we will ensure that the design of any research or evaluation activity is fit for purpose and appropriate to context. Evaluation findings will be shared with FCDO and where appropriate the wider research community, as set out in the accompanying Stakeholder Engagement, Management and Communications Plan and GESI Approach Paper.

2.1. Anticipating and minimising harm

Researchers should undertake a detailed assessment of the possible consequences of their work prior to conducting any research or evaluation activity as part of the IE. This assessment should consider the risks for the diverse individuals and communities participating in any research and evaluation activities or who may be directly or indirectly affected by these activities. This should form part of the risk assessments carried out for individual or discrete studies or pieces of the work undertaken by the IE. Ethical aspects pertaining to the selection of methods and/or participants will be considered and will influence each Evaluation Study. Therefore, each study will have an ethics framework that outlines the ethics and safeguarding elements pertaining specifically to that study. This framework will guide that process, however, given the differing nature of each study, its context, and the different research questions, each of the Evaluation Studies will need to be framed by their own ethical and safeguarding frameworks. Researchers should proactively use this assessment (and any subsequent assessments) to adapt their research appropriately and put in

[4] Currently under development as part of the IE's inception report.
[5] Gender Equality and Social Inclusion Approach Paper
[6] Further detail on the relationship between the FM, FCDO and IE to preserve the IE independence is set out in the Memorandum of Understanding between the FM and IE.

place measures to protect those affected from harm. Particular attention should be given to vulnerable groups including but not limited to: survivors of violence and people marginalised on the grounds of gender, sexuality, (dis)ability, age, race, ethnicity, religion, caste or HIV status.

This assessment should include, but is not limited to, considering the questions set out in Table 1.

Table 1: Indicative questions to assess risk of harm

Ensuring the research is useful, necessary and feasible
- Will the research provide evidence and learning to different audiences and stakeholders? In considering the usefulness of the research to different stakeholders, have the potential benefits been weighed up against potential risks and harms to individuals and communities?
- Are there better ways of obtaining evidence? Has the research team ensured that there is no duplication in efforts?
- Has an evaluability assessment been made? Are the scope and expectations of the research feasible considering the resources and timeframe available?
- Have stakeholders been adequately involved in design and feedback processes? Have local power relations and issues, and their impact on the research approach, been assessed?
Protecting research participants from harm (*see also Section* 4)
- Could the research trigger distress or trauma for any research participants? How can this be avoided or minimised? What procedures can be put in place to provide an effective response in cases or distress or trauma?
- Is the research placing unreasonable demands on research participants (e.g. time, travel, physical or economic impact)? How can disturbance and intrusion into their lives be minimised?
Negotiating informed consent (*see also Section* 3)
- How will participants' informed consent be negotiated? What information needs to be given to them to ensure consent is informed? Will this be written or verbal consent and why? Under what circumstances my consent need to be renegotiated again?
- What extra permissions need to be requested? e.g. consent for audio or video recording?
Rights to confidentiality and anonymity (*see also Section* 7)
- How will confidentiality be ensured? Will anonymity also be granted or offered? What measures need to be taken prior to, during and after data collection to ensure this is ensured? Are there any limits to confidentiality (e.g. if a research participant is at risk of immediate harm?)

2.2. Ethical research clearance

Adhering to the principles in this Ethical Research and Safeguarding Framework does not constitute research permissions or ethical research clearance, which must be sought by the IE where necessary for each specific research study.

All research and evaluation activities for this contract will be implemented following the necessary approvals. We expect this to include ethical clearance from the University of Cambridge (Faculty of Education Ethics Committee) for all research and evaluation studies, in addition to relevant research permissions from relevant authorities in the countries in which research is conducted. The nature of the research permissions that are required varies across GEC implementing countries and may involve obtaining permissions from authorities at national, regional or local levels. During the study design phase, necessary approvals will be identified and sought based on the countries/districts involved in the research.

This must be done well in advance of fieldwork taking place given that obtaining approvals can be very time consuming. Applications for ethical research approvals must be compliant with requirements and standards from the FCDO.

2.3. Ethical research and the COVID-19 pandemic

At the time of preparing this framework for research, the COVID-19 global pandemic has led to response measures imposed by national and local authorities to reduce the impact of the pandemic. These include lockdowns,

quarantines and restrictions on social contact (i.e. social distancing). This situation and the resulting socio-economic impact may result in additional hardships or a humanitarian emergency in some countries and has a number of implications for the ethical implementation of research activities and ensuring do no harm and other principles are upheld. Importantly, it should be recognised that the dynamics of the pandemic and response may differ across countries, within countries, and across time, and may have effects that outlast the pandemic itself.

Some key questions and guidelines for ethical research and safeguarding during this global pandemic are outlined below.

- **Should the research be conducted during an emergency?** Although the lack of evidence on education in humanitarian emergencies and during health epidemics might suggest that research on this topic should be encouraged, this should be weighed up according to the benefits to respondents or communities versus the possible risks. Risks to individuals might include putting participants or researchers at risk of illness, or other potential dangers or insecurities, or diverting human and financial resources away from emergency response in order to conduct the research. Methodological risks may include difficulties in answering the research questions, for example if changes in the research context mean that data collection plans are no longer feasible. Benefits might include filling gaps in knowledge about education in emergency and pandemic settings, particularly among marginalised populations, which will assist in developing response mechanisms to provide support to survivors. In addition, given that some pandemic control measures (including possible school closures) are likely to continue for the medium-term future, research may be able to provide valuable learning to inform the continuing COVID-19 response and education planning. A fundamental question that should be asked is whether the research must be done during the humanitarian emergency or whether it can be done in a non-emergency time.
- **How should the research be conducted during an emergency?** If it is deemed that the research should be done during an emergency time as the benefits would outweigh the risks, then a key issue becomes how the research should be conducted to minimise risk. This requires assessing a number of questions including those outlined below:
  - What are the appropriate methods that will avoid putting participants, communities and researchers at risk? Given requirements for social distancing, remote data collection methods may need to be implemented, or mandatory physical distancing protocols put in place during data collection to protect both interviewers and participants.
  - How will implementing new kinds of methods impact on consent procedures and ensuring confidentiality and privacy? If remote methods are used (e.g. via telephone), in a situation where households are in lockdown or quarantine how will privacy be ensured if asking sensitive questions? How will distress or interruptions during interviews be handled?
  - How will vulnerable populations be included in the research if new methods such as remote data collection preclude their participation (e.g. people with certain types of disabilities or without access to electronic communication devices)?
  - How should safeguarding processes change or adapt to take into account the new context and increased reliance on remote data collection? Safeguarding concerns may affect the selection of data collection methods, particularly if sensitive topics may be discussed as part of the research.

The questions above will be considered during study design and inception phases to identify and accommodate any ethical research considerations specific to the pandemic and in addition to the general principles set out in this document. This will include an assessment of the vulnerability of different groups within the study population and how this may have been affected by the pandemic (drawing on evidence from past emergency settings, such as Ebola outbreaks, where relevant), and the implications for sampling and research.

At the time of writing, we anticipate that the majority of data collection for the foreseeable future will be conducted remotely, and all protocols below will be adapted where necessary to accommodate remote data collection and other considerations relating to COVID-19. We have included a note on specific adaptations at the beginning of each Section; these will be reviewed and updated on a periodic basis as set out in Section 1.5.

3. Informed consent and assent protocols

Adaptations to the COVID-19 context – as of 22/09/2020

At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.

We set out processes for informed consent/assent during remote data collection in Section 3.3 below. Where remote data collection is used, an assessment will be undertaken to decide on appropriate consent methods and procedures in light of the study topic, population, context and tools at hand.

We will consider these limitations in relation to remote data collection when finalising the study methods, in order to ensure we are able to answer the research questions set.

For data collection conducted face-to-face by local data collection providers, the IE team will liaise remotely with the provider to ensure that staff are aware of procedures as set out below and conduct remote trainings where necessary.

Informed consent – research should only be conducted with individuals who have freely given their consent to participate. Negotiating informed consent entails communicating information likely to affect a person's willingness to participate.

Age of consent – in line with international and national ethical research standards, only adults aged 18 years and over can provide informed consent to participate in research. Children under the age of 18 should provide assent, and their parents or guardians are required to provide consent on their behalf. There may be situations in which children under the age of 18 do not require parental consent; for instance, in cases where children are classified as emancipated minors as they are married. However, waiving parental consent in these cases should be justified in applications for ethical research approval and have a clear rationale (e.g. the study focuses on the experiences of adolescent girls who are married).

Assent protocols – assent protocols and age thresholds may differ across partner countries. All consent and assent protocols should follow guidance and requirements outlined by the relevant national-level research ethics authorities.

We will adopt the following protocols in order to create a safe research environment and ensure we obtain informed consent from all research participants. Protocols are set out below for both in-person data collection (Sections 3.1 and 3.2) and remote data collection (Section 3.3).

3.1. In-person surveys, interviews and focus groups with participants aged 18 years or older

All participants will be asked if they fully and meaningfully consent prior to an interview or other research activity taking place. The process by which this happens is listed below:

- Interviewer greets participant and makes high-level introduction to put the participant at ease. Wherever possible, male participants will be interviewed by men, and women participants will be interviewed by women.
- Interviewer ensures that they have located a private space for the interview prior to speaking to the research participant, which the participant feels comfortable with, preferably the participant's suggestion.
- Interviewer shares a copy of a Plain Language Statement (PLS) for the research with participants. A PLS should be written in accessible language, should be translated into the spoken language of participants and should contain information about the content and purpose of the interview, possible benefits and risks of participation, the anticipated uses of the data, how data will be stored and kept secure, and how participants can remove their data at a later stage. When describing the content and purpose of the interview, it is important to use an accurate description of the research but one that does not put participants at risk of stigma or violence. For instance, a PLS for a study focusing on the experiences of GEC beneficiaries with disabilities could describe a study as exploring "the experience of girls in your community with their school", but may avoid referring specifically to disability or related terminology if it is considered that in the specific community this designation may put the participant at risk of stigma.

- Interviewer reads out the content of the PLS for participants. This step is particularly important for participants who are not literate and who cannot read the PLS. However, reading out the content of the PLS for all participants, regardless of their literacy, can help with comprehension and to establish rapport and trust.
- As part of the introduction, interviewers should seek to minimise 'therapeutic misconception' – or the belief among participants that participation in the research will improve their circumstances – by ensuring that the benefits and risks of participation are clearly explained. For example, if discussing issues relating to school drop-out, it should be clear that participating in the interview will not directly lead to circumstances in which the participant can overcome barriers to attendance. Interviewers should be careful to not overstate the benefits of taking part in the research and to minimise any false expectations held by the participant or (in the case of children) the parent/guardian.
- Interviewer asks the participant if they have any questions and answers these questions accordingly. Interviewer then asks the participant to repeat what they have understood and if this is correct, asks them if they consent to the interview and then to sign a consent form. It is important that the participant understands that it is okay to accept or decline to take part and that they can stop the interview and withdraw their consent at any point during or after the interview. Research protocols for specific research activities should provide guidance in terms of how this should be done. For example, participants with limited literacy or who feel uncomfortable signing a written document, a thumbprint or verbal consent (clearly recorded by the interviewer) could be provided. However, the exact protocols for consent may depend on local standards, and will be reviewed and adapted for each study depending on the specific context at hand.
- The interviewer reminds the participant that they can ask to terminate the interview at any point and have their data withdrawn, or decline to answer a specific question, and then logs this on the survey script or makes a note of this for qualitative interviews.
- Consent forms are scanned and stored in duplicate in two separate safe storage sites.

