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Adult Learning & Education – System Building Approach (ALESBA)

Toolkit for Implementation

Phase Two – Assessment and Diagnosis



With financial support from the



Federal Ministry
for Economic Cooperation
and Development

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Published by:

Institut für Internationale Zusammenarbeit
des Deutschen Volkshochschul-Verbandes e. V.
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(1st Edition)

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Acknowledgements



The publication of this toolkit and series of booklets would not have been possible without the constant engagement and interest from the DVW International staff in the Ethiopia and Uganda country offices.

They spent time reading, debating, testing, reflecting, and providing feedback and ideas until what started as a series of workshops evolved into a full-fledged approach that directs the work of DVW International in the East/Horn of Africa region and beyond. The author would like to acknowledge Eshetu Abate, Amanuel Hadera, and Caesar Kyebakola.

DVW International's partners in the region, namely the Ministry of Education (MoE) in Ethiopia and the Ministry of Gender, Labour and Social Development (MGLSD) in Uganda, have been invaluable in appreciating the possibilities of the approach even in its infant stages. With their counterparts at local government level, and involving other sector offices, they engaged in training and reflection workshops, conducted peer reviews, contributed ideas, and tested the tools, conceptual framework, and phases of the approach. They continue to embrace the approach in their daily work to build improved Adult Learning and Education systems.

A special acknowledgement should go to the two teams that conducted peer reviews of Ethiopia's adult learning and education system across all implementation levels. Reference is made to:

- The team that conducted an assessment on the supply side of Adult Learning and Education (ALE) service delivery in 2018. Not only did this peer review produced substantial baseline information on the system in Ethiopia, but it also tested the tools of Phase Two in the Adult Learning and Education System Building Approach (ALESBA).

- The team that conducted the demand assessment on the needs and interests of ALE learners in 2019/2020. The findings provided a basis for further analysis in Phase Two and informed Phase Three.

The DVW International HQ staff who saw potential in the approach and invested time in reading and providing input. Without this support and promotion of the approach, the toolkit would have not been developed. A word of thanks goes to:

- The Deputy Director, Uwe Gartenschlaeger, who oversaw the development of this toolkit and provided guidance, input, feedback, and substantial time during the process. His support was invaluable.
- The Executive Director, Christoph Jost, for providing the opportunity to develop and publish the toolkit.
- Frauke Heinze, Gerhard Quincke, and Esther Hirsch for embracing and promoting the approach.
- DVW International colleagues in the Africa region for validating and testing the conceptual framework, phases, and tools of the ALESBA.

Additionally, I would like to thank the collaborators, namely Prof. Heribert Hinzen for research assistance and input on the theoretical underpinnings of the approach; Penny Ward for elaborating tools to facilitate processes and English language editing; Zerihun Gebrewold who lightened the text with colourful illustrations; Housseem Bel Hadj for French translation; and GASTDESIGN for layout and graphic design and all translators in the remaining languages, your professional and high-quality work helped to make the toolkit a reality.

Sonja Belete



When the General Assembly of the United Nations adopted the Sustainable Development Goals in 2015, it was a moment of celebration for the education sector. For the first time, the global community accepted that learning is lifelong and that enough opportunities to learn should be provided to people of all ages, sexes, social and ethnic groups. This development nurtured the hope that decision-makers and key stakeholders would broaden education policies, and place greater value on Adult Learning and Education (ALE). However, while it is obvious that several improvements have been made, ALE remains the most neglected sub-sector in many national education systems.

A key challenge many government and non-government adult education institutions face is the lack of a system to develop, fund, monitor, and support ALE at a national, regional and local level. While many countries have more or less sophisticated systems in place for primary and secondary schooling, higher education, and sometimes vocational education, the same cannot be said for ALE.

DWV International has more than 50 years' experience in supporting the establishment and improvement of ALE systems. One lesson learnt from these efforts is that isolated interventions bear a high risk of failure. The same is true for processes that are mainly based on foreign expertise and copy-paste schemes.

With this background in mind, DWV International's team in East/Horn of Africa, under the leadership of Sonja Belete, started a process of developing a holistic model

for sustainably improving ALE systems. These booklets present the methods and experiences that have been developed over time. We called it the "Adult Learning and Education System Building Approach" (ALESBA), and it is based on several simple truths:

- Sustainable system building is a time-consuming, long-term process, that demands a great deal of patience and flexibility.
- Ownership is the key. Local actors should shape the process and create the system. External expertise can be useful, but should not lead the process or impose (quick) solutions.
- System building demands consensus building between the key partners. This factor is essential for success and should be established from the beginning and maintained throughout the process.

Sonja Belete and her team developed the ALESBA in a bottom-up manner, mainly based on experience from Ethiopia and Uganda. Meanwhile, the approach has been taken up by ten other countries in Africa. The process was shaped by the principles of action learning to ensure that formats and tools were developed and further updated during the journey. Learning-by-doing is a key success factor of the approach and should be used throughout the implementation of the process. ALESBA is a tool, which can guide stakeholders in the complex task of system building, at the same time the approach is open to improvement, adaptation, and modification!

We wish you great success in building and reforming ALE systems, and hope our experience can contribute to your work!

Uwe Gartenschlaeger

Abbreviations

ALE	Adult Learning and Education
ALESBA	Adult Learning and Education System Building Approach
CSOs	Civil Society Organisation(s)
CLCs	Community Learning Center(s)
ESDP	Education Sector Development Plan
FAL	Functional Adult Literacy
GRALE	Global Report on Adult Learning and Education
LAMP	Literacy Assessment and Monitoring Programme
LLL	Lifelong Learning
M&E	Monitoring and Evaluation
MIS	Management Information System
MGLSD	Ministry of Gender, Labour and Social Development (Uganda)
MoE	Ministry of Education (Ethiopia)
NGO	Non-Governmental Organisation
PRA	Participatory Rural Appraisal
REFLECT	Regenerated Freirean Literacy through Empowering Community Techniques
SBA	System Building Approach
ToT	Training of Trainers
ToF	Training of Facilitators
TVET	Technical and Vocational Education and Training

PHASE TWO – ASSESSMENT AND DIAGNOSIS

I. INTRODUCTION

It can be assumed that any country that delivers some form of adult learning and education services has a system in place to ensure the services reach the target population. Whether services are relevant to the needs and interests of the population, or delivered in an accessible, cost-effective modality, with the necessary programme quality, should be the concern of all stakeholders that commit to embarking on the journey to build a sustainable Adult Learning and Education (ALE) system, during Phase One (Consensus Building).

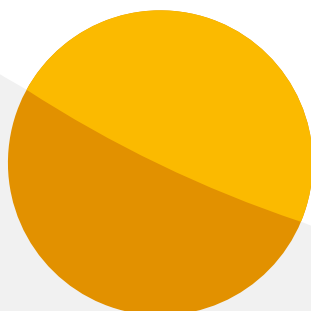
The third booklet in the Adult Learning and Education System Building Approach (ALESBA) toolkit concerns itself with assessing the current status of an ALE system and then digging deeper to diagnose the underlying root causes of failure in parts of the system, or as a whole. Assessment and diagnosis follow the first phase, after ensuring that sufficient consensus among all key ALE stakeholders has been reached to improve the ALE system. The assessment provides baseline data on the current status of the system, while the diagnosis of the root causes assists in designing an alternative, and potentially improved, system in Phase Three of the approach (Alternatives Analysis and Design).

It should be highlighted from the onset that although Assessment and Diagnosis are described as the second phase in the ALESBA, the methods and tools described in this phase can be used at different intervals during the system building process.

For example, it is necessary to assess the status of the system from time to time during the implementation and testing phase (Phase Four), to determine whether the newly designed system delivers services in a better way than the old system, and to diagnose blockages and challenges early on in the testing phase. Once the piloting of the new system is completed and stakeholders consider the up-scaling of the system on a larger scale, a comprehensive assessment/evaluation should be carried out in the form of an end evaluation of the testing phase. It is beneficial to use the same methodology, tools, and scoring mechanisms that were used during the baseline study to compare progress and challenges. **Therefore, the methods and tools described in this booklet are key instruments for monitoring and evaluating adult learning and education systems and can be used at any stage of building such systems.**

This booklet is divided into two parts. Part One deals with the assessment of an adult learning and education system and Part Two deals with the diagnosis of system blockages and challenges. The users of this toolkit should refer back to the 'Introduction to the Approach and Toolkit' and 'Phase 1– Consensus Building' booklets to ensure the principles, conceptual definitions and framework remain clear and taken into consideration during Phase Two.

Part One of the booklet will focus on assessing ALE services from both the demand (users of the services)



and the supply-side (stakeholders that deliver ALE services, e.g., government, NGOs, etc.) Since the responsibility for building sustainable adult learning and education systems lies with the service providers, the booklet gives more attention to the supply-side. However, assessing the interests and needs on the demand-side is briefly explained with emphasis on its relevance during diagnosis (Part Two) and for Phase Three in the design of a new system. It is highly recommended that both the demand and supply-side assessments ideally should be conducted through a peer review methodology to promote participation, transparency, credibility, and capacity building for ALESBA partners and stakeholders in the tools and processes. Therefore, Section 1.2 of the booklet describes how to use a peer review methodology.

Assessment (Part One) can be described as ‘taking the vitals of the system’ – or in other words, determining the key status and issues according to the system building conceptual framework. The assessment tool provides qualitative information for further analysis and quantitative information in the form of a scoring tool that indicates the system’s status through a score out of 100.

Diagnosis (Part Two) uses the assessment information and scores to identify blockages and challenges in the system elements and building blocks. These challenges or blockages need to be further analysed using diagnostic tools and studies to find the underlying root causes for system failures.

Phase Two assumes that all activities and tasks in Phase One have been completed and that the majority of key stakeholders are on board and have reached a consensus to carry out an assessment and diagnosis of the system. The activities in Phase Two have the potential to deepen the understanding and consensus between stakeholders and the partnership to build an improved ALE system. It should be carried out with care and include the following aspects:

- All stakeholders should receive training in the methods and tools of Phase Two.
- The assessment and diagnosis should be carried out by stakeholders themselves to provide them with first-hand experience in observing the status of the system and existing blockages. Consultants should only play a facilitatory or support role (e.g., training, documentation, quality control, etc.) Reports delivered purely by consultants often lead to debates among stakeholders about the validity of the findings and questioning each other’s roles and responsibilities in system failures.
- The process should be driven by the ALESBA stakeholders/partners as owners of a process for which they are responsible. Refer to the booklet on Phase One – Consensus Building for more details.



II. ADULT LEARNING & EDUCATION – SYSTEM BUILDING APPROACH (ALESBA)

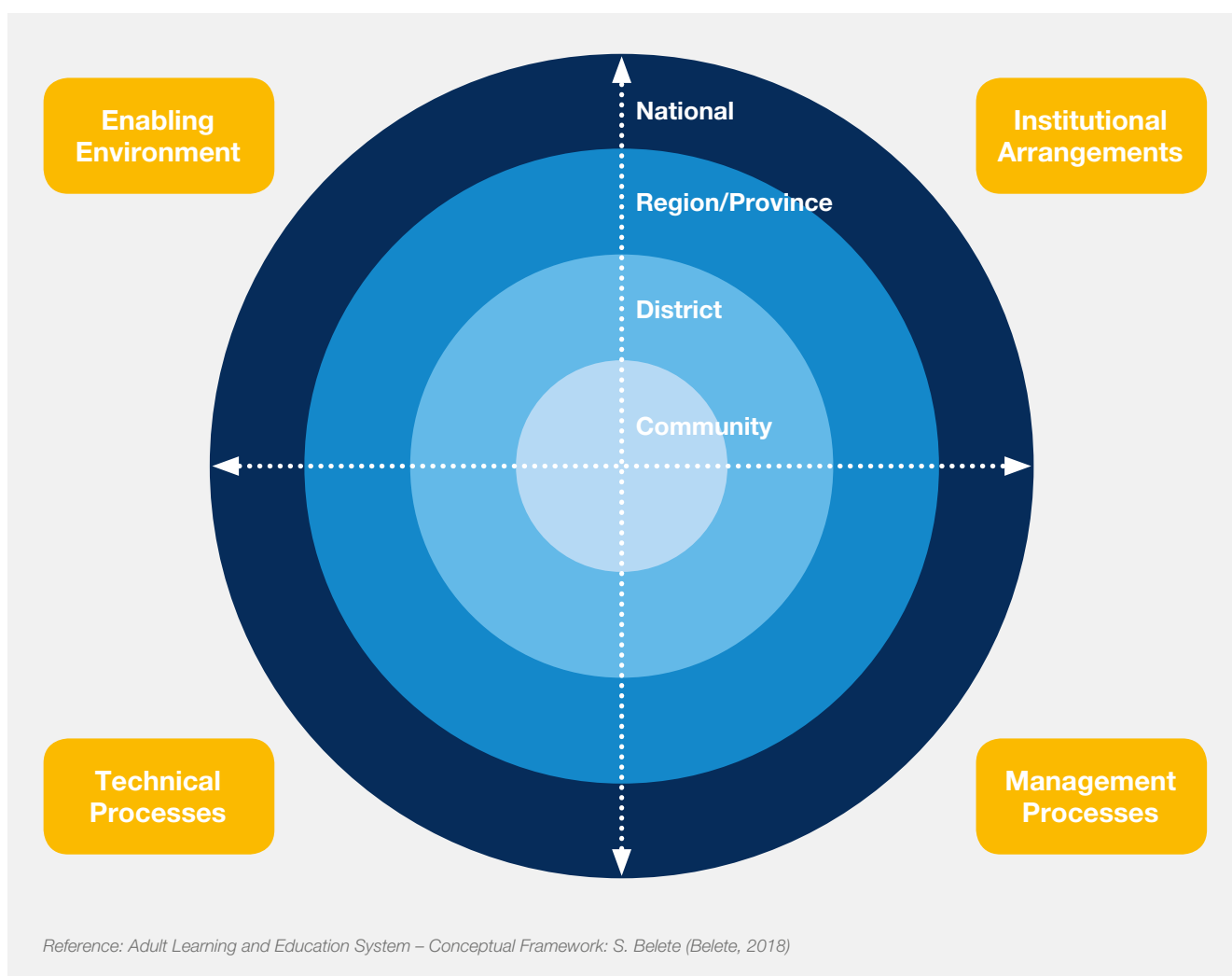
The assessment and diagnosis of an ALE system is guided by the principles and conceptual framework of ALESBA. It is important to remind ourselves of the framework, elements, and building blocks of the approach elaborated in the booklet 'Introduction to the Approach and Toolkit'.

The assessment will determine to what extent building blocks are in place, how processes flow within the system, and where weaknesses are that needs further diagnosis. The ALESBA conceptual framework on the next page needs to be contextualised to suit a particular country's governance system.

a) Conceptual framework of the approach (ALESBA)

The conceptual framework below captures all the elements of a comprehensive adult learning and education system.

See the explanation on the next page which also refers to the processes within the elements:



Adult Learning and Education System – Conceptual Framework for ALESBA

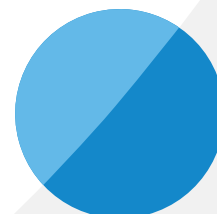
The conceptual framework on the previous page suggests that an ALE system should consider all tiers/spheres of governance across different levels. This depends on the governance structure of a particular country. The concentric circles represent each sphere of governance and imply

so-called ‘vertical integration’, meaning links and feedback loops between each level. If the scope and definition of ALE have an integrated nature, which considers services such as functional adult literacy combined with non-formal skills training, etc., (‘horizontal integration’) these ALE services are understood to be collectively delivered across the same tiers/spheres of governance (macro-meso-micro).

b) Elements and building blocks of the approach

For a fully functional adult education system, four main elements (or components) are needed, namely:

- An Enabling Environment:** This refers to policies, strategies, directives, and programme implementation guidelines, etc., that provide an enabling environment for programme implementation. Although the enabling environment usually emanates from the national level and the role-players responsible for formulating policies, strategies, and guidelines, etc. (e.g., national ministries), these documents have to be interpreted at lower government levels and ultimately implemented at community level. Therefore, the link between the levels needs to be maintained.
- Institutional Arrangements:** A functioning system implies that stakeholders take responsibility at each level as per their mandate to ensure ALE services are delivered at community level (as per the scope and definition in the country). Institutional arrangements refer to the arrangements within an institution, e.g., the organogram and other structural arrangements, staffing, job descriptions, as well as coordination and integration structures between sectoral institutions such as coordination bodies, technical committees comprised of different sector offices to plan, implement and monitor jointly. It also considers partnerships with civil society and other non-state actors and the roles and contributions that they can play and make.
- Technical Processes:** Refers to the core business of ALE as per the definition and scope within the country’s context. It includes processes such as curriculum design, material development, training of trainers, etc., i.e., all required processes to ensure adult learning and education services are delivered.
- Management Processes:** Refers to the support processes/functions without which technical processes cannot take place, e.g., planning, budgeting, monitoring and evaluation, and coordination/cooperation processes.