This process of obtaining consent may differ across specific research or evaluation activities and methods and should be adjusted accordingly. In particular, when conducting focus group discussions (FGDs) or other group-based methods, the procedures listed above will need to change to accommodate multiple participants. For example:

- All participants need to provide informed consent. This can happen in a number of ways depending on whether verbal or written consent is being obtained. For instance, facilitators can read out the content of the PLS to the group and then obtain verbal consent within the group or, in the case of written consent, go through the procedure of obtaining written consent with each participant individually.
- If a FGD participant wants to terminate their participation during a FGD and have their data withdrawn, this poses a number of challenges, some of which are outlined below. The research team will need to pre-empt these challenges and ensure there is a clear protocol for what to do and that this is communicated clearly to participants in PLSs and when obtaining consent.
    - The withdrawal of data for one individual requires a decision about how data will be withdrawn. If FGDs are being audio recorded, will the audio recording be deleted immediately (which will mean losing data for all participants)? Or will data be removed for the participant at the time of transcription, with the audio recording then being deleted?

Regardless of whether FGDs are audio recorded or whether notes are taken, a question arises about how the removal of data for one participant may impact on the broader analysis given that data analysis should be based on a dialogue between participants rather than simply on what individuals say. Removing data for one participant may make it difficult to interpret subsequent dialogue.[7] The research team may thus decide that data will be removed after analysis; however, this will need to be clear in PLS documents and the consent procedures

3.1.1. Adults with a cognitive impairment

In some cases, adults with a cognitive impairment may be considered unable to provide consent as set out above. These cases will be reviewed on a case-by-case basis (in consultation with the Disability Expert, IP, and/or local disabled persons' organisations and other stakeholders as appropriate) to assess whether it will be possible to include the individual in the research in an ethical and safe way, and agreement reached on an appropriate process for consent/assent in light of the specific circumstances. This may involve invoking an assent process (as set out in Section 3.2 for participants under the age of 18) with consent sought from the person's relevant carer or guardian.

[7] Sim, J. & Waterfield, J. (2019) Focus group methodology: some ethical challenges. *Quality & Quantity*, 53: 3003-3022.

3.2. In-person surveys, interviews and focus groups with participants aged younger than 18 years of age

Interviews with participants under 18 years of age (children) usually require consent from the individual's parent or guardian prior to the start of the interview, as well as assent from the child themselves (refer to Section 3.2.2.). It is important to ensure that children do not feel obliged to participate in any research, including from pressure from parents or guardians. Parents or guardians should be given enough information about the study to make an informed decision. In practice this means:

- Offering translated hard copies of study information materials, including PLSs, or making adaptations for people without a high level of literacy (as set out in Section 3.2.1);
- Creating clear and concise materials for parents or guardians that outline the purpose of the study and how the findings will be used; and
- Encouraging parents or guardians to ask questions.

3.2.1. The process by which consent is negotiated

The process by which consent is negotiated is listed below. The process will differ depending on a number of possible scenarios and methods being used, and on research ethics protocols set at country-level. In cases where an interviewer approaches parents/guardians and children in person (e.g. through random household sampling) to invite children to participate in a survey or individual interview:

- Interviewer will greet the parent/guardian and make a high-level introduction to put them at ease. Interviewer reads out the PLS for parents/guardians and shares information about the purpose of the survey, including how data will be used and stored and to what end. Parents or guardians are given enough information to understand the purpose of the research and interview. Interviewer asks the parent/guardian to repeat what they have understood and if this is correct, asks them if they consent to the child's interview and then to sign a parental consent form. In cases in which parents or guardians with limited literacy or feel uncomfortable signing a written document, this may include alternative forms of consent such as thumbprints or verbal consent, as set out in Section 3.1.
- Interviewer engages with the child participant and reads out the PLS for children, providing information about the survey or interview for the child participant to make an informed decision about participation and then asks for his or her assent, which should be recorded by the interviewer. The interviewer should ensure that the child understands that it is okay to accept or decline to take part. If the interviewer is confident that the child participant has understood, then the interviewer can proceed with the interview. If the child participant assents, the interviewer will ensure that they locate a space for the interview which the participant feels comfortable with, preferably the participant's suggestion. For interviews that will touch upon sensitive topics or for which the child may be influenced by the presence of an adult, the interviewer should ensure a private space is available to conduct the interview. This space should enable confidentiality but not be out of sight or calling distance of others (i.e. not behind closed doors), for example in an adjacent or nearby room to the parent or guardian but not within earshot, or sitting on the other side of a yard in clear view of the parent or guardian.. The interviewer reminds the child participant that they can willingly terminate the interview at any point, or decline to answer a specific question, and then logs this on the survey script or makes a note of this on interview notes.

In cases where an interviewer approaches parents/guardians and children in person to invite children to participate in an FGD, the consent process outlined above would change slightly.

- Procedures for obtaining consent from parents/guardians would be the same as outlined above, but will differ for children. If the consent procedure is occurring at the household level, then children will, by definition of a FGD, relocate to somewhere where children will convene to participate in the FGD.
- Children will be provided with information about the FGD and go through the assent procedure as outlined further above for individual surveys and interviews. However, children should also be asked to provide assent a second time, when convening for the FGD as a group. This is because some children may not feel comfortable with the nature and dynamic of the FGD and should be given the opportunity to withdraw once they have convened in a group with other children.
- For safeguarding reasons, it is important that interviewers do not accompany children from households to other locations where FGDs will take place without the presence of parents/guardians or other trusted adults (e.g. local teachers if parents/guardians agree to this).

There may be situations where interviewers do not come into personal contact with parents or guardians; for instance, if sampling will take place in school settings or other settings outside of the household. Consent procedures need to be carefully planned in these cases, with clear roles laid out for those ensuring parental consent is obtained. An example of a possible procedure to follow in a school-based sample is outlined below; however, any procedures would need to be adapted to the project and setting:

- Children who are eligible to participate in the research are convened in a classroom or other school setting and are provided with information about the study (by researchers, programme staff, teachers or other focal points who have been fully briefed about the content and purpose of the study). Children are given parental PLSs and consent forms and are asked to take these home, give them to parents/guardians and return the signed consent forms if parents or guardians consent for children to take part in the research. When children return signed parental consent forms to school, the names of children whose parents or guardians have NOT consented will be removed from any sampling lists.
- Interviewers visit schools to interview children and obtain assent from children (as outlined further above for individual surveys and interviews, or for FGDs). Interviewers only interview children whose parents or guardians have consented and who have assented themselves.
- In some cases, in accordance with national research permissions, consent by teachers and schools may be considered sufficient.

This process can be challenging for a number of reasons. Parents or guardians may not be literate and thus may not understand what is written in PLSs. Further, sending written PLSs and consent forms to households precludes parents/guardians from being able to ask questions from an interviewer or other focal point for the study. It may also be challenging to ensure that children return consent forms to the school. These sorts of challenges should be pre-empted and mitigation plans developed, or more appropriate consent procedures developed based on the setting. For instance, if conducting data collection in a community with high levels of illiteracy, instead of sending printed PLSs and consent forms to households it may be necessary to ask parents/guardians to attend a community briefing where they will find out about the study and have the opportunity to ask questions, or ask interviewers to talk through PLSs with the parents/guardians before any surveys/interviews are conducted. If written PLSs and consent forms are sent to households, it may be necessary for in-person follow up by interviewers or other study focal points to collect signed consent forms or provide additional information so that parents/guardians can give informed consent.

3.2.2. Protection concerns associated with seeking parental consent

There may be some cases in which it is not appropriate to obtain informed consent from a child's parent or guardian and researchers should be prepared to consider whether parental or guardian permission and consent should be waivered; for instance, if parental knowledge about the research or evaluation could put children at risk of violence or abuse. In some cases, children (such as unaccompanied minors) may not have an adult guardian who can provide consent. Prior to implementing research, staff should consider and assess whether there are specific circumstances in which it is appropriate to interview children without parental consent as long as this can be done safely. For instance, this may occur in cases among separated or street children, or when parents or guardians knowing about the research would increase the risk of abuse.

In the case of children who are married, consent will be sought from the child themselves, rather than the spouse. If an alternative adult guardian can be found (for example, the child's teacher), they may be asked to provide consent alongside the child.

This may require considerations about sampling approaches. For instance, if a household sampling approach is deemed to place children at risk of violence or abuse (i.e. if parents/guardians or other household members could be perpetrators of violence and children may be at risk of further violence) then alternative sampling procedures may be selected. These could include sampling children in schools, safe spaces, youth centres or other places where children and adolescents may convene for participation in programme activities. In such cases, other adults may be identified as appropriate guardians who will provide consent for children's participation and it may be appropriate to consult children about which trusted adult can provide consent.

In any situation where it is deemed that parental consent will not be obtained, research teams must develop clear justifications for why parental consent is not appropriate in such scenarios.

Research teams must also develop clear protocols for how interviews will be conducted safely. Safety in these contexts means ensuring that other protocols outlined in the accompanying safeguarding framework are being followed, including ensuring: auditory privacy but where children can be seen; protection and safeguarding protocols are maintained; providing referrals to services or access to counsellors; and providing training to data collectors and other staff on how to handle sensitive disclosures (see further guidance below).

3.3. Obtaining informed consent/assent during remote data collection

There may be some situations in which surveys, interviews and/or focus groups are conducted remotely, for example over video link or telephone or through online surveys. In these situations, research teams must develop clear protocols for taking consent and assent and implementing the processes set out above remotely.

The exact protocols for consent for remote collection will depend on local standards and will be reviewed and adapted for each study depending on the specific context at hand. This will include the available modes of communication, such as participants' access to telephone, radio and email.

Protocols for consent will also depend on the ability of the research team to contact participants directly, as the team may not have the necessary permissions or access to necessary data (for example, telephone numbers) to liaise approach programme stakeholders or beneficiaries directly. In some cases, this may require the research team to rely on other sampling methods, for example self-selection by using broadcast channels in a community to ask for volunteer participants. In cases for which the research team are aiming to sample a specific population (for example, residents of a particular village), consent procedures may need to be carefully planned. This may involve a two-step process, in order to first obtain consent and necessary details from prospective participants to be contacted, before the research team is able to make contact and undertake full consent/assent process (as set out above). This may for example require the involvement of community leaders, teachers and/or IPs to source prospective participants and collect contact details on behalf of the research team (in line with clear data protection principles set out in Section 7) or to connect participants directly with the research team.

Example adaptation measures may include:

- **For telephone/video interviews or surveys with participants aged over 18:** interviewers may talk participants through PLS and consent forms clearly over the telephone/video link and audio-recorded consent. PLS and consent forms may also be delivered to participants in advance by email, post, fax or hand-delivery, where this is feasible.
- **For online or telephone focus groups with participants aged over 18**: interviewers may provide links to email or online versions of PLS and consent forms in advance or read out the content of the PLS to the group and then obtain verbal consent within the group.
- **For online surveys for participants aged over 18**: the PLS and consent form text can be included alongside introductory text for participants to read, and participants can be asked to indicate their consent to participate by clicking a button in order to access the survey.
- **For telephone/video interviews or surveys with participants aged below 18: p**arents/guardians can be asked to join the call at the start in order for the researcher to introduce them to the interview before gaining assent from the child (as set out in Section 3.2). The interviewer may ask the child to move to a private space as appropriate; however as the interviewer cannot verify that the child is out of earshot of parents/guardians and others, this method of data collection may not be appropriate for sensitive topics.
- **For online or telephone focus groups with participants aged below 18**: consent from parents/guardians and assent from children may be sought in advance as set out in Section 3.2, for example by delivering PLS and consent forms to them in advance by email, post, fax, dissemination through school settings (where schools are open), hand-delivery, or telephoning households to discuss the study and gain verbal consent directly. However, children should also be asked to provide assent a second time, when convening for the FGD as a remote group.
- **For online surveys for participants aged under 18**: survey links can be directed to parents/guardians with clear instructions for them to access the PLS and consent form and indicate their consent for their ward to participate. Verification measures may be built into the survey, for example by asking the parent/guardian to confirm a piece of information in order to confirm they have accessed and read the material. A child-friendly version of the PLS and consent form can be included as a secondary step to allow children to indicate assent before beginning the survey.