VERY IMPORTANT!

Note that the lines in the conceptual framework between these four elements are not solid, indicating that processes flow between the four elements in both horizontal and vertical directions. Furthermore, each element plays across all levels of governance and considers the definition of ALE and all sectors/stakeholders involved in the delivery of services.

Each system element has several building blocks that should be in place for the system to function. The toolkit identifies five prioritised building blocks within each

element, but there may be more. The selection of five building blocks per element makes the process manageable. Since we are referring to a system with interrelated and interdependent links, it should be understood that the elements and building blocks do not operate in silos, but are linked to each other through several processes. Processes enable institutions to function. Processes consist of a range of activities linked to each other that turns inputs (people, information, and money, etc.), into outputs (services delivered), to meet policy and operational objectives. The building blocks within each system element are:

System Elements				
Building Blocks	Enabling Environment	Institutional Arrangements	Management Processes	Technical Processes
	ALE Policy	ALE Implementation Structures	Participatory Planning Processes	Localised Curricula
	ALE Strategy	Human Resources	Appropriate Budget and Resource Allocation	Clear ALE Programme Design & Methodology
	ALE Programme Implementation Guidelines	Leadership & Management	M&E System	Capacity Development at all Implementation Levels
	Qualifications Framework	Accountability Mechanisms	Management Information System	Material Development
	Legal Framework	Partnership Structures between State/Non-state Actors	Coordination and Cooperation Processes	Learner Assessments

All the elements and building blocks are interconnected and interdependent with feedback loops.

Note that:

The elements and building blocks primarily refer to the system put in place by the government as the main service provider and responsible duty bearer of national ALE services. The emphasis is on a sustainable system that can deliver services to all ALE learners in the country in the same manner that a health system, or a general education system, etc., would do. It is understood that the government alone cannot fulfil this role. As explained in the booklet on Phase One – Consensus Building, different forms of stakeholder relations may exist that influence the design and operations of an ALE system in a country.

Therefore, the ALESBA acknowledges that different stakeholder structures, roles, and responsibilities may exist, e.g., NGOs and other non-state actors can play a role on behalf of or complementary to government. Provision is made for specific building blocks to acknowledge the roles played by non-state actors – see Institutional Arrangements and Management Processes. The contribution of smaller projects to the national system is also acknowledged in the building block reflecting the partnership structures (Institutional Arrangements) as well as whether these contributions are acknowledged in the M&E system, MIS, and during planning processes (see the system assessment questions that mainstream the role of non-state actors).

Based on the outcomes of the consensus building processes in Phase One, each country will determine their interpretation of the ALESBA conceptual framework, elements, and building blocks within the context of the overall objective of the approach – namely to build sustainable ALE systems that can deliver services to all ALE learners in a country. Therefore, the stakeholder(s) responsible for this service will be the main focus of the system assessment, diagnosis, and processes in the remaining phases, while also acknowledging and incorporating the roles and contributions of other stakeholders within the system. The alternatives analysis and design (Phase Three) may even lead to new stakeholder formations and structures to deliver ALE services in the country.

The system building blocks are described in more detail below:

Enabling Environment

- **A policy** that addresses the ever-changing needs of learners in a participatory manner with a financing mechanism and well-defined roles of stakeholders. The ALESBA refers to public policy, meaning a series of patterns and related decisions to which many circumstances and people contributed over time. It culminates in a formally articulated document with a goal that the government intends pursuing with society or with a societal group. It is a comprehensive framework of action. (Cloete, 2006).
- **A strategy** that captures the definition and focus of Adult Learning and Education and contributes to policy implementation at all levels of implementation. It is an action plan to achieve the long-term goals described in the policy and other key national development plans.
- The existence of clear **ALE Programme Implementation Guidelines** for all stakeholders and role-players based on the definition and focus of the ALE programme. The guidelines would describe the scope of ALE, unpack the types of ALE learning methodologies (e.g., Functional Adult Literacy, REFLECT, and Integrated Approach, etc.), benchmarks and standards for quality programme implementation, steps in implementation, M&E system and indicators, etc. It is a practical document that translates the strategy into implementation steps for all stakeholders.
- **A qualifications framework** that addresses minimum competencies, curricula assessment, equivalence, and transfer directives. It is an instrument for the development, classification, and recognition of skills, knowledge, prior learning, and competencies along a continuum of agreed levels. It is a way of structuring existing and new qualifications which are determined by learning outcomes. (Bateman and Giles, 2013). Some countries may not have a national qualifications framework and rely on national directives that stipulate the acknowledgement of qualifications (including non-formal) and the access path for further learning and education opportunities.
- Existence of **an enabling legal framework** for the implementation of Adult Learning and Education programmes. This refers to laws and a regulatory framework for providing ALE services. Having a regulatory framework strengthens the right to ALE services. Some countries may have an education law that incorporates ALE.

Institutional Arrangements

- Existence of effective **ALE institutional implementation structures** considering all ALE stakeholders. This implies across all tiers and sectors of governance e.g., organograms, hierarchies, division of labour, and lines of command. It implies having for example an ALE directorate within a Ministry or an Agency with the necessary structures at local government levels. It could also refer to the structures involving non-state actors playing different roles in national ALE service delivery, depending on the system in each country. Note the emphasis is on large scale, sustainable ALE service delivery, and the implementation structures that can deliver such services.
- **Sufficient and qualified human resources** available to implement the ALE programmes at all levels of implementation, especially within government structures. The ALE human resource positions should be approved by an official body in the public sector such as the Civil Service with job descriptions, salary scales, and regulations about qualifications and experience. The same would apply to non-state actors that play a service delivery function on behalf of or complementary to government.
- **Leadership & management** that gives direction, mandate, and instruction related to the implementation of the ALE. This refers primarily to the government, but also other service providers that have a role in large-scale ALE service delivery.
- **Accountability mechanisms and procedures** related to the allocation of responsibilities and follow-up on tasks completed up to the expected result. It includes reporting guidelines, and formats, etc. Accountability is about taking responsibility for performance and results and taking action when tasks are not completed to the expected level. Accountability is also necessary within the partnership of system building. It can be achieved through clear roles and responsibilities and monitoring the achievement of milestones, objectives, and goals over time.
- Existence of **effective partnerships and networking structures** between government and different non-state actors for the implementation of ALE programmes and delivering services. This building block explores the existence and the type of structures, while the activities/coordination and cooperation processes are explored under the element of Management Processes. It may, for example, take the form of an NGO Committee that officially meets with and is acknowledged and consulted by the government or an international NGO donor working group, etc.

Management Processes

- **Regular planning in a participatory manner** to achieve objectives and milestones. This includes strategic planning, and annual planning, etc., within government structures – considering the different government sector offices involved, national to local levels, and networking and partnerships with non-state actors, e.g., joint annual planning processes with all ALESBA partners.
- Existence of **appropriate and sufficient budget and resource allocation**. It refers to budget allocation by different sectors, national and local government, and other contributions by NGOs, and donors, etc. For long-term sustainability, the budget allocation by the government takes high priority in this building block. It can also consider government funding/supporting non-state actors to deliver services on its behalf.
- **Monitoring and Evaluation (M&E) system** that collects and analyses data and information regularly. It should have indicators and differentiate between monitoring activities, finances, outputs, and evaluating outcomes and impact. It should have options to collect data and information from all stakeholders.
- **Management Information System (MIS)** that stores data and information collected through monitoring and evaluation and allows access to information to track and analyse programme progress for the improvement of ALE services.
- **Coordination and cooperation processes** for internal communication/coordination within an institution as well as external communication/coordination with other sectoral structures and stakeholders. It refers to the types of coordination and cooperation process. Differentiation can be made between simple meetings informing each other to stronger coordination processes that can strengthen integration and co-operation, e.g., joint M&E, planning, and material development, etc.

Technical Processes

- **Localised curricula** that are relevant to the interests and needs of the ALE target group/learners. It could be developed by staff at the lower government level of implementation who have context and information about the learners' needs and interests. It also considers the contextualisation of the national curriculum at a local level as is the case in some countries. Non-state actors can successfully contribute at this level. It provides an opportunity for collaboration between ALESBA partners. The emphasis is on curricula that are relevant to the ALE learners' needs and interests and the process to develop and update this curriculum/framework.
- Clear **ALE Programme Design and Methodology** to meet the needs/interests of the learners. This refers to a) the different components or scope of the ALE programme, e.g., is it an integrated programme with Adult Literacy, or Livelihood Skills Training, etc. It also refers to b) the methodology used to facilitate ALE in an integrated manner with learners (e.g., Functional Adult Literacy, REFLECT, and Family Literacy, etc.) The programme design will determine the kind of materials that have to be developed, training contents of manuals for trainers, and facilitators, etc.
- **Capacity development** at all implementation levels would, for example, include training of trainers, and supervisors, community facilitators as well as staff responsible for planning, budgeting, and M&E, etc., within the system framework. The benchmarks for training should be stipulated, e.g., a minimum of two weeks of training for facilitators, etc. Ideally, an ALE programme should have a capacity development strategy that can cater to the professionalisation of all adult educators within the system starting from pre-service training to higher education levels.
- **Material development** refers to all materials needed to implement an Adult Learning and Education programme, e.g., trainers' manuals, facilitators guidelines, supplementary reading materials for learners, business skills manuals, and M&E manuals, etc.
- **Learners assessments** should be conducted at the beginning and end of the programmes as well as on a quarterly/annual basis to track the progress of learners. They should be well documented and analysed as part of the M&E system. Learner assessments should focus on all components of the ALE programme, e.g., to assess literacy and numeracy, the LAMP and numeracy scales, among other instruments, may be used.

PART ONE: ASSESSMENT



1.1 INTRODUCTION TO THE ASSESSMENT OF THE ALE SYSTEM

Part One of Phase Two focuses on assessing the current status of the ALE system in a particular country. It follows Phase One and provides baseline data at the beginning of the system building process. An assessment should be conducted from the perspective of the ‘demand-side’ or users of ALE services as well as the ‘supply-side’ or providers of services. Since the system building process concerns itself with putting a sustainable system in place, the emphasis in the toolkit is on describing the assessment on the supply-side in more detail. However, it should be emphasised that a system that is not aware of the needs, interests, and aspirations of its target group cannot be effective and sustainable, no matter whether all system building blocks are in place or not.

If service providers do not have up-to-date information about the needs and interests of the target group, the first step would be to conduct an assessment on the demand-side. This ‘demand assessment’ can be either an evaluation of an existing ALE programme to assess to what extent it meets existing learners’ needs and interests – or it could be an assessment of prospective new target groups’ interests and needs that have not received attention in the existing programme. It could also be a combination of both.

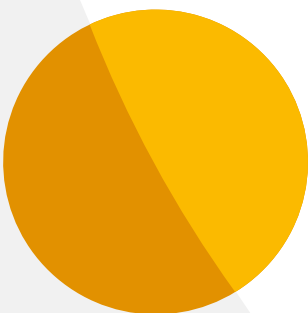
A demand assessment could therefore take the form of an evaluation, review, needs assessment, and/or situation analysis. **Section 1.3 gives an overview of what a demand assessment should consider and how it could be carried out. Section 1.4 will address the assessment of the ALE system from the supply-side. The assessment has both a qualitative and quantitative perspective, each with its own set of tools.**

The importance of the assessments (both demand and supply-side) being carried out by the ALESBA partners themselves cannot be emphasised enough. The recommended methodology for both the demand and supply-side assessment is therefore a peer review. The peer review methodology allows ALESBA partners to be active participants in the process and builds capacity for the remaining phases. Section 1.2 unpacks the rationale and details of the peer review methodology.

The ALE system building partners can make the following decisions:

- Conduct both demand and supply-side assessments.
- Conduct only a supply-side assessment (recommended only if/once sufficient information is available on the existing and prospective new target group’s needs and interests, i.e., demand-side information).
- Conduct the demand assessment first or start with the supply assessment. Either way is possible.

The information from both the demand and supply assessment will ultimately feed into Part Two of Phase Two when diagnosing system blockages and challenges, and especially in Phase Three when ALE system building partners have to consider which alternative system design will deliver effective services as per the needs and expectations of the target group.



1.2 PEER REVIEW METHODOLOGY

What is a peer review?

A peer review can be described as the review/evaluation of work by one or more people with similar competencies and work experience. It functions as a form of self-regulation by qualified members of a profession within the relevant field. Peer review methods are used to maintain quality standards, improve performance, and provide credibility. The peer review methodology is useful for assessing the ALE system from both the demand and supply-side.

Why use a peer review for ALE system assessment?

The use of a peer review to conduct an ALE system assessment (demand and supply-side) has the following benefits for the process of long-term system building:

- It provides the opportunity for all stakeholders in the system building partnership to observe all the building blocks and processes within the existing system transparently.
- The transparency and participatory nature of the peer review contribute to the credibility and validity of the findings. It creates an opportunity for dialogue and creative debate.
- Exploring the needs and interests of the ALE target group/learners and the status and challenges of the existing system by all stakeholders builds consensus on how to make decisions for a new, improved system and their roles and responsibilities in the process.
- It is an opportunity for capacity building in the ALESBA.
- It provides an opportunity for the integration of sectoral perspectives and different stakeholder interests.

In this context, the use of consultants should be limited to technical support, documentation, and facilitatory roles. The owners, drivers, and implementers of the peer review process should be the 'peers' – the partners in the ALE system building process.

Who participates in the peer review?

The participants in the peer review are usually selected experts working with different ALESBA stakeholders, including government sector offices and non-state actors as per the scope of ALE in a particular country. It could include government experts from Education, Agriculture,



TVET, Youth and Women Affairs, etc. Experts from universities and NGOs, etc., that are part of the ALE system building partnership formed in Phase One (consensus building) should also make up the peer review team. Experts should be selected by senior managers across national, regional/provincial, and district/local levels. Bear in mind that the system assessment is conducted across all levels and ALE sectors. Issues of languages and cultural understanding may have to be taken into consideration as well.

The scope of the peer review (how many regions, provinces, districts, etc.), will determine how many experts are needed. The Ethiopia peer review (supply-side) was for example conducted in six regional states with 36 peer review team members (six per state) and four consultants assisting in quality assurance, technical support, and documentation. Due to the intensity and time required to conduct a system assessment, senior managers do not take part in the actual peer review but are involved in different steps before, during, and after the peer review as outlined in section 1.4.1. Countries should attempt to have a representative sample, depending on available resources, e.g., select a sample from provinces, regions, or districts that have similar livelihood patterns, rural-urban considerations, geographical spread (north, east, etc.), for the system assessment(s).

When forming the teams responsible for different areas, a cross-sectoral and level of governance and stakeholder mix is required. Each team should for example have a national, regional/provincial, and district/local government expert as well as a selection of other sectors and stakeholder experts. The roles and responsibilities of team members during the peer review should be elaborated on

during the peer review training. Roles can also be changed during different data collection exercises to build expertise, e.g., interviewers, facilitator, recorder/documenter, process observer, etc. These roles are irrespective of the peer review team members' organisation or position. Once the team is formed, all team members are equal and roles and responsibilities can change per assessment exercise. Team leaders remain responsible throughout for coordination and ensuring that all data is collected and recorded as per the methodology.