Example: taking consent for telephone surveys in Ethiopia

Members of the IE team have been involved in a study on the impact of coronavirus on education in Ethiopia. As travel was restricted due to the virus, research interviews were conducted by telephone.

The researcher first read out key information about the research and asked the participant to verbally consent to participation over the telephone. The researcher then asked whether they would like to proceed with the interview

immediately, or for the researcher to call back at a specific later time to conduct the interview (with a text message reminder in advance).

After the call, participants were later texted the contact details for the Study PI for any follow-up questions, and a set amount of phone credit was sent to their mobile to compensate for the credit used during the call.

3.4. Ongoing informed consent in longitudinal studies

Consent procedures should be repeated when tracking and following up participants in longitudinal studies. With the passing of time, participants may forget information about the study or about their rights (for instance, to withdraw their participation or refuse to answer particular questions). Further, risks and benefits of participation may change over time. For instance, if information about the topic of a study related to disability has spread throughout a community in the time since the first round of data collection, people may feel more at risk of stigma by participating in the study. It is important that research participants are provided with multiple opportunities to provide or withdraw informed consent over the period of the longitudinal study.

3.5. Plain Language Statements and Consent Forms

The PLS for adults will be in line with best practice and any specific country-level guidance or protocols for research ethics. Language used in the PLS and consent forms need to be written at an appropriate reading level for the study population; in at least the most commonly spoken language of the area, and additional languages as considered appropriate in light of resources and local language demographics; and without technical jargon to ensure participants fully comprehend the content.

- **Research purpose and procedures:** a statement that the study involves research, an explanation of the purposes of the research and the expected duration of participation, a description of procedures to be followed (for example, the confidential use, storage, processing and protection of study data), how participants will be selected and how many will be selected, and identification of any procedures that are experimental.
- **Re-contacting procedures**: In longitudinal studies, participants need to consent to be re-contacted in follow up waves of data collection and the period of time between these waves should be made clear.
- **Risks and discomforts of the research study:** a description of any reasonably foreseeable risks or discomforts to the research participants.
- **Potential benefit of the research study:** a description of any benefits to the research subjects or to others or to the country as a whole that may reasonably be expected from the research. If the benefit is expected to be primarily for others, the PLS may note that the researchers cannot and do not guarantee or promise that participants will receive any benefits from this study.
- **Compensation or reimbursement**: a description of any compensation or reimbursement for participation in the study. This should include the nature of the compensation or reimbursement and the amount. In line with ethical standards in research, monetary or other types of reimbursement should NOT be used as an inducement to assume risks. However, compensation or reimbursement for transportation costs, mobile phone/internet credit, or other expenses as a result of participation in the study, or provision of refreshments when data collection occurs outside of the household, are reasonable.
- **Provisions for confidentiality:** a statement describing the extent to which confidentiality of records identifying the research participant will be maintained. Typically, the only exception to this confidentiality is if we consider that the participant or someone close to them is at immediate risk of serious harm, in which case measures may be taken to ensure the safety of the participant or other person.
- **The limits of confidentiality**: In FGDs or other group-based methods, participants need to be informed about the limits of confidentiality before consenting to participate.
- **Voluntariness in participation and the right to discontinue participation without penalty:** a statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the participant is otherwise entitled, and the participant may discontinue participation at any time without penalty or loss of benefits to which the participant is otherwise entitled.
- **Contacts for additional information**: an explanation of whom to contact (and how) for answers to pertinent questions about the research and research participants' rights, and whom to contact in the event of a concern about the content, process or consequences of the research, or if they wish to withdraw consent.

- **Audio, video recording and photography**: if the study includes audio recording, video recording or photography, information about these should be included in the PLS and a specific statement of consent for these activities must be included in the PLS and consent form.

An adapted PLS should be made available for guardians of child participants and this should contain the same information as outlined above but adjusted for the perspective of the parent/guardian. A separate PLS and assent form should also be developed for children. Language used in the PLS for children needs to be appropriate for the target age group to ensure that children fully comprehend the content and can provide informed consent. The PLS should contain the information listed above but in a shorter, simplified version. Protocols relating to children providing either verbal or written assent may differ across study countries, and tools and processes will be adapted accordingly.

For cases in which data is being collected remotely, the PLS and consent form may be delivered electronically, for example through email, as part of an online survey, or as a webpage. In these cases, measures should be put in place to make the information accessible to participants after the end of the data collection activity (for example, the end of the survey) so that participants have continued access to the information above, including how to withdraw consent.

3.6. Consent for audio, image and video recording

Express permission from all participants, including adults, children and children's parents or guardians, must be gained before taking images or making an audio or video recording of an interview, group discussion or workshop. This is in addition to consent to take part in the research. As far and as simply as possible, interviewers must explain what the photographs, recordings or videos will be used for, how they may be used, and who may use them, as well as an indication of when they may be used. Interviewers should respect an individual's decision to say no to an image, audio recording or video being taken.

Any images taken of children must be respectful and preserve the dignity of the child and family. If photographs are taken for presentation or publicity purposes, explicit prior consent should be recorded. If photographs are taken for the purposes of supporting re-contact, they should be stored securely and not released for other purposes. Participants should be reminded that they have the absolute right to change their mind about the photographs or videos being taken at any point during or after the research has taken place up to a specified date. Interviewers must therefore provide participants with full contact information at the time of taking the photograph or video to enable participants to do this. Should participants submit a request to withdraw their consent to the photograph or video, the request must be complied with, and photographs or videos must be securely destroyed, and this must be confirmed in writing to the participant.

3.7. Processing of secondary data

The IE expects to conduct analyses of secondary data provided by the FM. This data will have been collected by External Evaluation teams, who were contracted to Implementing Partners and responsible for collecting informed consent from research participants. This may include both quantitative and qualitative data, and may be in an anonymous or identifiable format.

The IE will process secondary research data in line with all requirements set out in the IP agreements with the FCDO/FM and the IE contract with the FCDO, and in line with all applicable data protection legislation (see Section 7.2). The IE will work with the FM to understand the ways in which the IE are permitted to process the data based on the consent provided by research participants. Any secondary data reported by the IE in study deliverables will be anonymous by default and any identifying context removed.

If the IE team has cause to believe that informed consent/ethical procedures were inadequate or not adhered to by EEs in the gathering of data, the processing of secondary data will halt until this matter has been discussed and resolved with the FCDO.

4. Protecting research participants from harm

Adaptations to the COVID-19 context - as of 22/09/2020

At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.

All principles set out in this Section will apply to remote data collection. For all research and evaluation activities the IE team will take care to assess the extent to which risks of harm – for example, who should be considered a vulnerable participant, or possible sources of distress – may be affected by the dynamics of the pandemic. In light of this, additional harm minimisation protocols may be implemented for studies (depending on the context at hand), such as how researchers should respond to participant distress during remote data collection.

Necessary trainings for face-to-face researchers may be conducted remotely, or by local providers under remote direction by the IE research team.

The following general principles will be adhered to in order to protect research participants from harm:

- **Same-sex interviewing should take place for both face-to-face and remote data collection where possible**, including surveys, qualitative interviews or FGDs. Additional measures may be implemented for studies which focus on sensitive topics such as violence against girls, such as mandating female interviewers. Cases in which this should be adapted – for example, cultural norms which mean that a participant may feel more comfortable engaging with an interviewer of the opposite sex – will be considered on a case by case basis.
- **If a participant states that they feel uncomfortable with a question or prefers not to respond, no pressure should be applied by the interviewer to force them to respond**. If the participant makes any communication that they feel uncomfortable with the interview or with a question at any point, the interviewer should pause the interview, ask the participant if they would like to take a break or stop, and wait for them to signal that they are ready for the interview to continue or that they are finished with the interview, and proceed accordingly. If a participant states at any point that they wish to end the interview, the interviewer should stop the interview accordingly (as discussed further in Section 4.3).
- **Each interviewer will receive specific training on ethical research and sensitivity**, including when interviewing children and vulnerable adults, so that they understand, have practised, and are familiar with the ethical research protocols (as set out in Section 5). Field supervisors will also assess adherence to these protocols periodically throughout the data collection period, to ensure that they are followed. These trainings will also be adapted to cover any remote data collection.
- Special care will be taken to ensure that measures set out below are applicable during remote data collection, or additional protection or risk mitigation measures put in place. For research on highly sensitive topics or with vulnerable groups, remote data collection methods may not be appropriate if adequate protection measures cannot be put in place, monitored and enforced.

4.1. Vulnerable participants

This framework takes an expanded definition of vulnerable participants to include anyone marginalised or discriminated against, or at higher risk of violence, due to their gender, sexuality, age, (dis)ability, economic status, education, HIV status or any other aspect of their identity or situation.

Examples of vulnerable populations include pregnant women, prisoners, orphans, people living with HIV and AIDS, refugees, people with physical, sensory or cognitive disabilities, people with limited literacy, and women and men who, in some settings, may have to ask their spouses or caregivers before consenting to participate in the research.

In these instances, special measures will be considered to ensure their safety and inclusion, including:

- Providing alternative ways to participate, arranging for a follow-up interview in a different location, or venue, or time, depending on their preference and convenience.
- Providing, where appropriate, options to conduct interviews without directly discussing sensitive topics (such as violence against girls) with an interviewer. For instance, this might include the use of Audio Computer-Assisted Self-Interviewing (ACASI), which can enhance feelings of confidentiality and safety among participants.
- Offering ‘easy read’ versions of background information on the project where possible – such as survey materials or show cards, with images and symbols to enable people to take part. This will be considered in

cases where it is not feasible or useful to have the enumerator reading out questions from the survey or tablet, or where the enumerator may not be understood in this way.

- During remote data collection it may be difficult to identify vulnerable participants directly, or to ensure their safety (for example, by ensuring a private space is available to discuss sensitive topics, or adequately assessing the risk of duress from others in the household). In these cases, care should be taken during study planning to assess risks to vulnerable participants in light of the sensitivity of the study topic, and mitigation measures put in place as necessary. In some cases, it may be inappropriate to use remote data collection methods if the safety and wellbeing of participants cannot be guaranteed.
- Seeking consent from an individual's carer or guardian or collecting data by proxy (i.e. for example, asking a parent/guardian to answer interview or survey on behalf of an individual to the best of their knowledge) where individuals lack capacity to give their informed consent, or in circumstances where people have severe communication impairments and cannot take part regardless of how accessible the interview is.

When conducting research and evaluation with people with disabilities, specific measures will need to be considered.[8]

- Procedures for collecting data should be sensitive to the types of disabilities that participants may have. For instance, tools may need to be adjusted for people with cognitive disabilities to increase comprehension. The mode of delivery may also need to be adjusted, particularly for people with sensory disabilities, for instance, providing verbal or audio versions of the PLS and consent forms for participants who have a visual impairment. Any research design aiming to be inclusive of people with disabilities should take these issues into account and plan accordingly.
- Past ethical research guidance on obtaining consent from people with disabilities has encouraged seeking consent from the individual's carer or guardian.[9] However, this assumes that people with disabilities have a carer or guardian. More recently, in line with the United Nations Convention on the Rights of Persons with Disabilities (UNCRPD), supported decision-making (rather than substituted decision-making) is considered to be best practice. This involves supporting a person to advocate on their own behalf according to their own will and preferences rather than delegating their decision-making to another person. Some adaptations may be made to enable caregivers to respond on behalf of a project beneficiary if the beneficiary is unable to answer or provide informed assent/consent themselves. However, to the extent possible, we will facilitate supported decision-making rather than substituted decision-making, in line with the UNCRPD. Consent from children with disabilities may involve seeking consent from the carer or guardian as per the protocols set out in 3.2.
- In some cases, people with disabilities may require assistance from an intermediary (e.g. family member, friend, interpreter and other trusted person) in order to meaningfully consent and participate in an interview, including when they have severe communication impairments. In some cases, the participant may not feel comfortable engaging with the research team without the presence of an intermediary. However, it should be noted that the use of an intermediary severely limits the principle of confidentiality, and so the appropriateness of an intermediary should be considered in light of the study topic in order to assess potential risks (for example, a participant may feel uncomfortable to discuss topics such as safety, violence and early marriage in the presence of intermediaries). To minimise harm and prioritise the safety of people with disabilities, in cases where an intermediary is required, the participant with a disability should identify a trusted intermediary or assistant in discussion with the research or programme team. If a trusted intermediary cannot be identified, other options may be to approach a local disabled persons' organisation to secure assistance from an interpreter or intermediary who has been trained in confidential and safe support and assistance. However, in such cases the research participant should consent and agree to the involvement of the intermediary.[10]
- The risk of furthering stigma against people with disabilities should be carefully considered during study planning and tools and processes adapted accordingly. This may include, for example, taking care if purposively sampling people with disabilities to prevent the perception in the wider community that people with disabilities are being 'singled out', and avoiding presenting a study as one focusing specifically on disability (even if this is the case).

[8] See also the IE GESI Approach Paper for further detail on the approach to engaging vulnerable participants in research activities.
[9] For cases and examples of individuals lacking capacity to give informed consent, see further HM Government (2011) Involving Disabled People in Social Research: Guidance by the Office for Disability Issues

[10] van der Heijden, I., Harries, J. & Abrahams, N. (2018) Ethical considerations for disability-inclusive gender-based violence research: Reflections from a South African qualitative case study. Global Public Health, African qualitative case study, Global Public Health, DOI: 10.1080/17441692.2018.1542015.

4.2. Responding to distress

We do not expect the research conducted for the majority of studies under this evaluation contract to be a source of distress for participants. However, there is a possibility that participants may become upset or distressed in response to certain topics, for example discussing reasons for school drop-out or perceptions of safety at school.

In cases where participants are visibly upset during an interview, interviewers should:

- Be willing to take the time to talk with sensitivity, kindness and patience – taking care to ensure that their behaviour always remains appropriate and professional.
- Be patient and composed – recognising that participants sometimes find it helpful to express their feelings.
- Express sympathy and non-judgment – for example, “I appreciate your help with these questions”, “I am so sorry to hear this”, “that sounds incredibly difficult”.
- Interviewers should not assume that the interview should terminate if the participant is visibly upset or distressed. In some cases, a participant may become distressed, cry, and still be willing and able to continue with the interview. In such cases, the interviewer must express sympathy, and ask the participant whether they would like to take a break or pause the recording; whether they would like the interviewer to return at another time; or whether they would like to stop the interview altogether.

Should a study focus on specific topics (such as violence against girls) which may be a source of greater distress for participants, enhanced procedures may be put in place for preserving participants’ psychosocial wellbeing, including recognising the risk of and preventing re-traumatisation and signposting participants to sources of support.

Where data is being collected remotely, clear protocols should be put in place for researchers with regard to recognising and responding to distress. Depending on the sensitivity of the study topic, measures may include, for example, enforcing a lower threshold for distress deemed to be sufficient to terminate the interview; conducting an interview with an adult parent/guardian available; and providing questions in advance so participants are aware which topics will be discussed.

4.3. Cases where an interview should be terminated

Interviewers should terminate an interview only in cases where the participant or interviewer’s well-being or safety might be in jeopardy by continuing with the interview, or where the interviewer is unsure whether it is safe to continue with the interview or where the participant requests the interview be terminated. This includes:

- The participant states that they do not wish to continue.
- A partner, family member or other individual interrupts the interview, and insists that the interviewer leave.
- The interviewer feels that the interview is having a negative impact on the participant, or themselves, and that it would be highly detrimental to continue with the interview.
- It has been decided that the interviews should be conducted privately, however a private space is unavailable, and the participant cannot or does not wish to reschedule or relocate the interview.

Cases where the interview is terminated, and the reasons for termination, should be noted by the interviewer and flagged to a research supervisor.

Where data is being collected remotely, clear protocols should be put in place for researchers with regard to additional reasons for potentially terminating an interview. In addition to the points above, this may include, for example: the participant states that another person has moved within earshot; the interviewer can hear the presence of another individual within earshot; or the interviewer has other reason to believe that another person is within earshot. In these cases, the interviewer may ask if the participant is able to move to another location to continue the data collection. If this is not possible, the interview may be terminated. At the start of remote interviews, the interviewer will ask the participant to describe the space and context in which they are speaking (for example, whether the space is a shared area or an area that may be considered reasonably free of interruptions) in order to assess the risk of interruption.

In cases in which the interviewer believes that the participant is not under any duress, the interviewer may arrange a time to call back to resume the interview. For example, one scenario for this might be that the participant describes is a clear and reasonable reason for the interruption (e.g. the telephone is in a shared space and a parent/guardian has received a visitor or begun cooking a family meal); the participant has not attempted to mislead the interviewer in any way about the presence of the other individual (which may otherwise be a sign of duress); and the study topic is not a sensitive one.

5. The Research Team

> ***Adaptations to the COVID-19 context – as of 22/09/2020***
>
> *At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.*
>
> *During this time, the onboarding of new staff may be primarily conducted remotely. However, all training, onboarding and due diligence procedures set out below and in the Safeguarding Framework will continue to be implemented, with remote trainings and meetings set up as required.*
>
> *Guiding principles for selection of data collection teams (for example, maintaining a gender balance and reflecting the diversity of study populations) will be maintained as far as possible during remote data collection. Where this is not possible, alternative arrangements will be discussed with the FCDO.*

When a new staff member joins the core research team, they will receive full induction training into the project. All team members will be provided with copies of relevant policies and approach papers by the IE Programme Manager and expected to read and confirm they understand these before participating in research and evaluation activity. Consultants working on a limited basis will be provided with a copy of this Framework, and other policies and approach papers relevant to their specific role. All consultants and consortium members involved in the research will be subject to full due diligence checks (in accordance with Tetra Tech's corporate compliance protocols) including background checks by Tetra Tech (in the case of consultants) or their organisation (in the case of partners and subcontracting organisations).

A set of important guiding principles will also be considered when selecting and training the interviewing team. Responsibility for ensuring that these processes are carried out will sit with the Study PI, IE Programme Manager and IE Field Research Manager:

- Ensure the team includes interviewers from appropriate age groups. For example, rapport may be stronger when engaging with younger populations if interviewers are younger (e.g. aged 18-30). However, older women may feel more comfortable speaking with interviewers closer to their age.
- The team should reflect a gender balance and participants must be paired with same sex interviewers where appropriate.
- Safeguarding background checks will be conducted on all national researchers involved in this assessment as part of routine recruitment procedures (see also Section 8.3). Additionally, national researchers will be required to sign and adhere to a code of conduct and safeguarding policy in the appropriate local language. A feedback, concerns and reporting mechanism will be facilitated by providing all research participants, including children and their parents/caregivers, with a mechanism to raise complaints or concerns as set out in Section 10.
- The team should where possible reflect the appropriate demographic, ethnic and linguistic diversity of the sample population in the selected districts where data collection will take place, and be able to communicate in local languages, although it is unlikely to be feasible for the team to be directly representative of the sample population.
- All team members will be provided with copies of relevant policies and approach papers and expected to read these before research commences. All interviewers, supervisors and field staff should receive full training prior to research being carried out and will be required to agree to adhering to the principles outlined in this document. The objective of the training is to equip researchers with: study background; field protocols; roles and responsibilities; interviewing techniques; data processing; safeguarding, complaint and whistleblowing procedures; and quality controls and checks. These protocols should be developed in a separate document that clearly outlines the sampling, methodological and ethical procedures for carrying out the research. This will be the case for both face-to-face and remote data collection methods. These materials can be shared with the FCDO on request.
- Training should cover consent protocols, safeguarding policy, framework and escalation mechanisms, and role-play to simulate scenarios with different participant types / with different needs, with opportunities for feedback and discussion, adapted to the (face-to-face or remote) data collection methods to be used. Training should also cover:
    - **Sampling considerations / accommodating participant needs:** how to engage with certain situations that may arise during data collection and apply protocols set out above; for example, what to do if in conducting household surveys the enumerator encounters a girl who is married (and therefore without

parents/guardians), or a person with disabilities (and therefore in need of reasonable adjustments to facilitate their participation).

- **Gender-sensitive interviewing techniques:** how gender norms affect vulnerability to different types of violence; consequences of violence victimisation; cultural and social norms related to gender and potential impacts on an interviewer's neutrality, and how to exercise reflexivity.[11]
- **Disability-sensitive interviewing techniques:** how to respond to the needs of research participants; avoiding terminology and behaviour that may reinforce stigma; and respectful behaviour when engaging with participants with disabilities (e.g. avoiding offensive terminology; addressing questions to the person directly, rather than carers; positioning themselves in a way to enable lip reading).
- **Research instrument design, tools and approach:** familiarity with the participant eligibility criteria, sampling design, the research instrument(s), including what each question(s) is intended to achieve and protocols around any sensitive questions.
- **Ethical research:** all research team members should be given and trained in this detailed protocol, which governs the ethical considerations on this project. In additional to meaningful, informed consent, ethical considerations during fieldwork include:
    - How to safely and respectfully enter a target community to avoid backlash or retribution;
    - How to speak to participants safely and in a Do No Harm (DNH) way;
    - How to detect participant distress and respond appropriately; and
    - Safeguarding protocols – how and when to report a case to IPs and, when appropriate (i.e. in the best interests of the child, and in line with DNH principles) do no harm, etc to the authorities in line with safeguarding policies.

6. Interviewer safety and well-being

Adaptations to the COVID-19 context – as of 22/09/2020

At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.

During this time, Duty of Care arrangements remain relevant. Importantly, new risks to staff wellbeing and safety may be posed by the pandemic. This includes the direct health risk posed by the virus; possible additional risks caused by mitigation measures taken by authorities (for example, unexpected travel disruption or quarantine obligations for travelling staff as a result of lockdown measures imposed at short notice); and other risks arising from social and economic disruption (for example, civil unrest).

The risk posed to staff health and wellbeing will be factored into initial study planning and assessed on an ongoing basis, and mitigating actions taken accordingly. If significant new risks arise that may affect the planned delivery of a study (for example, delays to data collection), the appropriate course of action will be discussed with the FCDO.

6.1. Duty of care

Tetra Tech has a Duty of Care (DoC) responsibility to our travellers and partners who deploy under our projects. As part of our DoC Tetra Tech provides appropriate insurances, including public liability & professional indemnity; travel insurance & medical cover; repatriation & life insurance; emergency medical assistance; access to medical and psychological assessment providers where required; access to additional in-country security provision where required; and 24/7 access to Tetra Tech Risk Management and Compliance (RM&C) team. The RM&C team monitors and reports on the security situation in all of our countries of operation and ensures individuals have access to information regarding threats and events that may affect them. The RM&C team is able to initiate an immediate crisis management response.

[11] Reflexivity is how a researcher's background and position affects what they choose to investigate, the angle of investigation, the methods judged most adequate for their investigation, the findings considered most appropriate, and the framing and communication of conclusions. See Malterud, K. (2001). Qualitative research: standards, challenges, and guidelines. *The Lancet*, *358*(9280), 483-488.

We expect our partners to be able to demonstrate that their travellers are fit to deploy and that they can manage DoC for their travellers. This is to be a commensurate level to the DoC that Tetra Tech provide. Tetra Tech will measure partners' capability to ensure that all aspects of DoC are covered, that they have adequate policies in place to manage DoC for their travellers. Where a partner is not able to manage a level of DoC that is commensurate with Tetra Tech's, or when we are requested to assist, Tetra Tech will engage in discussion which aims to bring the DoC provision up to the required standard, which may provide access to all Tetra Tech risk management procedures, crisis response and insurance provision as set out above.