How long does it take to conduct a peer review for ALE system assessment?

Conducting a comprehensive peer review on the ALE system can take two to three weeks depending on the scope of the assessment and sampling decided by the ALE system building partners. During this period, peer review team members need three to five days of training in ALESBA and the peer review methodology, as well as designing semi-structured interview formats, etc. The actual assessment may take five to six days with parallel peer review teams in different regions/provinces/districts, including the national institutional level. Another five days may be required to compile the final data and prepare a report for each sample area on the ALE system assessment. These three weeks can be consequential or take place over time. However, it is useful to conduct the review in one stretch to keep the training fresh and relevant, and the memory of the findings alive for reporting. During Phase One – consensus building, stakeholders have to make these commitments in terms of staff and resources. Managers should be convinced to make the commitment based on the capacity building benefits for staff/team members, the vision to improve ALE services, etc. This implies (depending on the scope and number of team members), a period of approximately three weeks each for the demand and supply assessments. These two types of assessments can be done with a break in between, e.g., Ethiopia completed one assessment per year.

Where does the peer review take place?

ALE system building partners will take decisions about the scope of the peer review, i.e., how many regions, provinces, districts in the country will provide a sufficient sample and perspective on the status of the ALE system. It is important to remember that the peer review should take into consideration the definition and scope of ALE developed during the consensus building phase which will determine the government sectors and other stakeholders that need to be reviewed. As per the ALESBA conceptual

framework, all levels of governance which deliver services have to be assessed. Therefore, the decision on sampling should be taken from national, regional/province, and district/local government levels. It is beneficial to conduct the demand and supply-side assessments in the same sample areas for in-depth analysis of services and users.

Objectives of the peer review for ALE system assessment

The objectives of the peer review can be stated as:

- To assess the current status of the ALE system in the country at all levels of intervention.
- To gather baseline data on the existence and functionality of the current ALE system in selected sample regions, provinces, districts (supply-side assessment).
- To assess the needs and interests of existing and potential users of ALE services (demand-side assessment).
- To have a comprehensive overview of the ALE system that can be used to consider alternatives and potentially design a new system that can meet the needs of the country.
- To build the capacity of experts from government and other stakeholders at national, regional, and district levels in the ALESBA with a view of embarking on a long-term process and engaging all phases of the approach.
- To use the information as a starting point to design a strategic roadmap with milestones for the coming years.

Peer review principles

The peer review methodology presented here does not claim to be a fully-fledged scientific research design, but as far as possible adheres to the commonly accepted basic principles and procedures of peer review, evaluation, and research principles as outlined below. Its major benefit is that the review is conducted by individuals who are responsible for the implementation of ALE and by reviewing each other's work they can gain new insights and self-reflection. It is therefore acknowledged that the peer review will make a trade-off between scientific methodological rigour and the utility of the review.

The peer review will use primarily qualitative research techniques and collect both primary (data from main sources, e.g., learners, experts, etc.), and secondary data (data already collected from primary resources and available for researchers in the form of documents, etc.), across all levels of intervention. During the data collection and analysis process, the peer review team members should observe the following principles to ensure the review outcomes and report is valid and user-oriented:

Validity

To ensure that the peer review process and report contains sound, reasonable and logical arguments. At the same time, trade-offs will have to be sought between quantity, accuracy, timeliness, and relevance of information (See limitations).

Triangulation

By comparing information using different methods, sources of information and disciplines, and cross-checking to get closer to the truth. Find the means of verification as much as possible, e.g., secondary data, documents, etc.

Iteration

Data collection is rapid, progressive, and reiterative, building through flexible, exploratory, interactive, and iterative methods of data collection (both primary and secondary). This approach helps to enrich the process by searching deeper and finding both descriptive and causal facts and information.

Interviewer-bias

This refers to a bias where interviewees tend to answer as they suspect the interviewer is interested in or wants to hear. Peer review team members should be aware of this, especially since the review is conducted by peers. The necessary enabling environment should be created to ensure honest answers based on the current reality.

The actual versus the ideal

Peer review team members should ensure that they collect information about the ACTUAL CURRENT situation and NOT the IDEAL situation. Follow-up questions, observation, and triangulation techniques should be used to ensure that data is collected about the current and real situation.

Critical self-awareness and embracing error

The peer review team members should continuously examine their own behaviour and biases. Errors should be welcomed as an opportunity to learn. Regular reflection sessions between the peer review team members will provide an opportunity to reflect on both the content and the process.

Appreciative inquiry

Appreciative inquiry, as a process for facilitating positive change, should be embraced. This approach assumes that every human system has something that works right, and it begins by identifying the positive core and asking questions in a way that appreciates the positive while also uncovering and asking about the challenges.

Limitations

Some of the inherent limitations in the peer review may include:

- The huge scope of the national adult learning and education programme – and limited sampling.
- The limited timeframe to collect and analyse data and compile a report.
- The compromise of scientific rigour for a more participatory approach and learning exercise by using a peer review methodology.
- The capacity of experts conducting the review.

Teamwork

As elaborated in Phase One, teamwork is especially important during the peer review. Team members will go through the phases of forming a team (forming, storming, norming, performing, and transforming) with the benefit that institutional barriers may fall away and a core team interested in building an improved ALE system can be formed. This team spirit develops during an intense three-week period and can be carried successfully into the diagnosis and Phase Three of the system building process.

**The Ethiopian Experience**

Ethiopia used government (across levels and sectors) and university experts to conduct a rapid demand assessment and a 40-member team (36 experts from all levels and sectors of ALE with four consultants) to conduct a supply-side peer review in six regional states. Ethiopia follows a federal governance system with 10 regional states and two city administrations each divided into several districts. Two districts were sampled in each regional state.

The supply-side assessment was conducted over three weeks in 2018 and the demand assessment over three weeks in 2019. Once the supply-side assessment was completed, the reports have shown the need for an updated demand assessment study. DVV International staff developed the manuals, conducted the training, provided logistical support, and overall coordination of the process, ensuring all objectives were met. The core team of experts continues to drive the process in the remaining phases of system building in Ethiopia. They inform senior management as each step and phase unfolds.

1.3 OVERVIEW OF THE DEMAND ASSESSMENT

An ALE system exists to deliver services to its users. The interests and needs of the users therefore inform the kind of services the system should deliver. Most often the design of ALE services is based on outdated perceptions of the needs of the target group and not in line with the current realities of

the environment as far as livelihood opportunities, life skills, and social awareness are concerned. If no up to date information exists about the needs and interests of the target group, it is essential to start with a demand assessment (evaluation/needs assessment/situation analysis).



The assessment should focus on:

The perceptions of current users of ALE services on the services provided.

When considering the review of existing services by users, the peer review takes the shape of an evaluation of an existing programme from the target group's perspective and can include research questions such as:

- To what extent are current users attending ALE classes (using the services)?
- What are the graduation and drop-out rates?
- How do they use the skills acquired in their daily lives?
- To what extent do the qualifications and skills acquired provide learners with job and livelihood opportunities, etc.?
- What is the profile of the users? (mostly women, youth, etc.)?
- How do the needs and perceptions differ between urban and rural users (if at all)?
- Are the services easily accessible, affordable, etc.?
- Does the design of ALE services satisfy all their learning needs and to what extent (referring to different components, integration, etc.)?
- What other ALE services would they like to have and why?
- Does the ALE service provide them with a qualification to access further learning and education opportunities?

The perceptions of potential new users of ALE services

Existing ALE services may focus more on one target group than another. Youth may for example not have a sufficient focus in the design and delivery of existing services. The same applies to gender or different target groups e.g., factory workers, domestic workers, etc. The assessment of potential new target groups' needs and interests would take the shape of a needs assessment/situation analysis. The research questions have to be formulated accordingly, based on the current reality and environment of these potential users.

Major steps in designing and conducting a demand assessment

Whether assessing the needs and interests of existing and/or new users, the following steps can be taken in designing and conducting a demand assessment:

- Decide that a demand assessment is needed by ALESBA partners and define the rationale and objectives of the assessment.
- Decide on the scope of the assessment, e.g., existing/new users of ALE services, geographical area for the assessment, sampling, time frame to conduct the assessment, etc. ALESBA partners should seek a balance between the resources available and the needs for the demand assessment.

- Form a peer review team to collect the information. The size of the team is dependent on the scope of the demand assessment, but ideally, it should include a mix of expertise from different stakeholders.
- Design the demand assessment including key research questions (as suggested above), interview formats, and data gathering tools, techniques, and procedures. The assessment should gather data from both primary and secondary data sources and can include desk reviews, semi-structured interviews, focused group discussions, using participatory and visual tools (such as PRA for illiterate and semi-literate target groups), etc. An information matrix as presented in the appendices of this booklet may be a useful instrument to design the assessment methodology. It will elaborate on the kind of information to be gathered, the tools for collecting with which target group, and the time frame.
- Train the peer review team and refine the interview questions, recording formats, roles, and responsibilities, etc.
- Prepare for the assessment by considering logistical arrangements, making appointments with the target groups, transport, accommodation, etc.
- Conduct the demand assessment and record the data collected.
- Compile the report with the findings and analysis of the data. This requires all peer review team members to record and report their own data and information first and then have a mini-workshop to analyse the data across target groups and geographical areas with other peer review team members and come up with key findings and recommendations in a consolidated report for all sampling areas/target groups.
- Present and validate the findings with all members of the ALE system building partnership in a workshop/meeting. Perspectives shared during this workshop can be incorporated into the final report.
- Use the demand assessment report to analyse the findings from the supply-side assessment and diagnose system blockages (Phase Two, part two) and design a new, improved system (Phase Three) considering the interests and needs of the target group and the kind of ALE services needed.

Consultants can assist with providing technical support in designing the assessment, training for the peer review team, technical backstopping during the actual peer review, assisting in final report writing, and facilitating the stakeholders' workshop to validate and analyse the demand assessment report. The actual assessment should be carried out by ALESBA partner experts and senior managers should make key decisions about how to use the findings of the assessment.



The Ethiopian Experience

Ethiopia formed a team that included university and government experts across sectors and tiers of governance. The team split into two regional teams to conduct a rapid demand assessment focusing on both existing and potential new users of ALE services. A demand assessment guideline was developed including the use of semi-structured interview formats, PRA tools, desk reviews, focused group discussions, etc. The guideline outlined the process of the demand assessment, roles of peer review team members, research design and principles, recording and documentation formats, etc. A three-day training was conducted for the peer review team to conduct the assessment which took six days each in two regional states of Ethiopia. The final reports were compiled over a five-day period after which the findings were shared and discussed with a broad range of stakeholders in a workshop.

The peer review team members were divided into a secondary data team to conduct a desk review (considering the limited scope and rapid approach of the assessment) and a primary data collection team that went to districts in the two sampled regions to interview existing and potential new ALE target groups and triangulate information with service providers where possible. University experts played the role of team leaders in this assessment. DVV International and Ministry of Education staff provided training, logistical support, and backstopping. Although the demand assessment provided a good overview of the learners' needs and interests, the ALESBA partners realised that in the Ethiopian context it may have been useful (resources permitting) to have a comprehensive evaluation of the existing ALE programme and a needs assessment/situation analysis for potential new target groups (e.g., factory workers). Ultimately the data from these two studies can feed into a more comprehensive demand assessment.

1.4 ASSESSING THE ADULT LEARNING AND EDUCATION SYSTEM (SUPPLY-SIDE)

This section of the booklet describes how to conduct an ALE system assessment from the supply-side. It is informed by the ALESBA conceptual framework with the four elements and twenty building blocks. The overall design of and steps to conduct the assessment through a peer review are explained before elaborating the details of the a) qualitative, and b) quantitative assessment, how to document the findings, and embarking on the diagnosis of system blockages and challenges in Part Two. Keep in mind that the assessment focuses on the system implemented by the primary duty bearer for ALE and considers the stakeholder structures and roles

within this system in each country. The information gathered during the qualitative assessment will enable the system building partners to conduct the quantitative assessment in the manner of completing the scoring tool. Therefore, the qualitative assessment has to be conducted first to provide a sound and verified basis for the scoring of the ALE system building blocks. The scoring tool should not be used on its own without having completed some form of qualitative assessment on the ALE system first. The qualitative assessment provides a detailed, narrative description/report on the current status of each building block and element.

1.4.1 Designing the assessment process

Important considerations in designing the ALE system (supply-side) assessment

Using the ALESBA with its conceptual framework to inform the research design of the supply-side system assessment has the following implications:

- The assessment will be conducted on the national ALE system in the country – as per the defined scope of the system and the stakeholder structures, roles, and responsibilities clarified during Phase One – Consensus Building.
- The ALESBA conceptual framework will be contextualised within the governance system of the country, (e.g., levels of governance, etc.).
- Data will be collected for all the building blocks within the four system elements across each level of implementation.
- The linkages between elements and building blocks have to be explored and understood, e.g., the influence of budgeting (Management Processes) on providing capacity development for supervisors and community facilitators (Technical Processes).
- Based on the definition and scope of the ALE system, a cross-sectoral perspective may be needed within each element and building block across all tiers of governance/implementation (horizontal integration). This implies looking at a variety of ALE components such as literacy, livelihood skills training, etc., within each system building block.
- The linkages between tiers/levels of governance have to be explored within each element and building block, e.g., even though policies may be formulated at a national level, the review team should explore how they are interpreted and implemented at a district/local government and community level (vertical integration).
- **Countries may have different ALE service delivery systems. In some countries, the government may play a bigger role, while in others, non-state actors may provide services on their behalf or work in parallel. Different stakeholders have different roles and responsibilities in the system. Refer to the booklet on Consensus Building (Phase One) to determine the country context and adjust the assessment questions accordingly. The building blocks remain as they are.**
- The definition of a system should be kept in mind – the four elements and building blocks are connected through processes. These processes impact each other. The peer review teams should explore these relationships. The questions in section 1.4.2 consider these relationships and the diagnosis in Part Two will take the systems thinking and analysis further.
- Although this booklet provides common/example research questions for each building block and system element, the peer review teams will have to contextualise and add questions based on the country's context. Guided by the research questions, they will develop their own

semi-structured interview questionnaires for interviews, focused group discussions, checklists for observations, secondary data reviews, and possible participatory and visual tools and exercises to collect and analyse the data (e.g., matrix ranking, force field analysis, etc.) The systems in countries differ and contextualisation is crucial to collect relevant data.

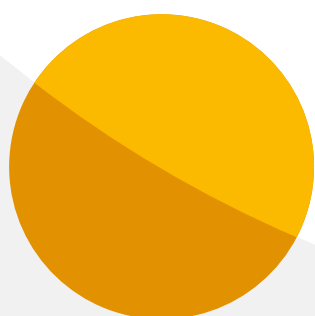
- The peer review teams should have the opportunity to collect data from stakeholders working at different levels and across sectors and institutions. To consider the service delivery chain down to community level and for triangulation, they should visit a sample of ALE learner groups, places of learning such as Community Learning Centres (CLCs), etc. These are examples, it depends on the services, projects, and programmes in each country. It is useful to triangulate data about technical processes with ALE users.

Steps in designing the ALE system assessment with a peer review methodology

The following steps can be followed in preparing for and conducting the peer review to assess the status of the existing ALE system from the supply-side at any stage or phase of the system building process.

- **Agree with all stakeholders** (ALESBA partners formed in Phase One – Consensus Building) to conduct an assessment on the status of the current ALE system in the country by using a peer review methodology. Senior managers within these institutions should be on board and agree to the process and all steps outlined below, including allocating resources, nominating experts to participate in the process, making information available for the assessment, etc. Partners should agree on the rationale and objectives of the peer review. These decisions can be reached through a series of meetings/ and or mini-workshop(s) between the ALESBA partners.
- **Decide on a technical task team** that will oversee the peer review, take care of logistics, coordination, etc. This team will be formed with representatives from all ALESBA partners, but it may be agreed that one partner takes the lead and more responsibility.
- **Prepare for the peer review and consider among others:**
 - The scope of the peer review, e.g., which districts, regions/provinces, and offices/institutions at all levels (national to local) will be in the sample?
 - Who will make up the peer review team (ideally members should be from all levels of implementation, across sectors, institutions, etc.)?
 - Logistics, transport, documentation, appointments with interviewees (government, CSOs, CLCs, community groups, etc.)
 - The timeframe and major steps in the peer review process.
 - A programme for the peer review fieldwork process, informed by the training and design.
- **Train and orientate the peer review team** (ideally three to five days) in the ALESBA and peer review methodology, including addressing the following issues among others (see the appendix section in this booklet for an example training programme):
 - The ALESBA with all its principles, conceptual framework and building blocks (See section II in this booklet and the ‘Introduction to the Approach and Toolkit’ booklet).
 - Principles in conducting the peer review (See section 1.2 in this booklet).
 - Roles and responsibilities of team members (facilitator/interviewer, documenter(s), observer, team leader, logistical support, translator, secondary data reviewer, etc.)
 - The research questions (see section 1.4.2) and give the team an opportunity to formulate additional research questions based on the context of the country.
 - Use the research questions to develop detailed semi-structured interview questions, checklists, etc., for data collection with different stakeholders, groups at all levels of implementation, secondary data reviews, etc.
 - Data collection techniques and tools, e.g., interviews, focused group discussions, PRA tools, observation checklists, the framework for a desk review, programmes for mini-workshops to collect information, etc.
 - How to document the information (ideally develop a format, think about digital tools, etc., see section 1.4.4).
 - The peer review schedule and programme, logistics, etc. The programme will determine how all members of the peer review team (20–40 members depending on the scope) will work in smaller teams (four to six team members each), which geographical areas and stakeholders they will be responsible for, etc. Each of these smaller teams is responsible for setting up appointments and arranging the logistics for the area assigned to them, e.g., one region/province with selected districts/local government areas within the region/province and the stakeholders and community groups selected for the sample.
 - One smaller team can be assigned to the national level to gather information from different government sector offices and other non-state actors at this level.

- A team can be assigned for secondary data review, but also keep in mind that in each region/province and district, the peer review teams have to assign one or two team members to conduct secondary reviews of documents presented to them by stakeholders during the collection of primary data. This may include documents such as learner assessments data, plans and budgets, etc. These documents are useful to triangulate the primary data and information gathered during interviews and focused group discussions.
- To collect additional information, a mini-workshop can be conducted towards the end of the fieldwork schedule to involve participants from more districts than the sample and potentially other stakeholders. It will provide a further opportunity to triangulate and validate data collected from regions and districts at the beginning of the fieldwork programme.
- **Conduct the peer review** in different regions, districts and also with national-level institutions. Regional/provincial data will consist of the data collected from the districts in the sampled provinces/regions as well as from provincial/regional level institutions with their own roles, mandates and responsibilities.
- **Document the findings for each region/province and national level:** Each of the smaller peer review teams should compile the information and reports for the region/province and its districts they were responsible for, including the team responsible for the national level. The reports contain the qualitative information and preliminary analysis of this information as per the reporting format developed. Peer review teams can schedule reporting days during the actual peer review to stay up to date with data collected, (see an example of a peer review schedule in the appendix section of this booklet) or have some time at the end of the data collection period. Once the fieldwork part of the review is completed a smaller group of experts and consultants, who have been part of the process, can compile a comprehensive report for each region/province and its districts as well as national level institutions.
- **Discuss and analyse the qualitative peer review findings with all ALESBA partners** in a workshop after all the regional/provincial and national level reports are completed. These reports can be complemented by secondary data reviews if available. The purpose of this workshop is for teams to present and share the peer review findings with the ALESBA partners and to start a process of analysis. The final regional/provincial and national reports can be compiled after the workshop, including the inputs and analysis from the workshop.
- **Conduct the ALE system scoring (quantitative assessment):** Use the regional/provincial assessment reports and national level report with qualitative information on the status of each building block and element to complete the scoring exercise for each region/province. The analysis of the findings from the districts and regional/provincial stakeholders will enable the ALESBA partners to use the scoring tool and mutually agree on the score for each building block (per region/province). The information collected from national level institutions, such as ministries, will provide information on the enabling environment, and for further triangulation with the regional/provincial information. The scores for all regions can also be calculated as an average to present the system score for the country, keeping in mind that it is based on a sample. This scoring exercise and the tool is explained in section 1.4.3 and should only be conducted based on the findings of the qualitative assessment. The scoring can take place during the above-mentioned workshop with ALESBA partners after all findings have been presented, discussed and analysed. The scores should be included in each of the regional/provincial reports mentioned above.
- **Compile a summarised country-level report** containing information and summaries from sample districts and regions/provinces and the national level, including the analysis of information between the tiers of governance, sectors and stakeholders. The scores of the sample regions/provinces can be used to find a national average score as already mentioned.
- **Disseminate the country-level, national and regional/provincial reports** to respective stakeholders since it provides baseline data for their region/province and sector. Circulate the national country-level report to all ALESBA partners and key stakeholders.
- **Continue with Part Two of Phase Two (diagnosis).**



1.4.2 Conducting the qualitative assessment

This section captures the research questions for each element and building block. At the end of the peer review fieldwork, these questions would have been answered through the primary and secondary data collection and reviews with different data collection tools and techniques. The booklet presents examples of research questions based on the system elements and building blocks, but each country should a) contextualise and b) add questions based on their own context. The research questions will inform the development of detailed questionnaires and semi-structured interview formats, etc., for individual interviews, focused group discussions, secondary data reviews, etc., as well as observation checklists and other techniques the team wish to use. Peer review teams are encouraged to use participatory visual tools to collect information

during focused group discussions and mini-workshops. The objective is to collect qualitative, descriptive information about the ALE system and understand the status and systemic relationships within the system.

Note that the research questions have to be interpreted according to each level of data collection, e.g., the questions about budget allocation may be asked differently at national, regional/provincial and district level. Time should be provided during the training of the peer review team to contextualise and elaborate interview questions and tools. **See Section ii in this booklet as a reminder and for detailed explanations of the elements and building blocks.** Example questions for all elements and building blocks follow below:

Enabling Environment	
ALE policy that addresses the ever-changing needs of learners in a participatory manner with a financing mechanism and well-defined roles of stakeholders.	<ul style="list-style-type: none"> • Does the country have an ALE policy? • To what extent and how does the policy address the needs and interests of learners? • To what extent does the policy address sectoral integration in ALE? • How did the policy research and formulation process take place? • What was the level of involvement of different stakeholders? • What mechanisms are in place to implement the policy (Including financing)?
A strategy that captures the definition and focus of ALE and contributes to policy implementation at all levels of implementation.	<ul style="list-style-type: none"> • Does the country have a national ALE strategy? • How does it capture the definition and focus of ALE? • Does the strategy address cross-sectoral integration? • How is the strategy translated into strategic/longer term and annual plans and budgets to achieve its goals and objectives? • How is the strategy interpreted at each level of implementation e.g., are there regional and district strategies for ALE? • How is the strategy linked to other national and regional strategies, plans and agendas, e.g., National Development Plans?
The existence of clear ALE Programme Implementation Guidelines for all stakeholders based on the definition and focus of the ALE programme.	<ul style="list-style-type: none"> • Are there Programme Implementation Guidelines for all stakeholders? • What type of guidelines exists and what is the objective of each? • What does the guideline address (e.g., ALE components, learning methodology, curriculum, learner assessments, etc.)? • Are the guidelines disseminated at each level of ALE implementation for both state/non-state actors? • How sufficient are the guidelines to guide the implementation of a quality ALE programme and what challenges are experienced in using the guidelines? • How do different levels e.g., regions and districts use the guidelines?
A qualifications framework that addresses minimum competencies, curriculum assessment, equivalence and transfer directives.	<ul style="list-style-type: none"> • Is there a qualifications framework in place? • If not, which other similar mechanisms exist? Please describe (e.g., transfer directives to show a further learning path for ALE learners). • Are there plans to produce a national qualifications framework? • Is the current framework or tool functional at each level of implementation? How? • How does the framework/tool benefit ALE learners? • What are the challenges in implementing the framework/tool?
Existence of an enabling legal framework for the implementation of ALE programmes.	<ul style="list-style-type: none"> • Are there existing laws and/or regulations regarding adult learning and education? • What are the contents and objectives of the legislation regarding ALE? • If not, are there efforts to draft this legislation? • At what stage of development are these efforts? • What benefits do existing or potential ALE legislation/regulations bring to the sector? • What challenges are faced drafting or passing legislation/ regulations within the sector?

Institutional Arrangements	
Existence of effective ALE institutional implementation structures.	<ul style="list-style-type: none"> • Who are the primary duty bearers involved in delivering ALE services and what roles do they play? • Does an ALE implementation structure exist at all levels of implementation (for primary duty bearers)? Is it functional? • Describe the structures at each level of implementation, in the form of a hierarchy or organogram, showing which positions exist for ALE at each level of implementation. • Indicate the reporting lines, division of labour and mandates across the levels/tiers of implementation/governance? • How does the structure incorporate other sectors in relation to the definition of ALE in the country (e.g., from health, agriculture, etc.)? • How does the structure incorporate the roles of other stakeholders in ALE at each level of implementation?
Sufficient and qualified human resources available to implement the ALE programme at all levels.	<ul style="list-style-type: none"> • Are sufficient human resources/staff allocated for ALE (referring specifically to primary duty bearers, e.g., government)? • Are these positions institutionalised and approved by the official, responsible body/institution in the country? • How many staff members are in place for ALE at each level of implementation? Is this sufficient? • Are there clear job descriptions for ALE personnel? What are the contents? • What are the academic and other qualifications and requirements of this personnel? • Which opportunities exist for the professionalisation of the sector?
Leadership & management that gives direction, mandate and instruction related to the implementation of ALE.	<ul style="list-style-type: none"> • What is the level of awareness/commitment related to ALE among senior managers/political leaders at each level of implementation? • What is the level of awareness about the role non-state actors/CSOs play in ALE? • How do managers give direction regarding ALE implementation to staff (Informal, official, etc.)? • How do managers interpret ALE policy, strategy and long-term plans (e.g., ESDP) to guide implementation? • How do managers ensure the allocation of budget, resources and time for ALE?
Accountability mechanisms and procedures related to the allocation of responsibilities and follow-up on tasks completed up to the expected result.	<ul style="list-style-type: none"> • What accountability and reporting mechanisms and procedures exist within the ALE implementation structure? Describe. • Are there written guidelines in place? Describe. • Who is held accountable for budget utilisation, the achievement of objectives, etc., at each level of implementation? • Which measures exist to address poor performance? • How is it implemented across sectors and tiers of governance? • Which accountability mechanisms exist for non-state actors?
Existence of effective partnership and networking structures with different non-state actors for the implementation of ALE programmes.	<ul style="list-style-type: none"> • Which non-state actors play a role in ALE in the country? • What are the contributions/roles of the different non-state actors? • Which structure(s) exist to engage non-state actors? Describe. • What is the role, purpose and mandate of this structure(s)? • Are these structures informal or officially acknowledged as consultation and co-operation bodies/structures with the government? • Are there regulations that these structures have to follow?

Management Processes	
Regular planning in a participatory manner to achieve objectives and milestones.	<ul style="list-style-type: none"> • Which kind of regular planning exercises take place to plan for the implementation of the ALE programme? • Who is involved in these planning exercises? • How are these plans adopted and adapted at each level of implementation? • Are all stakeholders (including non-state actors) aware of the contents of the strategic and annual plans? Do they participate and play a role? • Are the plans cross-sectoral in nature? How? • Who takes the main responsibility for the implementation of the plans?
Existence of appropriate and sufficient budget and resource allocation.	<ul style="list-style-type: none"> • What percentage of the education budget is allocated for ALE (at each level)? • How do other sectors (at each level) contribute budget and/or resources towards integrated ALE service delivery, e.g., at CLCs, etc.? • Do ALE personnel have sufficient resources to carry out their tasks and duties (e.g., computers, printers, transport means, etc.)? • Is the allocated budget sufficiently used on an annual basis? How? • Do ALE personnel participate in planning and budgeting processes to represent the sector? To what extent are their concerns reflected in the budget? • What are the main ALE budget items included in the budget, e.g., community facilitators, material development, etc.?
Monitoring and Evaluation (M&E) system that collects and analyses data and information regularly.	<ul style="list-style-type: none"> • Does a national monitoring and evaluation system for ALE exist? Is it cascaded to all implementation levels? • What does it measure (the type of indicators, e.g., literacy progress, other forms of ALE e.g., skills training)? • How are the data collected (e.g., through reports) and by whom? • How often are the data collected? • How are the data analysed and used? • What kind of M&E system is in place for non-state actors and how does it link with the national system?
Management Information System (MIS) that stores and allows access to information to track programme progress.	<ul style="list-style-type: none"> • Does a national MIS for ALE exist? • How is it connected to regional and district MIS? • What kind of ALE information does it contain and manage (literacy related, non-formal skills related, etc.)? • Is there a responsible person or unit at each level to manage the MIS? Describe. • How is the MIS and M&E system connected/related? Is it manual or digital? • Does the MIS also collect and store data from non-state actors?
Coordination processes for internal and external communication and cooperation within and between institutions.	<ul style="list-style-type: none"> • What kind of internal/ institutional coordination takes place concerning ALE, e.g., within the MoE's national, regional and district education offices (vertical coordination)? • What kind of cross-sectoral coordination takes place between sector offices at each level of intervention? How often (horizontal coordination)? • Do the above-mentioned coordination processes have a standard body/structure, e.g., technical team/board/working committee? • What is the purpose and benefit of the above-mentioned types of coordination? Does it lead to specific cooperation, e.g., on curriculum and material development, etc.? • What types of coordination processes and structures exist to coordinate ALE interventions with other institutions, e.g., NGOs, universities, etc.? (See also institutional arrangements) • What is the purpose of these structures, how often do they meet and what are the benefits? How are their contributions incorporated into the implementation of ALE programmes at each level of implementation?

Technical Processes	
Localised curricula that take into account the needs and interests of learners.	<ul style="list-style-type: none"> • What kind of curricula exists for ALE? • How do the curricula ensure that the needs and interests of the learners are captured? • How do the curricula incorporate topics, contents and functionality from other sectors? • Does the country have a national curriculum framework for ALE? Is it used? When and how was it developed? • How is the curriculum localised at regional /provincial and district levels? • What is the role of local government and other stakeholders in giving direction to and operationalising the curricula, e.g., incorporating it into manuals and learning materials?
Clear ALE programme design & methodology to meet the needs of the learners. (Includes specified programme components and facilitation/learning process/cycle)	<ul style="list-style-type: none"> • What does the ALE programme design and methodology look like? Is it clearly described in any document? Explain. • What are the components of the programme (e.g., literacy, non-formal skills training, etc.)? • Does it have a clear facilitation methodology captured in the training of trainers/supervisors and facilitators' manuals (e.g., a clear learning process/cycle with outcomes, etc., e.g., Functional Adult Literacy, Reflect)? • How is the programme delivered? What is the implementation modality (e.g., in learner groups, at CLCs, etc.)? • What is the duration of the ALE programme for learners (e.g., two years of adult literacy, three months of non-formal TVET, etc.)? • How are the interests and needs of learners captured in the programme?
Capacity development at all implementation levels. (ToT, ToF, etc.)	<ul style="list-style-type: none"> • What kind of training and capacity development takes place for ALE implementation personnel at each level of intervention? Which sectors are targeted? • What is the objective of the training and what topics does it cover? • In the case of Training of Trainers (ToT); is opportunity and funding provided to cascade training to the lower levels, e.g., to conduct a training of facilitators? • What other forms of capacity building exist beyond training workshops at each level of intervention? Which pre- and in-service training opportunities exist? • What evidence exists that the capacity building interventions resulted in improved capacity and programme quality? • Which ALE education opportunities (andragogy) are offered by universities?
Development of all types of materials needed to implement an ALE programme.	<ul style="list-style-type: none"> • What kind of materials have been developed for the ALE sector (e.g., training manuals, facilitator guidelines, M&E manuals, etc.)? • Who develops the materials at each level of intervention? What is the role of non-state actors? • What evidence exists that the materials are still relevant and used at each level of intervention? • How do the materials incorporate cross-sectoral interests/needs and participatory methods? • What gaps/challenges exist in ALE material development? • Have any digital materials been developed? For which purpose and target group?
Learner assessments that are conducted regularly to track the progress of learners and to feed into the M&E system.	<ul style="list-style-type: none"> • Do regular learner assessments take place related to the ALE programme? Are assessments uniform and regulated in the country? • Which ALE components do the assessments cover and how? • Who conducts these assessments? • Which assessment methodology is used (e.g., LAMP and Numeracy scales, any others)? • How is the information recorded and how does it link with the M&E system and MIS? • Are baseline studies conducted and compared with learners' graduation assessment data?