6.2. Support for interviewers

Support for and the safety of interviewers is very important and is considered an aspect of safeguarding. The protocols below set out how to ensure interviewer safety and well-being:

- Tetra Tech has effectively and safely delivered and managed research in many fragile and conflict-affected states including in GEC countries – e.g. Afghanistan, DRC and Somalia. All Tetra Tech suppliers are responsible for all Duty of Care arrangements for their own staff and subcontractors. All subcontractors are required to submit their Duty of Care policies and protocols to Tetra Tech's Compliance Team for review to ensure the health and safety of all researchers in the field are maintained at all times. Prior to the start of any research in the field, context-specific risk assessment and management protocols will be developed and agreed with Tetra Tech's Risk Team and the IE Programme Manager who will also be responsible for ensuring that the local research partner is routinely monitoring and reporting on progress and associated risks. Typically, local research partners will conduct risks assessments prior to the start of fieldwork on a daily/weekly/monthly basis depending on the specific nature of the risks involved in a particular location as set out in the approved risk management and fieldwork protocols. Tetra Tech provides 24-hour health, safety and security support to all its subcontractors in the field to ensure robust duty of care arrangements are maintained at all times.
- The health risks to researchers posed by the COVID-19 pandemic will be assessed by the IE team during the study development phase and on an ongoing basis, and adaptations to the research process or methods made accordingly. This may include imposing additional safety or risk mitigation measures on research staff over and above that mandated by national guidelines, or ceasing research activity should the risk worsen significantly.
- Interviewers should avoid travelling alone in the evening or in the dark, or in neighbourhoods where they feel unsafe. In such circumstances they should alert their supervisor, or colleague, to their location and request that they are escorted by another team member to and from the location.
- As a matter of best practice, interviewers should be paired with a buddy (usually a man and a woman) and log details of where and when they are going for their interviews so that supervisors or team members are aware of their whereabouts.
- Interviewers should refrain from disclosing their full names, addresses or other contact information to participants. They should present their identification if asked to do so and provide participants with more general contact information / further information about the project if they are asked to. In the case of remote data collection, interviewers should not use their personal phone numbers or email addresses to engage with participants.
- Interviewers should not offer help or aid in any way that they are not able to fulfil or deliver and should not give money or gifts to anyone in the research communities during the entire research period.
- Should a study focus on a topic that may be highly sensitive, for example violence against girls, additional procedures may be set out in the Study ToRs to ensure the wellbeing of interviewers who may be asked to discuss sensitive or upsetting topics with girls.

7. Confidentiality, privacy and data protection

Adaptations to the COVID-19 context – as of 22/09/2020

At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team. This may require a greater reliance on digital tools than under normal conditions.

Importantly, the confidentiality of interviews conducted by telephone may be harder to ensure during remote data collection. This may affect the topics and research questions which can be studied in the current context; for example, it may not be appropriate to conduct research on sensitive topics until face-to-face

data collection can reliably resume. In addition, clear protocols will need to be implemented for setting up remote data collection calls, as set out in Sections 4.3 and 7.1. This will be assessed by the IE team for each study and on an ongoing basis, to inform study planning and implementation.

7.1. Anonymisation and confidentiality of participant data

Information gathered through research activities may be personal and/or touch upon sensitive topics, such as the experience of participants with disabilities. Ensuring confidentiality of the data collected and anonymity of the research participant(s) is of paramount importance. This will include the following measures:

- Interviewers must not share any information collected through the study with anyone outside of the research team, including family, friends, or other participants. Interviewers should be asked to read and sign confidentiality agreements to clarify and emphasise their responsibilities prior to engaging in any data collection.
- Interviews will be done in a private location where possible. In cases where physical privacy is difficult to obtain, auditory privacy is acceptable (i.e. the interview can be seen but not heard). In the case of conducting interviews with children, interviewers should ensure that the interview is conducted with auditory privacy but where the interview can be seen by adults, including parents, guardians or other responsible adults.
    - In the case of remote data collection, protocols may need to be established to request that the participant move to a private space and confirm their comfort, and a decision taken on whether the interview should go ahead if the private space is not available. Depending on the study topic, this may include termination of the interview if the interviewer becomes aware that the space is no longer private, as set out in Section 4.3. For topics deemed sensitive, remote data collection methods will not be appropriate if auditory privacy cannot be verified by the researcher.
- No personal identifiers (name, address, telephone number, age, gender) will be written on any research materials, including questionnaires, topic guides or interview transcripts. In cases where longitudinal data is being collected and individuals or households need to be tracked, participants will be provided with a unique ID number. This unique ID number will be linked to questionnaires or interview transcripts. Separate documents linking unique IDs to names, addresses, telephone numbers etc) will be created and stored in separate locations/password protected folders to files containing data (e.g. any questionnaire or interview data linked to unique IDs).
- When interviewers leave a household or research location, they should always check to ensure that no research materials have been left behind.
- All research findings are to be presented anonymously and care will be taken during the presentation of research findings to ensure that they do not disclose any details which will make it possible to identify particular research participants (for example through unusual combinations of occupation and location or reporting something they said which could only be known by them) in a manner proportional to the risk of identification and sensitivity of context.

7.2. Data protection principles

All data collected and processed for this contract will be collected, stored and processed in line with regulations set out in the UK Data Protection Act 2018 and the General Data Protection Regulation (2018) (GDPR). We will store data securely and will ensure that all consultants and subcontractors also do so. We will comply with GDPR clauses of the FCDO head contract and these are mirrored in our consultancy and subcontractor contracts.

- **Lawfulness, fairness and transparency:** Personal data will be collected over the course of this research and will be processed lawfully, fairly and in a transparent manner in relation to those to who it relates.
- **Purpose limitation:** We will only collect personal data for the specified, explicit and legitimate purpose for which it is intended. It shall not be processed in a manner that is incompatible with these purposes. It may be anonymised for further research purposes.
- **Data minimisation:** We will collect personal data that is adequate, relevant and limited to what is necessary for the above purposes.
- **Accuracy:** We will endeavour to only retain accurate personal data (which shall be updated if necessary). Inaccurate personal data shall be updated or erased as soon as possible following identification of the inaccuracy.

- **Storage limitation:** The personal data shall be kept in a form which permits identification of the data subjects for no longer than is necessary for the purposes for which the personal data are processed. See Section 7.3 below for more details on data storage.
- **Integrity and confidentiality:** Personal data will be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures. See Section 7.3below for more details.

For the purposes of this contract the IE team shall be both the controller and processor of personal data collected as part of primary data collection. In line with the Tetra Tech/ FCDO contract, the Independent Evaluation team shall provide only anonymised data sets for the purposes of reporting on this project and so the FCDO shall not be a Processor in respect of anonymised data as it does not constitute Personal Data.

Where the IE is provided with secondary data from the Fund Manager that is not fully anonymised, this will be anonymised for the reporting stage.

All research conducted by Tetra Tech is fully compliant with the ESOMAR International Code of Conduct on Market, Opinion and Social Research and Data Analytics.[12]

7.3. Data storage protocols

Data protection – as defined by the Data Protection Act 2018 – involves secure handling of data and associated data, and the correct level of anonymisation of data sources. In line with this, all data will be stored securely in a manner proportionate to the type of participant groups and the volume and the sensitivity of records involved. Typically, data protection measures for studies will include measures such as the following:

- Paper-based surveys will be kept in a secure place. All hardcopy forms will be stored in a safe storage site with access limited to relevant IE project staff.
- Once the data is keyed, all personally identifying information should be removed from the file and replaced by a unique ID. A separate file mapping the ID to the original identification information will be stored separately in aa password-protected format, with access limited to authorised project staff.
- All identifiers (address, telephone and names) will be stored separately and linked by a project key. They will be archived and released for use only for data linkage that has been approved by the participant and relevant ethical bodies, and for re-contact, where permission has been given.
- All identifiers will be removed from internal analytical products.
- All identifiers and potentially disclosive information (such as unusual combinations of occupation and location) will be removed from external products in a manner proportional to the risk of identification and sensitivity of context;
- Data which cannot be extricated from identifying context – such as audio recordings – will be stored securely in password-protected folders with access limited to authorised project staff.
- Where vulnerable groups are identified in the population (for example, households without adult presence), supervisors should take appropriate steps to ensure that all recording and transmission of information is managed correctly and that any verbatim notes or open-coded information in the relevant records are not transmitted or stored incorrectly – in other words to enforce normal best practice.
- Measures will be taken to secure any data during transit between collection locations, for example storage on encrypted devices or immediate synchronisation to a secure server.
- If researchers are working from home (for example as a result of COVID-19 measures), protocols will be put in place to ensure the safety and integrity of data collected, for example by prohibiting the use of personal devices and putting in place additional data protection protocols if secure internet connections cannot be guaranteed.

Personal data relating to children, their parents / guardians and other stakeholders will also be subject to standard data protection and confidentiality procedures as outlined above. Child data will be subject to standard survey data protection and confidentiality procedures as outlined above. All hardcopy forms should be stored in a safe storage site with access limited to authorised project staff. Once the data is keyed, all personally identifying information should be removed from the file and replaced by a unique ID. A separate file mapping the ID to the original identification

[12] ESOMAR (formerly the European Society for Opinion and Marketing Research) standards are available here: https://www.esomar.org/uploads/pdf/professional-standards/ICCESOMAR_Code_English_.pdf

information will be kept separately in the safe storage site. Transmission between project parties will involve only de-identified data.

At the end of the contract, all hardcopy and electronic files will be archived in a secure site for a time-limited period proportional to the sensitivity of the data and likelihood of needing to un-anonymise the data at a later date. After this time, any identifying data will be securely deleted, and only fully anonymised data retained.

Tetra Tech is also cyber-secure and has achieved IASME "Cyber Essentials Plus" certification.[13]

7.4. Use of digital research tools

Where digital research tools are used (e.g. online survey platforms) these will be used under a licensing agreement with Tetra Tech or subcontracted organisations to ensure that IE confidentiality and data protection processes are adhered to.

Any digital tools developed by the IE will adhere to the FCDO's Principles for Digital Development where relevant.[14]

8. Safeguarding framework

> ***Adaptations to the COVID-19 context – as of 22/09/2020***
>
> *At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.*
>
> *We would expect all safeguarding procedures below to be followed for both face-to-face and remote data collection, even if the researcher is not in the same country as the survivor/victim. In these cases, the Tetra Tech safeguarding teams (see below) will carefully consider how the pandemic context should affect the safeguarding response. This may involve engaging remotely with relevant local authorities or health services, and engaging with partners or support services on the ground to facilitate this engagement,*
>
> *Training for subcontractor and partner organisations will take place remotely or by local delivery partners as appropriate.*

This Section sets out the safeguarding processes as they will apply throughout the research and evaluation activities. The processes set out below are intended to complement Tetra Tech's Safeguarding Policy[15] by: providing additional general guidance and context-specific guidance to the IE team; providing strategic guidance to outline the IE team's commitment to safeguarding across the independent evaluation and its management, including the roles and responsibilities of different staff members; and ensure compliance with the safeguarding standards and requirements set by the FCDO.

8.1. Scope

For the purposes of this framework, and as outlined in the definitions in Section 1.6, safeguarding includes all actions that are taken to prevent, mitigate and respond to harm to children or adults at-risk, including:

- **Child Protection violations**: Violence, exploitation, abuse or neglect of children;
- **Sexual Exploitation, Abuse and Harassment (SEAH)**: Sexual exploitation, abuse and harassment of community members, including project beneficiaries, research participants and IE personnel;
- **Negligence, carelessness, or other deliberate or accidental harm** to community members, including project beneficiaries and research participants.

This definition encompasses both real and perceived improprieties, as well as harm, which is caused intentionally or unintentionally, and directly or indirectly, by IE personnel (including subcontractors) and community members.