The above-mentioned research questions will inform the design and implementation of the peer review process to qualitatively assess the status of the ALE system. The quantitative assessment tool described below provides an opportunity for deeper analysis and by allocating

scores for each building block, system element and the system as a whole provides a snapshot on the status of the ALE system that can provoke debate and interest. The qualitative and quantitative assessments complement each other.

1.4.3 Conducting the quantitative assessment (analysis and scoring)

The data collected as per the research questions above should be analysed and reported in an agreed-upon reporting framework. This qualitative information will provide a detailed narrative description of the status of each building block in a particular region/province where the assessment was conducted. ALESBA partners can use the scoring tool described in this section also to provide a quantitative perspective on the extent to which each building block is in place and which system element is weaker than the others.

Once the qualitative reports are completed, the findings can be presented to ALESBA partners (also involving stakeholders from the sample regions/provinces and districts) for further analysis and discussion. A framework for analysis may be developed based on the research questions, systemic links between system building blocks, etc. This type of meeting/workshop provides the opportunity to use and complete the scoring tool. **Scoring should be conducted in a transparent and participatory manner involving all ALESBA partners (especially senior managers) with debate and consensus on the scores for each building block.**

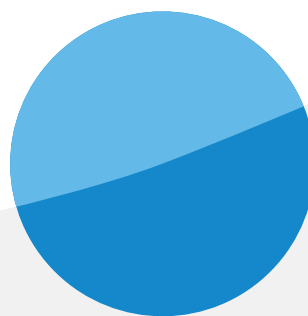
The scoring tool should be completed for each region/province where the assessment was conducted. The analysis of the district information together with the regional/provincial institutional level information informs the overall status of the region/province. The information collected at a national level (and triangulated at lower government levels) will inform the enabling environment in particular but also provides information for other building blocks. Once the tool is completed for each sample region/province, the ALESBA partners may decide to calculate an average score for the country and/or summarise the scores for all regions/provinces across the elements and building blocks in a comparative table.

How to use the scoring tool?

The scoring tool has a set of progressive indicators for each ALE system building block. Only one score can be obtained per building block, implying selecting only one indicator that best describes the status of that building block for the particular region/province. All indicators should be read carefully and debated based on the peer review assessment findings. **Each building block will therefore only have one score out of 5. Each indicator scores progressively higher, implying that it incorporates the description of the previous indicators (e.g., score 4 would incorporate the descriptions in scores 1–3 and so on). The highest score for a building block is therefore 5.**

Five building blocks per element will imply a total maximum score of 25 per element. Four system elements times 25 imply a total score out of 100 to describe the current status of the ALE system through a scoring mechanism. Please note that these scores do not stand alone and are accompanied by the collected data and information in the peer review as per the research questions in the previous section. See an example of a completed scoring template in the appendices section of the booklet.

The scoring template can be replicated in either MS Word or Excel formats for easy use. The last column provides space for scoring by ALESBA partners. The number of the selected indicator score per building block can be written in this column and the scores for each element against the total of 25 could be calculated after scoring the building blocks. The total score out of 100 for the system is at the end.



ALESBA Scoring Template (Belete, 2018)

Province/Region/Country:

Date of Scoring:

System Building Block	Indicator	Score	Actual Score
Enabling Environment Total Score:		25	
A policy that addresses the ever-changing needs of learners in a participatory manner with a financing mechanism and well-defined roles of stakeholders.	There is no policy.	0	
	ALE is captured in other policies, e.g., general education.	1	
	There is a specific policy for ALE.	2	
	The policy has an integrated nature regarding different sectors/ALE components.	3	
	The policy has been formulated with the involvement of different stakeholders.	4	
	The policy as described above makes provision for the interests of learners and has a financing/implementation mechanism.	5	
A Strategy that captures the definition and focus of ALE and contributes to policy implementation at all levels of implementation	There is no strategy.	0	
	There is an ALE Strategy.	1	
	The Strategy focuses on one aspect, e.g., adult literacy.	2	
	The Strategy incorporates multiple components of ALE, e.g., skills training, etc.	3	
	The Strategy is up to date, based on the scope & definition of ALE and is structured to ensure the roll-out of the ALE policy at all implementation levels.	4	
	The Strategy (described above) is adopted and adapted for implementation at all levels (localised).	5	
The existence of clear ALE Programme Implementation Guidelines for all stakeholders/role-players based on the definition & focus of the ALE programme.	There are no guidelines.	0	
	There are fragmented programme implementation guidelines in different documents.	1	
	A well-structured programme implementation guideline(s) exists, based on a well-defined ALE education methodology, with clear implementation steps, a reference to training manuals, etc.	2	
	The programme implementation guidelines as described above include the roles/responsibilities of all stakeholders based on the scope & definition of the ALE programme.	3	
	The programme implementation guidelines (described above) are disseminated to all stakeholders at all levels of implementation.	4	
	The programme implementation guidelines (described above) are used by all stakeholders towards quality programme implementation.	5	
A qualifications framework that addresses minimum competencies, curriculum assessment, equivalence and transfer directives.	There is no qualifications framework.	0	
	There are other forms of transfer directives.	1	
	There are efforts towards establishing a qualifications framework.	2	
	There is a qualifications framework.	3	
	The qualifications framework incorporates adult learning and non-formal education.	4	
	The qualifications framework is functional/provides entry points for graduates of different ALE programmes.	5	
Existence of an enabling legal framework for the implementation of ALE programmes.	There is no legal framework.	0	
	There are laws related to education and other forms of non-formal education—but not ALE specifically.	1	
	There are efforts towards formulating laws for ALE.	2	
	There are laws/legal frameworks for ALE but they are not enforced.	3	
	There are laws/legal frameworks for ALE that is enforced.	4	
	A legal framework/law for ALE exists, is enforced and provides rights for adult learners with options to claim their rights.	5	

System Building Block	Indicator	Score	Actual Score
Institutional Arrangements Total Score:		25	
Existence of effective ALE institutional implementation structure (considering the responsibilities of primary duty bearers for ALE).	There is no institutional implementation structure for ALE.	0	
	There is an informal implementation structure for ALE.	1	
	There is a formally acknowledged implementation structure for ALE.	2	
	The ALE Implementation structure cuts across all tiers of governance with clear mandates and job descriptions at each level.	3	
	The ALE implementation structure incorporates other sectors responsible for different ALE components (e.g., skills training) at all tiers of governance.	4	
	The ALE implementation structure is formally acknowledged cuts across sectors and tiers of governance and make provision for the roles of different stakeholders with clear mandates, roles and responsibilities.	5	
Sufficient and qualified human resources available to implement the ALE programme at all levels of implementation.	There are no allocated human resources for ALE.	0	
	Human resources for ALE allocated on ad hoc basis or part-time basis.	1	
	Human resources are made available for ALE but not in sufficient numbers.	2	
	There are sufficient human resources allocated for ALE implementation.	3	
	Sufficient ALE human resources have the necessary ALE related qualifications and experience at all levels of implementation.	4	
	Sufficient ALE human resources have the necessary ALE & related qualifications and experience at all levels of implementation and the positions have been institutionalised by the responsible body.	5	
Leadership & management that gives direction, mandate and instruction related to the implementation of the ALE programme.	No leadership/management direction for ALE implementation.	0	
	Leadership/management in responsible ministry/sector aware of ALE programme strategies/plans/directives.	1	
	Leadership/management in responsible ministry/sector delegate tasks and responsibilities related to ALE to responsible personnel at different implementation levels.	2	
	Leadership/management inform related ALE sectors and stakeholders about responsibilities in ALE programme, strategies, plans.	3	
	Leadership/management translates ALE strategies and long-term plans into operational plans and tasks with time, responsibilities and resource/budget allocation.	4	
	Leadership/management gives direction, tasks, mandate to responsible ALE personnel, sectors and stakeholders and follow-up on execution and objectives met.	5	
Accountability mechanisms and procedures related to the allocation of responsibilities and follow-up on tasks completed up to the expected result.	No accountability mechanisms and procedures exist.	0	
	Informal accountability mechanism exists.	1	
	Formal accountability mechanism exists.	2	
	Formal accountability mechanism exists with necessary formats and guidelines.	3	
	Formal accountability mechanism as described above is implemented and steps are taken for poor performance.	4	
	Formal accountability mechanism as described above is implemented and civil society actors can hold government accountable.	5	
Existence of effective partnership and networking structures between government and different non-state actors for the implementation of ALE and delivering services.	No partnership/networking structures with non-state actors exist.	0	
	Informal/ad hoc networking and partnership structures with non-state actors exist.	1	
	Formal networking and partnership structures with non-state actors exist.	2	
	Formal networking & partnership structures with non-state actors exist and meet regularly.	3	
	Formal networking & partnership structures with non-state actors exist, meet regularly and implement agreed-upon agendas/meet objectives.	4	
	Formal networking & partnership structures with non-state actors exist, is functional and their contributions are incorporated in national/regional/district plans and MIS.	5	

System Building Block	Indicator	Score	Actual Score
Management Processes Total Score:		25	
Regular planning in a participatory manner to achieve objectives and milestones. This includes strategic planning, annual planning, etc.	No planning for ALE takes place.	0	
	Informal planning exercises for ALE take place periodically.	1	
	Regular planning, e.g., on annual basis for ALE takes places by primary duty bearers.	2	
	Regular planning on at least annual basis for ALE takes places by primary duty bearers with other relevant sectors and stakeholders.	3	
	Regular strategic (e.g., 5-year plans) and annual planning events for ALE take place involving all relevant stakeholders and sectors and levels of implementation.	4	
	Strategic plans for ALE are adopted and adapted at all levels of implementation through annual plans and monitored by all stakeholders.	5	
Existence of appropriate and sufficient budget and resource allocation.	No budget allocation for ALE by primary duty bearers.	0	
	Ad hoc budget allocation for ALE takes place by primary duty bearers.	1	
	Annual budget allocation for ALE takes place in responsible ministry/sector (primary duty bearer).	2	
	Budget allocation for ALE takes place across sectors as per definition and scope of ALE in the country (involving all key primary duty bearers).	3	
	Sufficient budget and resource allocation for ALE take place covering all required budget elements at all levels of implementation, including budget required by non-state actors for complimentary/parallel service delivery.	4	
	Sufficient budget and resource allocation for ALE take place covering all required budget elements at all levels of implementation. It meets national commitments and percentages and/or international benchmarks for ALE.	5	
Monitoring and Evaluation (M&E) system that collects and analyse data and information on a regular basis.	No M&E system exists.	0	
	Informal M&E system exists at different levels of implementation.	1	
	Formal M&E system exists at all levels of implementation.	2	
	Formal M&E system that incorporates all sectors related to ALE exists at all levels of implementation.	3	
	Formal M&E system as described above exists and is functional (collects data on time, etc.)	4	
	Formal, integrated, functional M&E system exists that collects and analysis data for programme use/improvement and is connected to functioning MIS.	5	
Management Information System (MIS) that stores and allows access to information to track programme progress.	No MIS exists.	0	
	Informal MIS exists in a responsible ministry/sector.	1	
	MIS exists with limited provision for ALE (e.g., primarily for general education).	2	
	MIS for ALE exists across all sectors/tiers of governance related to the scope of ALE programme.	3	
	MIS exists as described above and incorporates other ALE stakeholders' data/ contributions to the sector.	4	
	MIS for ALE exists as described above with fully responsible unit/personnel.	5	
Coordination processes for internal and external communication and cooperation within and between institutions.	No coordination process for ALE takes place.	0	
	Informal coordination process takes place within a responsible duty bearer, e.g., ministry/sector.	1	
	Formal coordination process takes place within a responsible ministry/sector for ALE with scheduled meetings and events/processes.	2	
	Formal coordination process takes place within a responsible duty bearer as well as with other sectors as per the scope of ALE in the country (cross-sectoral coordination).	3	
	Formal coordination process as described above takes place across sectors and levels of governance with scheduled meetings, events and processes (e.g., joint planning, M&E).	4	
	Formal coordination process as described above takes place including non-state actors and the networking structures formed to engage them with regular meetings and outcomes.	5	

System Building Block	Indicator	Score	Actual Score
Technical Processes Total Score:		25	
Localised curricula that take into consideration the needs and interests of learners.	No curricula for ALE exist.	0	
	Informal curricula for ALE exist.	1	
	National Curriculum Frameworks for ALE exist.	2	
	National Curriculum Frameworks for ALE exist with options to localise contents to suit the context of learners.	3	
	National and/or local/localised curricula exist as described above, involving different sectors and stakeholders' contributions as per the scope of ALE.	4	
	National and local/localised curricula exist, as described above, and are updated from time to time to take into consideration the needs and interests of learners.	5	
Clear ALE programme design & methodology to meet the needs of the learners. (Includes specified programme components and facilitation/learning process/cycle)	Absence of ALE programme design and methodology.	0	
	General description of ALE programme design and methodology in various documents exists.	1	
	General description of ALE programme design and methodology exists in an official document.	2	
	Description of ALE programme design and methodology exists in an official document with a clear overview of all components, e.g., adult literacy, non-formal skills training, etc.	3	
	Description of ALE programme design and methodology exists with a clear overview of all components, and details on the facilitation methodology/learning process in learners' groups (e.g., FAL, Reflect, etc.)	4	
	Description of ALE programme design and methodology exists as described above, and disseminated to all implementing stakeholders with necessary manuals to train and facilitate ALE classes.	5	
Capacity development at all implementation levels. (ToT, ToF, etc.)	No capacity development takes place.	0	
	Ad hoc capacity development takes place for different levels of implementation.	1	
	Scheduled capacity development takes place for all levels and sectors of implementation.	2	
	Capacity development as described above includes pre-service training, ToT, ToF & other forms of in-service training for ALE experts and system managers working at different levels of implementation.	3	
	Capacity development as described above takes place covering key ALE topics and higher education institutions offer ALE as a subject (andragogy).	4	
	A well-documented capacity building strategy for the ALE sector exists taking into consideration all of the above to professionalise the sector.	5	
Development of all types of materials needed to implement an ALE programme.	No material development and production take place.	0	
	Ad hoc material development for ALE takes place occasionally.	1	
	Material development for selected aspects of the ALE programme takes place.	2	
	Material development for all aspects of the ALE programme takes place, including ToT/ToF manuals, supplementary reading materials for learners, etc.	3	
	Material development for all aspects of ALE programme as described above takes place and involves expertise from different sectors and stakeholders as per the scope of ALE in the country.	4	
	Materials as described above are regularly updated, remain relevant and are disseminated to and used by all ALE stakeholders.	5	
Regular learner assessments that are conducted to track the progress of learners and to feed into the M&E system.	No learner assessments take place.	0	
	Occasional and informal learner assessments take place.	1	
	Regularly scheduled learner assessments take place.	2	
	Regular learner assessments take place on adult literacy using LAMP and Numeracy scales or similar tools.	3	
	Regular learners' assessments take place for adult literacy (LAMP/Numeracy scales) as well as measuring outcomes of other aspects of ALE programme, e.g., life skills, business skills, etc.	4	
	Learner assessments as described above (in 4) are recorded in M&E and MIS system and analysed to measure programme outcomes and impact.	5	
Total ALE System Score:		100	

1.4.4. Documenting and presenting the findings of the assessment

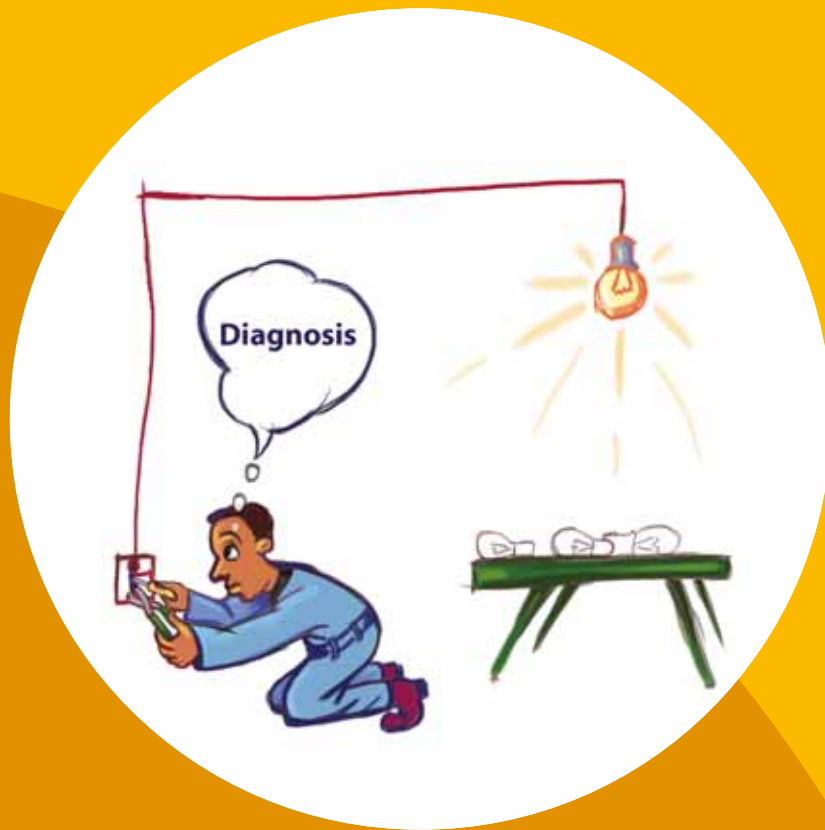
All assessments whether from the demand or supply-side should be well documented. It is useful to share such formats before peer review teams depart to the field to collect data (for either demand or supply-side assessments). The formats can be shared and explained during the training of the peer review teams. Reports have to be compiled for each sample region/province capturing data for the regional/provincial institutions and processes as well as for the sample districts within them. The same applies for institutions visited at a national level and if any specific secondary data review was carried out. Ultimately all these reports have to be consolidated into a country-wide report. Keep in mind that regions/provinces will each need their own report as a baseline study.

The reports should contain the qualitative and quantitative information (supply-side) and all information for existing and/or new target groups/ users of the service as per the design of the demand-side assessment.

The format below is a generic example, and ultimately each country should design their own reporting formats and guidelines to document the ALE system assessments. These reports will be used during the diagnosis process and further phases in the ALESBA implementation. They contain key baseline data on the system from either the demand or supply-side perspective. The synthesis of reports into a comprehensive country-level report is a huge task with which consultants can assist.

Reporting Format	Explanation of contents
Cover Page	Report on what, conducted where, by whom, during which time (date), etc.
Table of Contents	Contents of report.
Acknowledgements and other preliminary pages needed	Acknowledgement of team members, foreword, abbreviations page, etc.
Executive Summary	E.g., key findings and recommendations from the review as per the system elements and building blocks, including analysis of findings and ALE system scores.
1. Introduction and Background	Giving a brief introduction to and the background/rationale for the ALESBA system review or demand assessment. Give an overview of what the report contains.
2. Overview of ALESBA	Short description of the conceptual framework, system elements, building blocks and key principles of ALESBA.
3. Assessment methodology	Overview of supply-side or demand-side assessment methodology followed. Description of the assessment objectives, major research questions, sample areas, peer review composition and process, and limitations, etc.
4. Assessment Findings	Demand-side: As per the research questions provide a summary of perceptions, interests, needs and demands of existing and potential new ALE service users/target groups. Supply-side: Per system element and building block give a concise summary of the findings (as per the research questions).
5. Analysis of Findings	Based on the research questions, present an analytical view on the findings across all levels of implementation, system building blocks and elements.
6. System Scoring	Present the completed scoring template. It can be complemented by a narrative elaboration referring to the scores for each building block and element and the analysis of the data collected that led to this score, in other words, a rationale for the score achieved using analytical information. Sections 5 and 6 of the report can be combined.
7. Recommendations	Provide recommendations for each system element across all levels, referring to the system building blocks, and the ALE System overall. For the demand assessment, recommend what kind of ALE programmes may be needed, which contents should be covered, and what type of implementation modality is suggested. Recommendations will have to be revisited once the diagnostic study is completed – so this section of the report may be preliminary or can be left until the diagnostic study is completed.
8. Conclusion and Next Steps	Concluding remarks and reference to next steps, e.g., diagnosis, alternatives analysis, etc.
9. Appendices	Relevant appendices as needed based on the contents, e.g., peer review schedule, etc.

PART TWO: DIAGNOSIS



2.1 INTRODUCTION TO THE DIAGNOSIS OF BLOCKAGES & CHALLENGES WITHIN THE SYSTEM

Part One of this booklet describes how to assess the current status of an ALE system from both the demand and supply-side. Once these assessments are completed, they will produce substantial reports and information on the perceptions, interests and needs of the users of ALE services and the extent to which the ALE system can deliver those services. The supply-side assessment will provide information on the status of each system building block through both qualitative and quantitative information. To address the challenges, blockages and gaps in the system, assessing the status of the system is not enough. A diagnostic exercise is necessary to analyse the underlying root causes from a systemic perspective. This implies understanding that the root causes of one system blockage may cut across several system elements and building blocks. These relationships have to be understood in order to come up with alternatives

and different system design options in Phase Three of the system building process. Therefore, the focus now shifts to the supply-side assessment results. How these services address the needs and interests of users will be taken up once again in Phase Three of the process.

Part Two of the booklet starts by presenting examples of the findings of system assessments conducted in selected African countries (section 2.2). This description of typical assessment findings and scores for system building blocks provides a basis for understanding the process and tools to identify and diagnose system blockages and challenges (section 2.4). Before engaging the tools, it is useful to be reminded of what a systems approach and thinking entail and therefore wearing system lenses while analysing and diagnosing the root causes of system failure (section 2.3). The booklet concludes with an overview of the next steps in the coming phases.

2.2 PRESENTATION OF ALE SYSTEM ASSESSMENT FINDINGS: CASE STUDIES FROM AFRICA

This section draws examples from the comprehensive ALE system assessment conducted through a peer review in Ethiopia (Ethiopia Peer Review Team, 2018) and the study on building adult education systems in an African context. (IDM Consulting and Associates, 2018). The objective is to give the users of the toolkit a snapshot of typical findings that can emerge from an assessment with an emphasis on section 2.4, namely how to use examples of such assessment findings to identify and diagnose the root causes of the challenges and blockages. Therefore, findings are presented as examples from different assessments for each building block without specific reference to a country, or region within that country, including an example of a completed ALESBA scoring template. They are presented purely for learning and illustrative purposes, to have a base for demonstrating the use of tools in this and the remaining booklets in the toolkit.



Enabling Environment

A policy that addresses the ever-changing needs of learners in a participatory manner with a financing mechanism and well-defined roles of stakeholders.

ALE is incorporated under the general education policy and does not have its own independent policy framework and is not visible to other sectors that host different components of ALE, e.g., agriculture, TVET, etc. The lack of an independent ALE policy affects the vision, strategic goals and integration with other sectors. In its current form, the policy is also not disseminated to all lower levels of implementation.

A strategy that captures the definition and focus of ALE and contributes to policy implementation at all levels of implementation.

The current strategy for ALE is outdated and although some local government authorities disseminated the strategy, it is not practically adopted by all sectors involved with ALE, or translated into annual and quarterly implementation plans to reach the higher-level objectives spelt out in the strategy. The strategy does not reflect the various types of ALE services currently on offer, nor is it integrated with other sectors and stakeholders. The strategy is also not supported by budget allocations for implementation.

The existence of clear ALE Programme Implementation Guidelines for all stakeholders/role-players based on the definition and focus of the ALE programme.

Regional and district governments confirmed the existence of a variety of programme implementation guidelines, e.g., on Minimum Learning Competencies. An attempt was made to adapt these guidelines to their own context, but in their current form, they have not been contextualised and do not provide sufficient integration options with other sectors and stakeholders. The implementation modality, roles of sectors and stakeholders at different levels and learning methodology are not clearly articulated.

A Qualifications Framework that addresses minimum competencies, curriculum assessment, equivalence and transfer directives.

There isn't an official qualifications framework that incorporates ALE. A Transfer Directive that gives ALE learners options to proceed to other forms of learning exists, e.g., non-formal TVET or agricultural skills training, but not all regions and districts are aware of the directive. There are no standardised tests of learners' skills and competencies which complicates the implementation of the directive. Learners cannot get certificates that allow them to proceed to learning opportunities at other institutions.

Existence of an enabling legal framework for the implementation of ALE programmes.

There is no independent legal framework for ALE and the current framework mainly focuses on general education and overshadows ALE as a sector. ALE implementation structures are guided by a Memorandum of Understanding which does not enforce the same principles and regulations a legal framework would.

Institutional Arrangements

Existence of effective ALE institutional implementation structures considering all ALE stakeholders.

An implementation structure for ALE exists from national to regional to district level with a hierarchy that describes the mandates and roles at each level of implementation within the scope of the primary duty bearer for ALE. This includes directorates and units with ALE personnel and managers. At lower government levels, focal persons for ALE are appointed and facilitators are trained and work on a contract basis. However, the structure is not arranged as per the strategy and guidelines and does not formally incorporate other sectors and stakeholders. The structure remains mostly informal and is constrained because it relies on the general education system. It is a blueprint of what should exist, rather than a functional structure.

Sufficient and qualified human resources available to implement ALE programmes at all levels of implementation.

The number of personnel allocated for ALE within the primary duty bearer is insufficient at all implementation levels and mostly without the necessary formal qualifications in ALE. They are burdened with additional tasks related to general education and cannot focus purely on ALE. The job evaluation and grading recommended by the official civil service body in the country also grades ALE positions lower than equivalent positions in the general education (primary and secondary education) sector.

Leadership and management that gives direction, mandate and instruction related to the implementation of ALE.

Managers are generally overburdened and have a lack of interest and commitment in ALE. Their performance is mostly measured based on reaching targets and objectives in general education, namely primary and secondary education of children and youth. Leadership and management concerning ALE take place haphazardly and in ad hoc mode. There is little interpretation of strategies and other long-term development plans related to the sector. The constant lack of budget for implementation also contributes to the lack of attention managers give to ALE.

Accountability mechanisms and procedures related to the allocation of responsibilities and follow-up on tasks completed up to the expected result.

Sector ministries have signed a Memorandum of Understanding to implement ALE across sectors and levels of implementation. A vertical line of responsibilities is elaborated, but this is a nominal accountability mechanism. Responsibilities are assigned informally and not followed up which leads to poor performance.

Existence of effective partnerships and networking structures between government and different non-state actors for the implementation of ALE programmes.

There is no official network or body for non-state actors to engage with the government. Meetings are called on ad hoc basis for specific tasks and coordination processes needed. Non-state actors have not formed such a body or network and mostly engage with government on an individual basis. Collaboration only takes place around specific events and tasks.

Management Processes

Regular planning in a participatory manner to achieve objectives and milestones.

Participatory planning takes place on an ad hoc basis and does not always involve different sectors and stakeholders. Planning processes also do not cascade across all implementation levels to ensure services are delivered to the target group. Strategic and long-term plans do not always inform the annual planning processes. The planning process is closely related to the functionality of the ALE implementation structure across sectors and levels of governance. Non-state actors are rarely involved.

Existence of appropriate and sufficient budget and resource allocation for ALE.

The primary duty bearer has allocated a percentage of the annual education budget for ALE, but it has not always transpired in reality. The lack of budget allocation and other resources remain a major constraint for ALE

across all implementation levels. Sufficient efforts have not been made to integrate other sectors responsible for ALE in terms of strategies, plans and budget contributions. Selected lower governments at regional and district levels have however made substantial budget and resource allocations to hire community facilitators, establish places of learning, etc. However, this is not witnessed in the majority of local government structures.

M&E system that collects and analyses data and information regularly.

The M&E system for ALE is entrenched with the general education system which gives more attention to monitoring and evaluation performance at primary and secondary schools. The M&E system does not cover all ALE components and mainly looks at enrollment, literacy and numeracy levels. The system is weak and does not reflect the integrated nature of ALE. There are no uniform mechanisms to monitor and evaluate literacy and numeracy acquisition and use of the skills. The reliability and validity of the data are questioned.

Management Information System (MIS) that stores data and information collected through M&E and allows access to information to track and analyse programme progress for the improvement of ALE services.

The MIS is embedded within the general education system and is constrained by lack of ALE expertise, equipment and budget to make the system functional. The flow of data between different levels of governance, sectors and stakeholders is poor. Therefore, the system does not capture and store relevant data and it is not accessible and used for analysis and service delivery improvement.

Coordination and cooperation processes for internal communication/coordination within an institution as well as external communication/coordination with other sectoral structures and stakeholders.

The primary duty bearer takes the main responsibility for coordination of ALE within the institution and lower government structures. Attempts are made to coordinate with other sectors through the establishment of ALE boards and technical teams to accommodate managers and experts from different sectors respectively. Although this is an improvement, it remains informal and there is no enforcement mechanism. Universities and NGOs are often not part of coordination processes.



Technical Processes

Localised curricula that are relevant to the interests and needs of the ALE target group/learners.

A national curriculum framework exists and many local government authorities have contextualised the curriculum to make provision for topics related to the ALE learners' needs and interests, e.g., for pastoral communities. However, the development of local curricula and/or contextualisation of the national curriculum to local interests and contexts are not updated on regular basis, often leading to outdated contents in training and learning materials and ultimately to learners losing interest and dropping out of ALE classes.

Clear ALE programme design and methodology to meet the interest/needs of the learners with different ALE components and a methodology to facilitate learning (e.g., FAL, Reflect, etc.)

The current ALE programme outlines different thematic areas across sectors, e.g., health, agriculture, civic education, basic TVET, livelihood skills training, etc. The programme is designed for youth and adults from 15–60 years of age and promotes mother tongue as the main media of instruction. However, the mode of instruction/learning methodology seems to be more conventional and traditional. Literacy and numeracy content is not well integrated with topics in the local curriculum that have immediate use for youth and adults. No distinctive and uniform adult education/facilitation methodology, with a structured learning process reflected in training manuals and facilitator guides, as well as learners' books, could be identified.

Capacity development at all levels of implementation for ALE educators and system managers.

Most universities offer Adult Education courses from graduate to master's degree level. However, the profession is not popular or recognised within the academia or practitioners as a career choice. Other institutions such as teacher colleges offer different forms of diploma and certificate courses. In-service training, such as Training of Trainers (ToT) and Facilitators (ToF) workshops, takes place but is not always cascaded to lower implementation levels.

The working environment also does not always make provision for the application of these newly acquired knowledge and skills. There is no formal capacity building strategy.

Material development for all ALE components and processes.

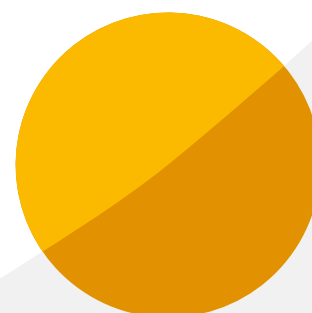
Some materials such as ToT manuals are developed at a national level while others such as facilitator training manuals and guidelines are developed at regional government level together with experts from other ALE related sectors. Materials to guide experts to conduct livelihood skills training and business skills training, as well as savings schemes, have also been developed and disseminated. Not all materials have been translated into local languages. Materials do not reflect a clear learning methodology for the facilitation of ALE classes.