[13] See IASME (formerly Information Assurance for Small and Medium Enterprises Consortium) website for further information: https://iasme.co.uk/cyber-essentials/
[14] https://www.gov.uk/government/publications/dfid-digital-strategy-2018-to-2020-doing-development-in-a-digital-world/dfid-digital-strategy-2018-to-2020-doing-development-in-a-digital-world
[15] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Safeguarding-Policy.pdf

8.2. Implementation of the GEC II IE Safeguarding Policy

All IE staff, consultants and subcontractors delivering services in relation to the main research and evaluation studies will be expected to follow the processes set out below.

The safeguarding reporting process will be coordinated by a nominated Safeguarding Focal Point for each study. It is expected that the Safeguarding Focal Point will be the Programme Manager to provide consistency across studies. However, this will be reviewed by the Programme Director and the study team in question on a study-by-study basis to ensure this is appropriate for the context, and the study team allowed to nominate an alternative Safeguarding Focal Point if preferred to ensure they are comfortable reporting to the person in question.

Subcontracted organisations delivering services would be expected to have an internal escalation process which is linked to the Tetra Tech safeguarding process. This may include a nominated Subcontractor Safeguarding Focal Point for each organisation, who will be responsible for reporting incidents to the Tetra Tech Safeguarding Focal Point (and so triggering the investigation and escalation process set out in Section 8.8). Safeguarding reporting arrangements will be tailored for each organisation depending on their involvement in the research, and clearly set out in subcontractor agreements and operational documentation (and communicated to researchers accordingly).

Organisations delivering services for the RRLF would be expected to have their own safeguarding policies in place, which will be evaluated as part of the tender evaluation and due diligence processes. If this is not realistically possible (for example, for micro organisations) in which case organisations may instead be linked to Tetra Tech processes on a case by case basis. However, in all cases Tetra Tech will be notified of all complaints during the reporting process. Further information will be set out in RRLF tender documentation and agreements with contractors.

Roles and responsibilities of different parties in implementing the Safeguarding Policy are summarised in Table 2.

Table 2: Safeguarding and ethical research roles and responsibilities of the IE team

Position / team member	Responsibility
IE Programme Director	• Holds the ultimate accountability over the programme, including application and adherence to safeguarding and ethical research protocols, to the FCDO. • Available to receive reports of breaches or suspected breaches of the policy if individuals do not feel comfortable reporting concerns to Safeguarding Focal Point.
Team Leader / Deputy Team Leader	• Accountable for safeguarding processes being implemented across the team on a day-to-day basis. • Coordinates review of the safeguarding strategy every quarter and as defined by the terms under Section 1.5. • Responsible for overseeing integration of safeguarding risks into the IE team's risk register and ensuring their mitigation (with support of the Safeguarding Expert). • Available to receive reports of breaches or suspected breaches of the policy if individuals do not feel comfortable reporting concerns to Safeguarding Focal Point.
IE Ethical Research and Safeguarding Expert	• Responsible for designing relevant safeguarding processes across the whole of the project and ensuring consistency with FM's processes. • Provides input into reviews of the safeguarding strategy every quarter and as defined by the terms under Section 1.5. • Responsible for designing safeguarding training for all researchers and staff on the IE team for GEC II.
Programme Manager and Safeguarding Focal Point[16]	• Responsible for implementation of and adherence to safeguarding processes in line with this framework and Tetra Tech corporate policies, including through completion of Tetra Tech Safeguarding checklist (Annex B). • Responsible for being the first port of call to receive all concerns and allegations of abuse or breach of the policies (**Safeguarding Focal Point).** • Responsible for escalating any concerns or risks to the IE Programme Director and the FCDO as appropriate and in line with the reporting process. • Responsible for the integration of safeguarding risks and mitigation strategies into the IE team's risk register. • Acts as a conduit between various GEC stakeholders (FCDO, FM, ESWG) to gain consensus for the programme safeguarding framework and strategy.

[16] This is referred to in Tetra Tech's internal policy as Safeguarding Officer.

	• Responsible for cascading training on these guidelines and safeguarding processes to all relevant staff.
Subcontractor Safeguarding Focal Point	• Responsible for being the first port of call to receive all concerns and allegations of abuse or breach of the policies from their employees/staff, in line with processes and procedures agreed with Tetra Tech. • Responsible for escalating all such reports to the Tetra Tech Safeguarding Focal Point in line with agreed reporting procedures at the earliest possible opportunity and within 24 hours.
All staff, consultants, suppliers	• Comply with code of conduct[17], safeguarding and whistleblowing policies and the safeguarding framework. • Escalate all concerns as per procedures in line with the reporting process. • Act as safeguarding ambassadors for the programme, proactively promoting safeguarding principles.

8.3. Due diligence and background checks

Standard due diligence is conducted on all organisations and subcontractors contracted by Tetra Tech. This includes the review of key policies, including safeguarding, modern slavery, duty of care, anti-bribery, anti-corruption and anti-fraud policies; staff working conditions, safety, and wellbeing, and HR policies; information security processes; whistleblowing procedures; and the contracting organisation's own use of subcontractors and consequent due diligence.

Tetra Tech requires background checks for all employees and consultants, and mandates that contracted supplier organisations have similar standards of vetting. This will include organisations and subcontractors contracted to deliver RRLF services.

8.4. Raising awareness on safeguarding

One of the greatest barriers to reporting SEAH is the lack of community awareness about what SEAH is. In some cases, few community members may have been informed about what acts constitute SEAH and that SEAH is forbidden under humanitarian agencies' and research organisations' Codes of Conduct. Community members may be unaware of their rights to hold humanitarian actors and researchers to account, or how to do so.

To mitigate this, the GEC II IE team will:

1. Raise awareness when engaging with research participants about the IE GEC II programme commitment to safeguarding and duty of the staff, researchers and consultants.
2. Inform research participants, in an easily accessible manner, what SEAH is, the strict prohibition against such conduct, and how to report any suspicions or incidents safely, and, in a way that does not breach their anonymity. This information would be included in written materials (or discussed verbally as required) and introduced by the main researcher at any introduction to the data collection process, and before any data is collected.
3. Conduct training with research teams, including staff, consultants and suppliers, on safeguarding and the code of conduct to ensure they are confident about safeguarding, their duties, roles and responsibilities, and how and what to report and to whom.

8.5. Reporting mechanism: how to escalate a safeguarding concern

All concerns and allegations of abuse or breach of the Safeguarding or related Tetra Tech policies, whether internal to the research team or external (see Section 8.6.1 and 8.6.2) should be reported to the IE Programme Manager in the first instance who will act as the designated Safeguarding Focal Point[18] (or Subcontractor Safeguarding Focal Points for subcontracting organisations, to be subsequently passed on by the Subcontractor Safeguarding Focal Point to the Tetra Tech Safeguarding Focal Point as soon as possible and within 24 hours).

This should be reported in a formal Safeguarding Incident Form as far as possible (see Annex C for the indicative form; this may be adapted as needed to suit the study context).

[17] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Supplier-Code-of-Conduct.pdf
[18] This is referred to in Tetra Tech's internal policy as Safeguarding Officer.

The IE Programme Manager (henceforth Safeguarding Focal Point) will liaise with the Ethical Research and Safeguarding Expert in the second instance and discuss an appropriate response as necessary, in addition to undertaking the steps set out in Section 8.8.

The first priority will be for the Safeguarding Focal Point to ensure that the child, youth or vulnerable adult or the person affected by abuse is at no risk of further harm. Depending on the context, this may include for example immediately reporting the incident to the appropriate authorities, or if the alleged perpetrator is a research team member, immediately removing them from their position while the incident is investigated.

If for any reason, a staff member does not feel comfortable reporting to the Tetra Tech or Subcontractor Safeguarding Focal Point, they should report their concern directly to the Team Leader, Deputy Team Leader or the Programme Director, or follow the whistleblowing reporting procedures[19] within a 24-hour reporting period.

This process is detailed in the Tetra Tech Safeguarding Policy[20] and Whistleblowing Policy[21].

8.6. Safeguarding and how reports come to light

8.6.1. Reports received by researchers

If a researcher receives or becomes aware of an allegation, suspicion or concern relating to a potential or actual SEAH incident through a local reporting mechanism, they should ***not*** seek further information about the incident, or the persons involved. Instead, they should pass the information (without reading it) through appropriate channels to the subcontractor Safeguarding Focal Point / Tetra Tech Safeguarding Focal Point – ***within 24 hours***.

If a researcher receives the report in person, they must tell the informant or the victim / survivor that they are **not** a Safeguarding Focal Point. They should then follow these steps:

a) The researcher should ask the informant or victim / survivor if they need any immediate support – such as protection or medical treatment.
b) Explain who the Safeguarding Focal Point[22] is – their name and contact details. If the informant / survivor agrees, they should offer to call the Focal Point immediately so the informant or victim / survivor can speak with them.
c) If the Safeguarding Focal Point is unavailable and the informant or victim / survivor wishes to continue speaking with the researcher, they should re-iterate that they are not a Safeguarding Focal Point and that if the informant or victim / survivor wishes to make a report the researcher will need to pass on the information they receive to the Safeguarding Focal Point for appropriate follow up. However, they will only pass on the informant's or victim's / survivor's personal details (or any other identifying information) with their consent – exempting cases that involve children or persons with disabilities who lack capacity to make decisions in their own best interests.
d) The researcher should reassure the informant that what they say will remain private and confidential – they will need to take follow up action but unless the informant gives their consent, neither the informant nor the victim / survivor will be identified in any way.
e) The researcher must tell the informant that, in the case of children, they cannot make this guarantee of confidentiality as the best interests of the child is the primary consideration. The same applies to cases of adults with impaired decision-making capacities.
f) With their informant's / survivor's permission, the researcher should write down the details of what happened, when and where, and who did this.
g) The researcher should advise the informant or the victim / survivor what will happen with the report after it is given to the Safeguarding Focal Point, including aspects relating to confidentiality.
h) The researcher should ***not*** take any further action.

Researchers should keep in mind that:

- It is very important to give the informant support and validation for coming forward, especially if they are the target / survivor of the inappropriate sexual behaviour they are reporting. This might include for example reiterating to the informant:

[19] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Whistleblowing-Policy.pdf
[20] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Safeguarding-Policy.pdf
[21] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Whistleblowing-Policy.pdf
[22] Depending on the study arrangements, this may be the Tetra Tech or the Subcontractor Focal Point.

  - "I'm sorry this happened to you."
  - "No one deserves to be abused."
  - "I'm glad that you were able to tell me this. After we finish speaking, I will provide you with some referrals for where you can receive additional support, if you would like."
- It is not their responsibility to initiate investigations into who the victim / survivor and/or the perpetrator are, or what may have happened.
- If they know the parties concerned, they must under no circumstances speak with them about the report, or even let them know that a report has been made. ***It is a violation of the Code of Conduct for the researcher to inform anyone against whom a SEAH report has been made that they are the subject of such a report. If they do this, they will face disciplinary measures***.
- They should not communicate the fact that they received the report, and they should not disclose the contents of the report, to anyone outside of the appropriate channels. In this case, the only appropriate person with whom to communicate is the Tetra Tech Safeguarding Focal Point (or their Subcontractor Focal Point, who will subsequently report to the Tetra Tech Safeguarding Focal Point), who will make an assessment dependent on the nature of the incident about how and when to escalate the report to other channels (such as referral pathways, local law enforcement or other local health services). The only exception to this would be a case in which the researcher has reason to believe the victim/survivor is at risk of imminent physical harm and this cannot be immediately discussed with the Tetra Tech Safeguarding Focal Point, in which a researcher should report the risk to appropriate local authorities. If urgent medical support is required, this should be sought by the researcher in all cases without disclosing specific details of the incident to the medical authorities above what is required to provide the necessary medical care. Details will be discussed with researchers in initial training, with tailoring to the local context as needed.
- It is not the job of the researcher to assess the veracity of the allegation before forwarding it on to the Subcontractor / Tetra Tech Safeguarding Focal Point. The researcher must forward all allegations, suspicions and concerns relating to a potential or actual SEAH to the Subcontractor / Tetra Tech Safeguarding Focal Point ***within 24 hours***, even if they are not sure that they constitute SEAH. This includes uncertainty as to *whether* misconduct has taken place and *what type* of misconduct it might be. This includes both reports of misconduct both within the research team and external to the team (as set out in Section 8.6.2).