Learner assessments for all ALE components conducted regularly.

Learner assessments take place on an irregular basis and do not use uniform assessment tools such as the LAMP and Numeracy scales. Learner assessments only take care of literacy and numeracy progress and do not measure other ALE components and competencies acquired, e.g., business skills. Baseline studies are often not conducted, making it difficult to evaluate progress at the beginning and end of the learner's learning cycle/duration of the programme. Selected regions have comprehensive assessment systems which incorporate Minimum Learning Competencies and standards across all ALE components with specific assessment tools.

Example of completed ALESBA scoring template

An example of a completed ALESBA scoring template is included in the appendices section of this booklet. It shows the scores that can emanate from the system assessment findings.



2.3 WEARING SYSTEM LENSES: THE VALUE OF SYSTEMS THINKING AND TOOLS!

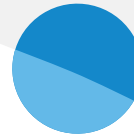


Systems thinking provides a method for gaining insights into underlying system dynamics. It provides tools and models to examine complexity, recognises the interplay of processes and forces, and sees patterns of behaviour over time. It is a structured approach that emphasises examining problems more completely and accurately before formulating

and implement solutions. (CPS HR Consulting). Systems thinking can therefore be effective to help ALESBA partners make sense of the interconnectedness of an ALE system with all its elements and building blocks and develop long-lasting solutions to produce a sustainable system that can deliver services.

Systems thinking tests our mental models – how we see and think about a problem, and recognise leverage points – the points where interventions, changes and modifications will be most meaningful. With systems thinking the root causes are uncovered so that the accurate leverage point(s) can be identified and addressed, creating positive impacts that reverberate throughout the system. To do this all stakeholders have to be involved in the process. Thinking through assumptions together, challenging our

understanding and perceptions and creating a new shared understanding are key principals. Meaningful change is not top-down or bottom-up, but rather a participative process at all levels aligned through a common understanding of the system as a whole. It relies on multi-level (across all levels of implementation) and multi-disciplinary (across sectors and stakeholders) teams to work together to analyse the findings from the system assessments (both demand and supply-side), diagnose



the root causes, understand the relationships before identifying the leverage points which will be dealt with in Phase Three of ALESBA (Alternatives Analysis and Design).

ALE systems have functional characteristics and to function effectively require mechanisms for the parts to work together. Often it is the failure to effectively connect the various parts that lead to systems failing to deliver quality services. As explained in Phase One – Consensus Building, ALE systems engage a range of stakeholders and sectors and are implemented across all tiers of governance from the national to the lowest level of local government. The way the system is structured and makes provision for different stakeholders will impact its functioning and will form part of the analysis and diagnosis of blockages.

It is important to focus on the system as a whole, focusing only on one part has two possible risks: we ignore other parts that may also influence the expected result and we are not aware of possible negative consequences in other parts of the system. For example, strengthening the system for ALE educator capacity may not necessarily bring the desired results of better learning outcomes among ALE learners. Other parts of the system need to be taken into account, e.g., under which conditions ALE educators are hired, compensated, have the necessary resource to conduct their tasks and are held accountable to do so. (DEVCO B4 Education discussion paper, 2014). It is useful to look at the system as a ‘delivery chain’ of services and how all the parts work together to do so.

ALE systems are part of bigger systems and both the internal and external environment can influence it. Not only the formal structures and processes should be assessed and analysed but attention should also be given to the political economy, meaning the underlying interests, incentives, motives and relationships between the stakeholders in ALESBA. It is often described in terms of the difference between ‘formal’ and ‘informal’ governance, what is

supposed to happen versus what actually happens. The analysis and diagnosis of the system should explore these forces that often prevent services to be delivered. (DEVCO B4 Education discussion paper, 2014).

To facilitate this process, systems thinking requires a variety of tools to visually depict the system’s structure, processes and behaviour. This booklet will present a key selection of tools that can help the users of the toolkit to:

- Describe the current system visually– as was revealed through the system assessment during the peer review and identify the location of challenges and blockages within the system. (Descriptive tools – process maps and flow diagrams).
- Analyse and diagnose the system by finding the root causes of system blockages/challenges. (Analytical tools – cause and effect diagrams, score analysis, etc.)
- Explore specific behaviour of system elements and building blocks in more depth with exploratory tools that focuses on specific phenomena within a system, e.g., the cooperation between ALESBA partners from different sectors and stakeholder groups, the influence of the political economy, etc. (Exploratory tools – integration matrix, force field analysis. etc.) This may include system blockages that are complicated to unpack or have risks for designing and improving a new system in Phase Three.

Many more tools may be needed in the process of analysing and diagnosing system challenges and blockages. ALESBA partners and facilitators of the process are encouraged to use different participatory, visual and analytical tools with which they are familiar. The essence of the process is that ALESBA partners:

- Work collaboratively – there is no ‘us’ versus ‘them’, only the workings of the whole system. By focusing on the system, defensiveness can be reduced and new ideas can emerge.
- Build a shared perception and foster a learning environment to increase idea generation.

2.4 IDENTIFICATION AND DIAGNOSIS OF SYSTEM BLOCKAGES AND CHALLENGES

Once the ALE system assessment is completed, ALESBA partners may feel overwhelmed with detailed narrative reports outlining the status of and challenges within the existing system, as well as the scoring tables of different regions/provinces and the country as a whole. A structured process is needed to make sense of all the findings from a systems perspective as outlined in section 2.3 above. ALESBA partners can use a series of tools and processes

with dialogue and debate in different workshops and meetings to arrive at a common understanding of the major system failures, weaknesses and gaps as it transpires across system elements. This may require the teams to work with more manual forms of participatory tools, such as using cards, flipcharts, stickers and drawings. These visual resources help in the process of dialogue and debate since they can easily be changed and moved around.

To have a base for analysis the following steps are recommended:

1. To conduct a workshop/symposium to present and validate the findings (potentially to a bigger group of partners, including senior management).
2. To nominate a group of experts from all partners who can conduct the detailed analysis and diagnosis of the findings.
3. To present the completed analysis and diagnosis to the bigger ALESBA partner group once again for validation and endorsement if needed.

For step two the smaller nominated group of experts can conduct a 5-day workshop to complete all the diagnostic tools and/or have a series of smaller workshops/meetings to complete the tools presented below. To arrive at a common understanding, several analytical tools can be used. It is useful to use these tools progressively to simplify the process and allow it to unfold with new insights and perspectives each step of the way. The following sequence of activities and tools are suggested (and can be complemented with additional tools and dialogue processes):

1) Describe the functioning of the existing system visually and locate system blockages/challenges within the system elements and building blocks.

The first activity consists of three steps and may take a day or two to complete in a workshop setting.

Step One

The first step in the process is to extract the core challenges for each system building block from the ALE assessment report. It is recommended that the assigned team of experts:

- Divide into four smaller teams – so that each team can take responsibility for one system element.
- Each of the four teams should read the ALE system assessment report and write down on cards at least three to five core challenges for each system building block as presented in the report– one challenge per card, clearly stated. This implies that the team may

end up with 25 cards maximum for the building blocks in the system element they are responsible for.

- Each team should use one colour of card for their system element, e.g., green for all building blocks within institutional arrangements, yellow for management processes, etc.
- Once completed the teams can present their cards to each other and post them on the wall/pinboards for later use – indicating the system element the cards belong to.
- The completed set of cards should be recorded for the workshop report and triplicated, as these cards will be used again in later exercises. It is useful to leave one set on the wall for reference and have another two more sets available for the following exercises (process map and cause and effect diagram).

Step Two

The second step is to draw an ALE service delivery chain or process map/flow diagram:

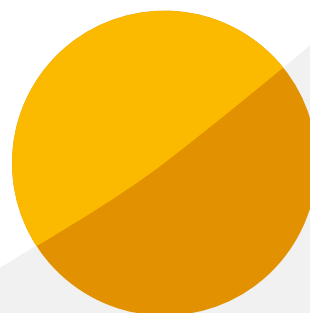
- Team members should share the responsibility for writing all the ALESBA system building blocks on cards, one block per card – using the same colour cards they used in the first step to indicate the system element the building blocks belong. There will be 20 cards.
- In plenary all experts should now create a flow diagram or process map (also called a service delivery chain) using all the system building block cards. This is a generic exercise irrespective whether these building blocks exist in the country or not. It should indicate the 'ideal' process flow starting from the building blocks in the enabling environment until ALE services reach the target group – usually where the building blocks in technical processes interface with ALE Learners. This implies that if all building blocks were in place (in an ideal world), the processes between building blocks would flow in the manner presented.
- Process maps/flow diagrams are not linear and the team can use arrows to indicate how the processes will flow. If team members feel that certain cards within management processes may have to be repeated to show the process flow – they can replicate cards and/or add their own cards to indicate process activities between the system building blocks. This will start to contextualise the flow diagram more as per the country's context.
- The system building blocks should indicate the ideal flow of processes – therefore, cards from all system elements will be mixed in the process map. The idea is not to complete all cards belonging to one system element before moving to the next, but rather to ensure the process map shows the way services should flow to the ALE learners/users. The elements do not matter in this exercise.

Step Three

Once the team is satisfied with the process map/service delivery chain they can complete the descriptive part of the diagnoses by:

- Reflecting on the system challenge cards done earlier (on the wall/pinboard).
- Placing/pinning system challenge cards on the process map to indicate where blockages in the system occur, that prevent services flowing effectively to ALE learners. E.g., if the ALE strategy does not have a financing mechanism, the card that describes this challenge can be placed around strategy in the process map, indicating how it affects budget allocation.
- Reviewing the process map with all the system blockages and engage in discussion about:
 - How system blockages affect different system building blocks across elements.
 - Which area presents the major blockages and therefore also the biggest potential for change within the system.
 - The roles of different ALESBA partners in the process, etc.

An example of a flow chart appears in the appendix section of this booklet. Note there is no perfect flow chart, the value is for the team to understand how system building blocks flow as part of a holistic system and where blockages affect service delivery flow.



2) Analyse and diagnose the system by finding the root causes of system blockages

The previous activity indicates how the ALE system flows to deliver services and where system blockages/challenges appear in the process flow. It does not show the relationship between the system challenges/blockages. Therefore, it is useful to complete a cause and effect diagram to show the relationships between system challenges. To complete this exercise, the expert team can work as one big group in plenary or divide into smaller groups to each complete a cause and effect diagram which can be compared and debated later to agree on one final diagram. To complete the cause and effect diagram the team(s) should:

- Have a full set of system challenge cards (as produced and copied in the first activity).
 - Identify a 'starter' problem – this is usually a problem at the core or the target group/ALE learners' experience and needs. It may be present on the cards from the system assessment report – or if not, the team can ask themselves what is the biggest challenge concerning the target group. This may also emanate from the demand assessment conducted. For example, it could be that 'ALE learners do not receive relevant and quality ALE services.' The identified starter problem (if not already on a card) should be written on a card and placed in the middle of the space where the cause and effect diagram will be constructed.
 - The team should now look at all the other system challenge cards available to them and ask the question **WHY?** Why do ALE learners not receive the services they need? The team should look for direct causes from the system challenge cards they have. It may be because the learning materials are not reflecting their interests and needs, or because facilitators are not sufficiently trained, etc. Each of these causes will once again have their own causes.
 - The team will therefore continue to ask '**WHY**' and the cards explaining why will be placed in logical sequence **underneath** each other (arrows can be used to show the relationships). The 'why' question will generate the causes of the problems/challenges. Sometimes one challenge may have two or more causes on the same level. These can be placed next to each other with the understanding that 'a' and 'b' and 'c' cause this problem.
- Challenges also produce effects. If ALE learners do not receive quality services they may not graduate, if they don't graduate, they cannot access other further learning opportunities and recognition within the NQF of the country for example. The team should therefore also move upwards from the starter problem and look for cards that may explain 'if this happens, **THEREFORE** that will happen'. The effects are generated by asking the question '**THEREFORE**'.
 - The cause and effect diagram can therefore be read and understood in different ways:
 - Cards underneath each other show the cause of the above challenge.
 - Cards above each other show the effect of the below challenge.
 - Cards next to each other show different challenges on the same level – connected by 'and'
 - Once the cause and effect diagram is completed and agreed upon (either in plenary or by different teams and finally consolidating one diagram), the team should reflect on:
 - How building blocks from different system elements are interconnected within the diagram. The colour coding the team used will help to identify the system element the cards belong to.
 - To which system element do most of the challenge cards at the bottom of the diagram belong to, i.e., the root causes?
 - To which system element do most of the cards at the top of the diagram belong to, i.e., the effects?
 - What role does each system element play in creating blockages in the system, etc.?
 - Does the cause and effect diagram correspond with/reflect the scores in the ALESBA scoring table? For example, the system element that causes the majority of blockages or root causes will typically also have one of the lowest scores in the ALESBA scoring table.

An example of a cause and effect diagram appears in the appendix section of the booklet. To complete and agree upon a comprehensive cause and effect diagram may take one to two days, including debate and discussion among team members.

3) Explore the relationships between specific system blockages for deeper understanding

From the cause and effect diagram and the ALESBA scoring table, it may be clear that certain system elements and/or building blocks are more problematic than others and may require further and deeper analysis. Different tools can be used to dig deeper and find the root causes for these patterns/challenges within the system and the behaviour of the actors in charge.

For example, if ALE is supposed to be an integrated programme with different components such as functional adult literacy, livelihood skills training, business skills training, etc. but these components are not delivered and/or not facilitated with a learning methodology that promotes integration between the components, the team can use additional tools to analyse these phenomena. Two examples of such tools are briefly explained below,

but ALESBA partners and facilitators, as well as consultants assisting in the process, are encouraged to use a variety of visual, participatory tools from PRA, Reflect, and tools within the fields of Organisational Development, project management, etc.

Integration Matrix

Considering the intersectoral nature of ALE and that learners often need a combination of ALE services delivered in an integrated manner, it is important to understand to what extent the ALE system makes provision for integration at different levels. The Integration Matrix is a useful tool to analyse to what extent integration occurs at different levels and within system building blocks. It can be modified as per practitioners needs and interests, exchanging the ALE components, etc.

ALE Component Level of integration	Functional Adult Literacy	Livelihood skills training	Business skills training
Policy/strategy			
Programme design			
Institutional arrangements			
M&E			
Impact			

The team will analyse the extent integration between the ALE components is happening at each level and explain the strengths and weaknesses of the system with necessary recommendations.

Force Field Analysis

Force Field Analysis is a useful tool to analyse any challenge within the ALE system. In its simplest form, it looks at a specific objective that should be achieved and which forces assist to achieve that objective and which forces hinder the achievement of the objective. E.g., if the objective is about accountability as a system building block, the ALESBA partners can analyse which forces assist to keep experts/managers accountable to conduct ALE tasks and duties (e.g., reporting system, etc.), and which forces hinder accountability, e.g., these may be found in

the sphere of 'political economy' described earlier, where an organisational culture developed which does not promote accountability. The ALE system assessment would have presented some of these findings, but during the diagnostic phase, the expert team may have to dig deeper and ask questions to identify the root cause of this phenomena. The exercise can be conducted with cards where experts brainstorm the forces that contribute towards the objective (defined and written on a card) and the forces that hinder achievement.

All the tools and processes of the diagnostic workshop(s)/meetings should be well documented for presentation to the larger group of ALESBA partners, including senior management and for further use in Phase Three of ALESBA.

2.5 CONCLUSION AND THE NEXT STEPS

Phase Two (Part One and Two) of the ALESBA can produce:

- A detailed narrative description of the current status of the ALE system for each building block and element within the ALESBA conceptual framework (as per the peer review – supply-side).
- Scores for each system building block, element and the system as a whole through the ALESBA scoring tool.
- Identification of system blockages and challenges and their location within the service delivery chain of the system.
- Analysis of the root causes of the system blockages and how these are related across the system elements.
- In-depth analysis and understanding of specific blockages that may produce more challenges and risks for system functioning.
- A detailed report on the interests and needs of ALE learners (demand-side) which will be used in Phase Three.