8.6.2. Types of report

The IE team may become aware of an actual or potential case of SEAH through one of many sources:

- A general feedback or reporting box or other mechanism, including a hotline, established by our local data collection partner;
- A referral from the authorities;
- A verbal report from a colleague from one of our suppliers or research partners;
- A verbal report from someone in another organisation;
- The researcher's own observations; or
- The email or phone reporting mechanism of the FM or Tetra Tech;

The information regarding actual or suspected SEAH may be very detailed or quite vague:

- We may receive very detailed information about a known or suspected SEAH incident, specifying what happened to whom, when and where.
- We may receive vague information about "bad behaviour" or people "feeling uncomfortable" that suggests possible SEAH.

The identities of the parties involved may be known or unknown:

- The **identity of the person accused or suspected of perpetrating SEAH** may be known or unknown. If their identity is known, this should be communicated when the report is passed to the focal point. If their identity is unknown, as many details as possible should be included (age, height, build, skin colour, ethnicity, clothing, any visible logos on t-shirt, lanyard, cap, tattoos, body marking, etc).
- The **identity of the person who may have experienced the potential or actual SEAH** may be known or unknown. If their identity is unknown, the report to the Safeguarding focal point should include as many details

as possible relating to the victim's / survivor's age, location where the incident may have occurred, roughly when the incident may have occurred, the context in which the incident may have occurred. This is important for two reasons: first, to help locate persons who might require protection and/or survivor assistance; and second, to identify weak points in the GEC project in order to strengthen prevention and mitigation measures.

The report may concern individuals from the IE team; implementing organisations; or the community in which the research is taking place:

- Researchers may receive reports of, or become aware of, potential safeguarding concerns involving (a) fellow Tetra Tech researchers, (b) persons associated with the GEC Implementing Organisation, or (c) members of the child's family / community.
- At the same time, Tetra Tech or the GEC Implementing Organisation may receive reports of, or become aware of, safeguarding concerns involving Tetra Tech researchers.

In either case, the concern must be reported to the designated Tetra Tech Safeguarding Focal Point (or nominated Subcontractor Safeguarding Focal Point, who will subsequently report to the Tetra Tech Focal Point) within 24 hours of becoming aware of it, *and* the person sharing the concern must receive confirmation of receipt within 24 hours.

The process by which the reports are handled by the Safeguarding Focal Point are listed below.

NB: Reports are often made anonymously, and this should be encouraged and allowed.

8.7. Safeguarding and receiving reports

The Tetra Tech Safeguarding Focal Point will then map any reports and concern received across the independent evaluation as set out in Table 3.

Table 3: Mapping of escalation of reports/concerns

Type of concern	Escalated to / case handled by	Reported to the FCDO
Incident involving misconduct (violence, exploitation, abuse, sexual harassment, bullying, etc.) perpetrated by a **GEC II IE team member or as a result of taking part in research or evaluation activities** (i.e. through interactions with local data collection partners, Tetra Tech consultants), or other visitors, consultants or service providers.	Escalated using process outlined in Section 8.6.1 above. Incidents to be escalated to Tetra Tech Child and Vulnerable Adult (CVA) Committee within 24 hours of case/concern being received.	Within 24 hours of the Tetra Tech Safeguarding Focal Point being notified, Tetra Tech will notify the FCDO. A full case report will be shared with the FCDO following case handling and investigation.
Incident involving misconduct (violence, exploitation, abuse, sexual harassment, bullying, etc.) perpetrated by **FM or due to the involvement of the survivor with activities funded or implemented by the FM or one of their partners.**	Escalated using process outlined in Section 8.6.1 above. Tetra Tech to inform the FM within 24 hours of case/concern being received. The FM will be responsible for conducting their own investigations, but Tetra Tech will be invited to join the investigation team.	Tetra Tech to escalate to the FCDO within 24 hours of receiving the case or concern.
GEC II Independent Evaluation research participant (child or adult) experiencing an **active of violence including GBV perpetrated by a community member or stranger.**	The staff member, consultant, supplier or researcher working on behalf of Tetra Tech made aware of the allegation will notify the Tetra Tech Safeguarding Focal Point (or their nominated Subcontractor Safeguarding Focal Point, who will subsequently report to Tetra Tech).	Tetra Tech to report to the FCDO within 24 hours as appropriate.

Type of concern	Escalated to / case handled by	Reported to the FCDO
	The Tetra Tech Safeguarding Focal Point will undertake a rapid risk assessment and support referral to appropriate or relevant authorities or services within the country where the allegation arose.[23]	

If someone does not feel comfortable reporting the allegation to the Tetra Tech Safeguarding Focal Point, they can also report it directly to the programme's leadership, including to the Team Leader, Deputy Team Leader and the Programme Director. If that person does not want to approach any of the team members, they can also use Tetra Tech's whistleblowing procedures (posters with whistleblowing contact details will be distributed to Tetra Tech's local data collection partners and other suppliers for display and distribution in local languages during data collection activities.)

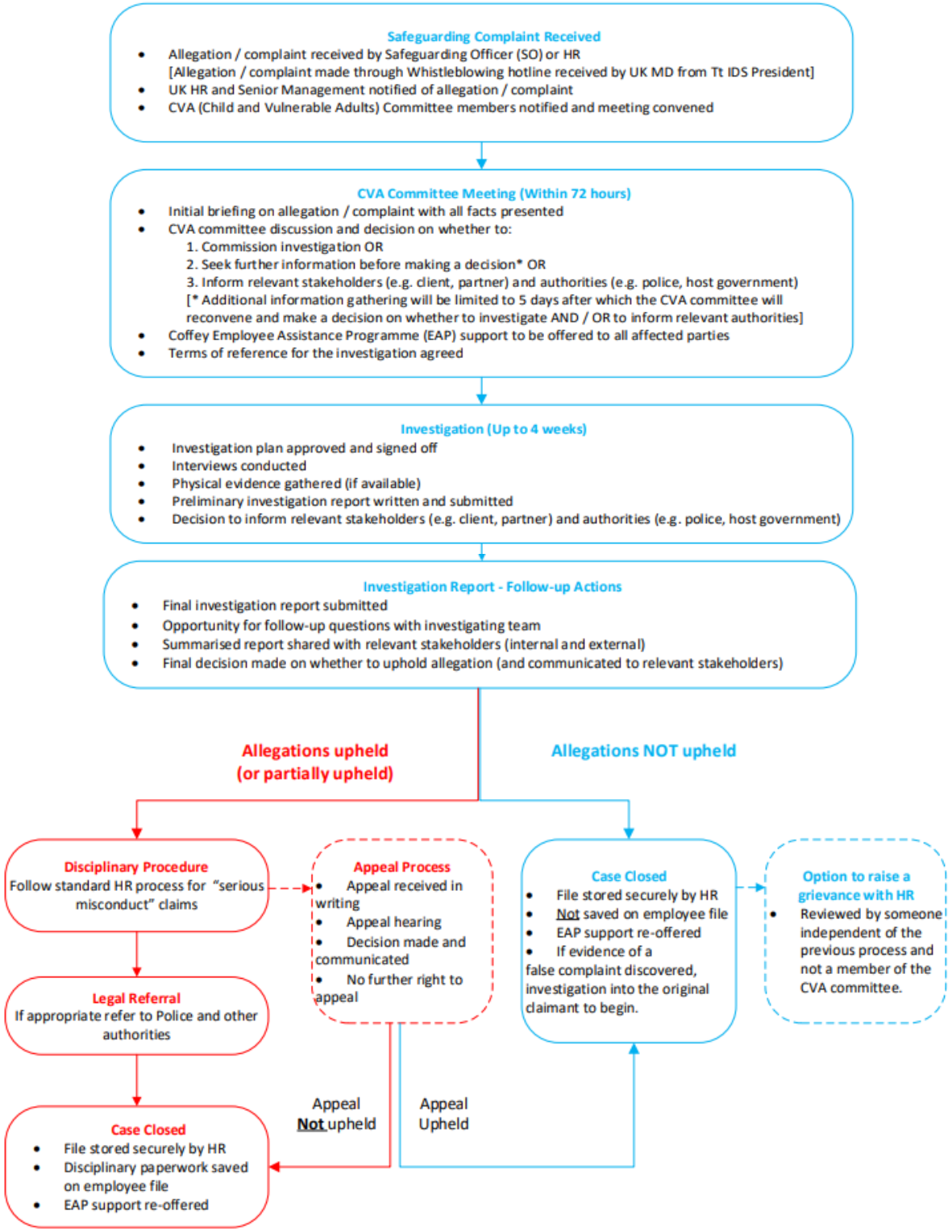
The numbers of safeguarding reports submitted will be reviewed on a quarterly basis by the IE Programme Director, the Team Leader or Deputy Team Leader and the IE Ethical Research and Safeguarding Expert. If the number of reports is deemed too high or non-existent (may signal that reporting mechanisms are not working), appropriate measures will be taken to investigate further.

8.8. Safeguarding investigation process

Figure 1 outlines how safeguarding concerns or issues will be investigated upon being received by the Tetra Tech Safeguarding Focal Point, as outlined in the Tetra Tech Safeguarding Policy.[24]

[23] A list of these available services will be collated by the research team prior to data collection activities being carried out in different countries where the GEC II Independent Evaluation is operating.
[24] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Safeguarding-Policy.pdf

Figure 1: Safeguarding investigation process



9. Conflicts of interest

> ***Adaptations to the COVID-19 context – as of 22/09/2020***
>
> *We do not expect our Conflict of Interest procedures to be affected by the Covid-19 pandemic.*

A Conflict of Interest (COI) is defined by the IE as follows:

> *Because of activities performed or relationships with other persons, either (1) a person is unable to render impartial assistance or advice to a client, (2) a person's objectivity in performing work for a client is or might be impeded, or (3) a person has an unfair competitive advantage.*

Tetra Tech's "*Conflict of Interest Ethical Wall Policy and Procedures*" outlines the requirements for handling Sensitive Information and Ethical Wall principles.[25] All partners and members (i.e. employees and active sub-contractors) of the Independent Evaluation Team are expected to comply with these procedures. Furthermore, each employee agrees to report to the appropriate person any past, present or future relationship that may result in an actual or potential COI. Any violation of this policy will result in disciplinary action up to and including termination of the individual's role in the IE team and/or contractual relationship with Tetra Tech.

These procedures include (but not exclusively):

- *Identifying and addressing COI*: Any potential COI will be handled in a professional, open and transparent way as outlined below:
  - If a member of the IE team identifies any potential COI, or a situation that may influence someone in the team (*actual*) or that others may think could influence someone in the team (*perceived*), then that team member should declare the COI to the IE Programme Manager as soon as possible;
  - If the COI is considered real, the team member should be recused from all relevant work;
  - If the conflict is considered one that creates a risk of an actual or perceived COI, then the team member should notify the IE Programme Manager in the first instance (janki.rajpura@tetratech.com), who will liaise internally with the Programme Director (simon.griffiths@tetratech.com), Compliance Team and Compliance (cuereporting@tetratech.com) as appropriate.
  - Where appropriate, the IE Programme Manager should then advise the FCDO (where possible, in a way that respects the confidentiality of others concerned) and offer to stop acting, so that the FCDO can make an informed decision about how to proceed;
  - If in any doubt, further guidance should be sought by the IE Programme Manager from the Tetra Tech Compliance Team *immediately*;
  - If, having followed the above procedure, the team member still has concerns or feel the matter is not being addressed adequately, then that person should make use of the Whistleblowing Hotline.
- *Managing COI:* Depending on the facts in a particular situation, some COI can be managed as outlined below:
  - The starting point is to give all parties the full facts of the actual or potential COI. Those parties can then make an informed decision on whether they still want the affected team member to continue to act. The final decision needs to be authorised by the Tetra Tech Compliance Team.
  - If a potential COI can be managed, then the measures put in place to do this this should be discussed, agreed and confirmed with the FCDO in writing. It may be possible and appropriate to operate information barriers in terms of electronic and physical access to information.
  - If a solution cannot be found, or a solution is not agreed by all parties, then we cannot proceed. This may result in the termination of the individual's relationship to the IE team. This will be discussed with the FCDO and relevant parties and a way forward agreed.
  - *COI Register:* A register of any declared conflicts of interest will be maintained by the IE Programme Manager (Janki Rajpura), who will liaise closely with the Tetra Tech Compliance Team, as needed. COI risks will be dealt with at the Programme Manager level or, where required, be escalated to the IE Programme Director (Simon Griffiths), and Compliance Team as appropriate.

[25] See: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Conflict-of-Interest-Policy.pdf

10. General feedback and complaints

> ***Adaptations to the COVID-19 context – as of 22/09/2020***
>
> *At the time of writing, we expect data collection for the foreseeable future to be primarily conducted remotely, or by local data collection providers under remote direction from the IE team.*
>
> *This may mean relying primarily on remote mechanisms for feedback and complaints. These will be set up on a study-specific basis, in a way that is tailored to the local context and accessible for research participants and local stakeholders.*

Clear feedback and complaint mechanisms will be set up by the research team in conjunction with local data collection partners in advance of any research taking place. All research participants will be advised of the procedures and contact details for confidentially filing a complaint or providing feedback on the activities and conduct of interviewers. The mechanism may be managed by the local research partner but monitored and addressed by the core IE team, or directly by the core IE team, depending on the nature of the research and evaluation activity being undertaken. Findings, conclusions and recommendations that emerge from the feedback and complaints process will be shared with the complainants in an accessible manner.

Details of the feedback and complaints mechanisms will be included in research protocols, including in PLSs and consent forms. Any feedback or complaints should be carefully documented and addressed in a sensitive, timely and appropriate way, and in line with Tetra Tech's safeguarding, whistleblowing and anti-bribery policies (see Annexes B-E). Safeguarding complaints will be handled in line with the process set out in Section 5.

All IE personnel (including subcontractors) will also be provided with details of how to raise any complaints or concerns of their own with regard to the conduct of IE staff or subcontracted organisations. It may sometimes be the case that staff fear reprisals as the result of reporting suspected abuse within their own organisation. In these cases, they will be able to draw upon Tetra Tech's independent whistleblowing policy and procedures. [26]

In addition, any person who has concerns or suspicion or fraud, sexual exploitation and abuse or other corrupt practices may also make a complaint directly to the FCDO Internal Audit Department at reportingconcerns@fcdo.gov.uk or by reporting through the confidential hotline (+44 (0)1355 843747). These details will be displayed on our reporting poster and made available to all IE personnel (including subcontractors).

11. Ethical research forms

> ***Adaptations to the COVID-19 context – as of 22/09/2020***
>
> *Any forms developed for research and evaluation studies will be tailored to reflect any relevant information relating to the pandemic or local pandemic response at the point of study implementation. These will be reviewed on an ongoing basis to ensure that information is up to date, and updated versions produced as required.*

As outlined in this document, there are a number of ethical research forms that will need to be developed and used during individual research and evaluation studies. For ease of reference, the core forms are listed below, although additional forms may be developed for individual studies where relevant:

- **Application form for ethical research approval:** Forms will be specific to the relevant ethical research clearance processes (as set out in Section 2.2).
- **Plain language statements (PLSs) and consent forms:** PLSs and consent forms should be developed in line with country-level and study-specific requirements (as set out in Section 3.5). Separate PLS and consent forms should be developed for adult participants and parents/guardians of child participants, and specific assent forms should be developed for children.
- **Safeguarding information sheets:** Research teams should receive clear instructions on IE safeguarding protocols, expectations of staff and instructions on what to do in cases of a suspected safeguarding breach (as

[26] Available at: https://intdev.tetratecheurope.com/wp-content/uploads/2020/07/Whistleblowing-Policy.pdf

set out in Section 5). This may include dedicated tools, such as a safeguarding checklist or reporting flow chart and signed conduct agreements on the part of the researchers.

Annex A: Key documents

The following documents are key frameworks and guidelines which are relevant to the principles above. As these documents are updated or new frameworks released, the principles above will be revised accordingly:

- ESOMAR International Code of Conduct on Market, Opinion and Social Research and Data Analytics
- FCDO 2011 Ethics Principles for Research and Evaluation
- FCDO 2013 Evaluation Policy
- FCDO 2018 DFID Digital Strategy 2018 to 2020: doing development in a digital world
- FCDO 2019 FCDO ethical guidance for research, evaluation and monitoring activities
- FCDO 2020 Child Safeguarding Due Diligence: for external partners
- FCDO 2020 Enhanced Due Diligence: Safeguarding for external partners
- FCDO 2020 Guidance on Safeguarding against Sexual Exploitation and Abuse and Sexual Harassment (SEAH) in the aid sector
- HM Government 2018 Data Protection Act
- HM Government 2011 Involving Disabled People in Social Research: Guidance by the Office for Disability Issues

The following documents are key consortium policies to which the principles above are aligned:

- Tetra Tech Code of Conduct
- Tetra Tech Conflict of Interest Policy Tetra Tech Whistleblowing Policy
- Tetra Tech Safeguarding Policy
- University of Cambridge Policy on the Ethics of Research Involving Human Participants and Personal Data[27]
- University of Cambridge Policy on the Ethics of Research Involving Human Participants and Personal Data[28]
- University of Cambridge Children and Adults at Risk Safeguarding Policy[29]
- University of Cambridge Policy Against Bribery and Corruption[30]

The following documents are key IE documents which should be read in conjunction with this framework:

- Inception Report (in development)
- RRLF Handbook
- GESI Approach Paper: *GEC II Independent Evaluation: Our Approach to Gender Equality and Social Inclusion*
- Memorandum of Understanding between the Fund Manager and Independent Evaluator
- IE contract with the FCDO

[27] Available at: https://www.research-integrity.admin.cam.ac.uk/files/policy_on_the_ethics_of_research_involving_human_participants_and_personal_data_oct_2016.pdf
[28] Available at: https://www.research-integrity.admin.cam.ac.uk/files/policy_on_the_ethics_of_research_involving_human_participants_and_personal_data_oct_2016.pdf
[29] Available at: https://www.hr.admin.cam.ac.uk/files/children_and_adults_at_risk_policy_v3_final.pdf
[30] Available at: https://www.governanceandcompliance.admin.cam.ac.uk/files/bribery-and-corruption-policy.pdf

Annex B: Tetra Tech Safeguarding Checklist

The Safeguarding checklist should be used by the Programme Manager at the beginning of the programme to ensure compliance with the Safeguarding Policy. The Programme Manager should ensure that each activity/ operating standard has an allocated responsible staff member (e.g. Programme Manager, Safeguarding Focal Point, Grant Officer, HR Manager, Risk Manager). The form should be reviewed regularly to ensure that all standards are maintained.

Activity or operating standard	Responsible	Progress
Is the Safeguarding Policy included as an annex to all contracts?	*Example: IE Programme Manager*	
Has safeguarding been included in all partner assessments (due diligence, organisational capacity assessments etc.) and their capacity building plans?	*Example: Grant Officer*	
Do all offices have a Safeguarding Reporting Poster? Is the reporting procedure readily accessible by all staff?	*Example: IE Programme Manager / Safeguarding Focal Point*	
Has safeguarding been incorporated into relevant programme implementation and research tools, such as risk assessments, monitoring checklist, workplan and budget, programme learning review tools? If so, how?	*Example: IE Programme Manager*	
Have you undertaken a safeguarding risk assessment and identified risks and mitigation measures which are specific to your programme and the local context?	*Example: IE Programme Manager*	
Have all staff members, subcontractors and consultants (including research partners and their enumerators) received training on safeguarding?	*Example: IE Programme Manager Safeguarding Focal Point*	
Who is the dedicated project Safeguarding Focal Point?	*Example: IE Programme Manger*	
Does the project have an allocated staff member who will deliver safeguarding training to partners and staff?	*Example: IE Programme Manager; IE Field Research Manager*	
Is safeguarding included in the orientation for all programme visitors together with security briefing? If not, how are project visitors made aware of programme's reporting procedures?	*Example: IE Programme Manager/*	

	Risk Manager	
Have all staff members, subcontractors and consultants successfully completed national police checks and reference checks?	*Example: IE Programme Manager/ HR Manager*	
Are operational suppliers aware of our safeguarding policy? Do they have a reporting mechanism for beneficiaries, staff and others to report safeguarding concerns? Do they have a safeguarding policy which includes training and/or awareness raising?	*Example: IE Programme Manager*	

Annex C: Indicative Safeguarding Incident Form

Please remember that all allegations of abuse must be reported to your IE Programme Manager.

Please complete this form and send it to the IE Programme Manager. If for any reason, you do not feel comfortable reporting to the Programme Manager, please report their concern directly to the Team Leader, Deputy Team Leader or the Programme Director, or follow the whistleblowing reporting procedures [insert reference to associated documentation] within a 24-hour reporting period.

- Programme name:
- Programme Manager:
- Programme Director:
- Incident occurrence date:
- Incident location:
- Incident report date:
- Associated Organisation/s:

Incident report

If possible, please include details of the person who originally made the report and other people involved in the incident.

If possible, explain what type of abuse is being reported and its consequences (e.g. injuries, behaviour or mood changes)

Accurately describe the incident – be objective and focus on facts.

Incident report:

Actions taken:

What is the current safety and health status of the reported survivor/affected individual and their family? Are they at risk of further abuse or violence? Are there any immediate needs or risks that have to be addressed? Have any actions been taken to mitigate them?

Based on the incident report, is emergency medical attention needed? Has any medical care been provided? By whom?

Have the local police been notified?

Has this report been referred to any other bodies (e.g. client or using other safeguarding mechanisms)?

Actions taken:

Follow on action

What actions have to be taken?

Are there any other processes or investigations that are underway?

Who is aware (project level and stakeholders) of this incident?

Follow on actions:

Annex F: FCDO Response on Safeguarding

Since 2019, a new Safeguarding Operating Model is supporting implementing partners (IPs) to meet the GEC 14 Minimum Standards for safeguarding. Safeguarding is the prevention of, mitigation of and response to violence, exploitation, abuse and harassment. The Safeguarding Operating Model aims to move beyond due diligence to quality focused and meaningful compliance. It focuses on constant review and reflection and it intends to create a positive safeguarding culture. Support is provided to IPs through mediums including audits, capacity development, mainstreaming, case management and monitoring.

At the end of 2020, 98 % of projects were meeting the GEC Safeguarding Minimum Standards. More is available on the GEC approach to safeguarding in the 'Protection is Possible Report'.

The safeguarding and welfare concerns which arose through FGD were raised by the IE to the FM and the FCDO. Each of the incidents referenced were escalated by the GEC Safeguarding team to implementing partners for investigation. As with all partners, the FM and the FCDO sought assurances through the established case management framework that they had undertaken safe, independent and thorough investigations into the concerns, and taken robust action when wrongdoing was identified. This included providing vital support where necessary and importantly identifying whether preventative and response measures linked with school-related gender-based violence could be strengthened.