By the end of Phase Two, ALESBA partners should have reports available on the current status of the ALE system as seen from the supply-side with both a narrative description (qualitative) and completed scoring tables (quantitative assessment). They should also have a report on the analysis and diagnosis of the system as described in Part Two of

this booklet. This report is the main source for proceeding to Phase Three during which ALESBA partners will consider alternative options and leverage points to design a new improved system that can be tested before up-scaling. To proceed to Phase Three a demand assessment report on the interests and needs of the ALE learners should also be ready.

The text of the booklet refers to different examples of tools and completed formats to ensure the tools

and processes explained in Phase Two are clear and user friendly. These are presented below.

Information Matrix

An information matrix is a useful tool to plan a participatory appraisal such as a demand assessment, but it can be used for the design of any research, evaluation and peer review. The table below provides an entry point for a more detailed research design and also can be used to compile a fieldwork schedule. Experts should decide which core topics they need information on. The main research

questions will inform the key topics. Within each topic, different sub-sections/questions need information, which can be collected from different sources with various data collection tools and techniques. Furthermore, decisions need to be made regarding which geographical area, organisation, etc., these data will be collected and when this will be done during the fieldwork schedule.

Topic	Info to collect	Source	How/Tool	Where/location	When
Existing ALE learners' perceptions on:	<ul style="list-style-type: none"> Quality of classes Accessibility Relevance Further Interests/Needs 	Primary data: ALE learners	Focus group discussion	Districts A and B, in Region X	Monday
			Mapping		
		Secondary data: Attendance sheets, learner assessments, etc.	Document review and analysis		Tuesday
ALE facilitators					
Etc.					

Example of a Peer Review Training Programme to conduct ALE system assessment (Supply-Side)

Day →	Day One	Day Two	Day Three	Day Four
Session ↓				
08h30 – 10h30	<ul style="list-style-type: none"> Welcome Introductions Expectations Objectives W/shop Programme Background to peer review (rationale, objectives, etc.) Agreement on ALE scope 	<ul style="list-style-type: none"> Introduction of peer review: rationale, objectives, methodology, principles Research design for peer review 	Technical processes: Research questions & tools – refine and contextualise	<ul style="list-style-type: none"> Revision of ALESBA and peer review methodology: questions for clarity, etc.
10h30 – 11h00	Tea/Coffee Break			
11h00 – 13h00	Presentation on ALESBA: (principles, conceptual framework, system elements & building blocks, etc.)	Enabling environment: Research questions & tools – refine and contextualise for country and each level of governance	Management processes: Research questions & tools- refine and contextualise	<ul style="list-style-type: none"> Team members: Roles & responsibility Fieldwork and logistical arrangements
13h00 – 14h00	Lunch			
14h00 – 16h00	<ul style="list-style-type: none"> Group Exercise on ALESBA (to test understanding) Plenary presentation & discussion 	Institutional arrangements: Research questions & tools – refine and contextualise...	Document & reporting framework: Explanation & application	Smaller teams in peer review teams – prepare for fieldwork.
16h00 – 16h30	Tea/Coffee Break and End of Day			

Appendices

Example of a Peer Review Fieldwork Programme for ALE system assessment (supply-side)

The fieldwork schedule is an example from Ethiopia for smaller peer review teams with six members each to conduct studies in regions/provinces. It shows a

completed peer review up to the point of sharing the findings with national stakeholders and finalising the reports by consultants.

Day/Date	Activity
14 –17 November	All teams attend peer review training in Addis Ababa
18 November (Sunday)	All teams travel to responsible regions Prepare for interviews and data collection with regional bureaus
19 Nov. Monday	Data collection at regional education and other regional sector offices related to IFAE and CLCs.
20 Nov. Tuesday	Write-up and discussion on regional data collection Travel to woreda/district town for remaining data collection period
21 Nov. Wednesday	Prepare for woreda/district data collection Meet with zonal representatives and collect data (if applicable)
22 Nov. Thursday	Collect data in woreda/district 1
23 Nov. Friday	Write-up of data collected in woreda/district 1 Analysis and discussion, prepare for woreda 2
24 –25 Nov. Saturday & Sunday	Review secondary data collected during woreda visits, discussion, analysis, triangulation and incorporate in design of remaining research and report
26 Nov. Monday	Data collection woreda/district 2
27 Nov. Tuesday	Write-up and analysis of data collection woreda/district 2 Prepare for workshop with 5 woredas and region
28 Nov. Wednesday	Mini-workshop with 5 woredas/districts and zonal, regional representatives (2 targeted/visited and 3 additional neighbouring woredas/districts)
29 Nov. Thursday	Write-up of workshop data collected, final analysis and agreement about the regional report.
30 Nov. Friday	Travel to Addis Ababa
1 Dec. Saturday	Final travel to regional/woreda homes
3 –7 Dec. (week)	Consultants write up one integrated report, analysing trends, patterns, etc. Consultants – One-day Meeting with MoE re federal level input Consultants submit a first draft on 7 December 2018
16 Dec. Sunday	Peer review team members travel to Addis Ababa
17 Dec. Monday	Prepare for Symposium with consultants and MoE/DVV team members
18 –20 Dec. Tuesday –Thursday	Three-day symposium on Adult Education System Building: Addis Ababa
21 Dec. Friday	Consultants meet for final analysis and recommendations (including DVV staff)
24 –26 December (3 days)	Consultants write up final symposium report Consultants finalise peer review report incorporating key issues emerging from symposium, comments from DVV/MoE and recommendations, etc. Report deadline 26 December 2018



Example of a completed ALESBA Scoring Table

ALESBA Scoring Template (Belete, 2018)

Province/Region/Country: _____

Date of Scoring: _____

System Building Block	Indicator	Score	Actual Score
Enabling Environment Total Score:		25	7
A policy that addresses the ever-changing needs of learners in a participatory manner with a financing mechanism and well-defined roles of stakeholders.	There is no policy.	0	
	ALE is captured in other policies, e.g., general education.	1	1
	There is a specific policy for ALE.	2	
	The policy has an integrated nature regarding different sectors/ALE components.	3	
	The policy has been formulated with the involvement of different stakeholders.	4	
	The policy as described above makes provision for the interests of learners and has a financing/implementation mechanism.	5	
A Strategy that captures the definition and focus of ALE and contributes to policy implementation at all levels of implementation	There is no strategy.	0	
	There is an ALE Strategy.	1	
	The Strategy focuses on one aspect, e.g., adult literacy.	2	
	The Strategy incorporates multiple components of ALE, e.g., skills training, etc.	3	3
	The Strategy is up to date, based on the scope & definition of ALE and is structured to ensure the roll-out of the ALE policy at all implementation levels.	4	
	The Strategy (described above) is adopted and adapted for implementation at all levels (localised).	5	
The existence of clear ALE Programme Implementation Guidelines for all stakeholders/role-players based on the definition & focus of the ALE programme.	There are no guidelines.	0	
	There are fragmented programme implementation guidelines in different documents.	1	1
	A well-structured programme implementation guideline(s) exists, based on a well-defined ALE education methodology, with clear implementation steps, a reference to training manuals, etc.	2	
	The programme implementation guidelines as described above include the roles/responsibilities of all stakeholders based on the scope & definition of the ALE programme.	3	
	The programme implementation guidelines (described above) are disseminated to all stakeholders at all levels of implementation.	4	
	The programme implementation guidelines (described above) are used by all stakeholders towards quality programme implementation.	5	
A qualifications framework that addresses minimum competencies, curriculum assessment, equivalence and transfer directives.	There is no qualifications framework.	0	
	There are other forms of transfer directives.	1	1
	There are efforts towards establishing a qualifications framework.	2	
	There is a qualifications framework.	3	
	The qualifications framework incorporates adult learning and non-formal education.	4	
	The qualifications framework is functional/provides entry points for graduates of different ALE programmes.	5	
Existence of an enabling legal framework for the implementation of ALE programmes.	There is no legal framework.	0	
	There are laws related to education and other forms of non-formal education—but not ALE specifically.	1	1
	There are efforts towards formulating laws for ALE.	2	
	There are laws/legal frameworks for ALE but they are not enforced.	3	
	There are laws/legal frameworks for ALE that is enforced.	4	
	A legal framework/law for ALE exists, is enforced and provides rights for adult learners with options to claim their rights.	5	

Appendices

System Building Block	Indicator	Score	Actual Score
Institutional Arrangements Total Score:		25	10
Existence of effective ALE institutional implementation structure (considering the responsibilities of primary duty bearers for ALE).	There is no institutional implementation structure for ALE.	0	
	There is an informal implementation structure for ALE.	1	
	There is a formally acknowledged implementation structure for ALE.	2	2
	The ALE Implementation structure cuts across all tiers of governance with clear mandates and job descriptions at each level.	3	
	The ALE implementation structure incorporates other sectors responsible for different ALE components (e.g., skills training) at all tiers of governance.	4	
	The ALE implementation structure is formally acknowledged cuts across sectors and tiers of governance and make provision for the roles of different stakeholders with clear mandates, roles and responsibilities.	5	
Sufficient and qualified human resources available to implement the ALE programme at all levels of implementation.	There are no allocated human resources for ALE.	0	
	Human resources for ALE allocated on ad hoc basis or part-time basis.	1	
	Human resources are made available for ALE but not in sufficient numbers.	2	2
	There are sufficient human resources allocated for ALE implementation.	3	
	Sufficient ALE human resources have the necessary ALE related qualifications and experience at all levels of implementation.	4	
	Sufficient ALE human resources have the necessary ALE & related qualifications and experience at all levels of implementation and the positions have been institutionalised by the responsible body.	5	
Leadership & management that gives direction, mandate and instruction related to the implementation of the ALE programme.	No leadership/management direction for ALE implementation.	0	
	Leadership/management in responsible ministry/sector aware of ALE programme strategies/plans/directives.	1	
	Leadership/management in responsible ministry/sector delegate tasks and responsibilities related to ALE to responsible personnel at different implementation levels.	2	2
	Leadership/management inform related ALE sectors and stakeholders about responsibilities in ALE programme, strategies, plans.	3	
	Leadership/management translates ALE strategies and long-term plans into operational plans and tasks with time, responsibilities and resource/budget allocation.	4	
	Leadership/management gives direction, tasks, mandate to responsible ALE personnel, sectors and stakeholders and follow-up on execution and objectives met.	5	
Accountability mechanisms and procedures related to the allocation of responsibilities and follow-up on tasks completed up to the expected result.	No accountability mechanisms and procedures exist.	0	
	Informal accountability mechanism exists.	1	
	Formal accountability mechanism exists.	2	2
	Formal accountability mechanism exists with necessary formats and guidelines.	3	
	Formal accountability mechanism as described above is implemented and steps are taken for poor performance.	4	
	Formal accountability mechanism as described above is implemented and civil society actors can hold government accountable.	5	
Existence of effective partnership and networking structures between government and different non-state actors for the implementation of ALE and delivering services.	No partnership/networking structures with non-state actors exist.	0	
	Informal/ad hoc networking and partnership structures with non-state actors exist.	1	
	Formal networking and partnership structures with non-state actors exist.	2	2
	Formal networking & partnership structures with non-state actors exist and meet regularly.	3	
	Formal networking & partnership structures with non-state actors exist, meet regularly and implement agreed-upon agendas/meet objectives.	4	
	Formal networking & partnership structures with non-state actors exist, is functional and their contributions are incorporated in national/regional/district plans and MIS.	5	

System Building Block	Indicator	Score	Actual Score
Management Processes Total Score:		25	10
Regular planning in a participatory manner to achieve objectives and milestones. This includes strategic planning, annual planning, etc.	No planning for ALE takes place.	0	
	Informal planning exercises for ALE take place periodically.	1	
	Regular planning, e.g., on annual basis for ALE takes places by primary duty bearers.	2	2
	Regular planning on at least annual basis for ALE takes places by primary duty bearers with other relevant sectors and stakeholders.	3	
	Regular strategic (e.g., 5-year plans) and annual planning events for ALE take place involving all relevant stakeholders and sectors and levels of implementation.	4	
	Strategic plans for ALE are adopted and adapted at all levels of implementation through annual plans and monitored by all stakeholders.	5	
Existence of appropriate and sufficient budget and resource allocation.	No budget allocation for ALE by primary duty bearers.	0	
	Ad hoc budget allocation for ALE takes place by primary duty bearers.	1	
	Annual budget allocation for ALE takes place in responsible ministry/sector (primary duty bearer).	2	2
	Budget allocation for ALE takes place across sectors as per definition and scope of ALE in the country (involving all key primary duty bearers).	3	
	Sufficient budget and resource allocation for ALE take place covering all required budget elements at all levels of implementation, including budget required by non-state actors for complimentary/parallel service delivery.	4	
	Sufficient budget and resource allocation for ALE take place covering all required budget elements at all levels of implementation. It meets national commitments and percentages and/or international benchmarks for ALE.	5	
Monitoring and Evaluation (M&E) system that collects and analyse data and information on a regular basis.	No M&E system exists.	0	
	Informal M&E system exists at different levels of implementation.	1	
	Formal M&E system exists at all levels of implementation.	2	2
	Formal M&E system that incorporates all sectors related to ALE exists at all levels of implementation.	3	
	Formal M&E system as described above exists and is functional (collects data on time, etc.)	4	
	Formal, integrated, functional M&E system exists that collects and analysis data for programme use/improvement and is connected to functioning MIS.	5	
Management Information System (MIS) that stores and allows access to information to track programme progress.	No MIS exists.	0	
	Informal MIS exists in a responsible ministry/sector.	1	
	MIS exists with limited provision for ALE (e.g., primarily for general education).	2	2
	MIS for ALE exists across all sectors/tiers of governance related to the scope of ALE programme.	3	
	MIS exists as described above and incorporates other ALE stakeholders' data/ contributions to the sector.	4	
	MIS for ALE exists as described above with fully responsible unit/personnel.	5	
Coordination processes for internal and external communication and cooperation within and between institutions.	No coordination process for ALE takes place.	0	
	Informal coordination process takes place within a responsible duty bearer, e.g., ministry/sector.	1	
	Formal coordination process takes place within a responsible ministry/sector for ALE with scheduled meetings and events/processes.	2	2
	Formal coordination process takes place within a responsible duty bearer as well as with other sectors as per the scope of ALE in the country (cross-sectoral coordination).	3	
	Formal coordination process as described above takes place across sectors and levels of governance with scheduled meetings, events and processes (e.g., joint planning, M&E).	4	
	Formal coordination process as described above takes place including non-state actors and the networking structures formed to engage them with regular meetings and outcomes.	5	

Appendices

System Building Block	Indicator	Score	Actual Score
Technical Processes Total Score:		25	10
Localised curricula that take into consideration the needs and interests of learners.	No curricula for ALE exist.	0	
	Informal curricula for ALE exist.	1	
	National Curriculum Frameworks for ALE exist.	2	
	National Curriculum Frameworks for ALE exist with options to localise contents to suit the context of learners.	3	3
	National and/or local/localised curricula exist as described above, involving different sectors and stakeholders' contributions as per the scope of ALE.	4	
	National and local/localised curricula exist, as described above, and are updated from time to time to take into consideration the needs and interests of learners.	5	
Clear ALE programme design & methodology to meet the needs of the learners. (Includes specified programme components and facilitation/learning process/cycle)	Absence of ALE programme design and methodology.	0	
	General description of ALE programme design and methodology in various documents exists.	1	
	General description of ALE programme design and methodology exists in an official document.	2	
	Description of ALE programme design and methodology exists in an official document with a clear overview of all components, e.g., adult literacy, non-formal skills training, etc.	3	3
	Description of ALE programme design and methodology exists with a clear overview of all components, and details on the facilitation methodology/learning process in learners' groups (e.g., FAL, Reflect, etc.)	4	
	Description of ALE programme design and methodology exists as described above, and disseminated to all implementing stakeholders with necessary manuals to train and facilitate ALE classes.	5	
Capacity development at all implementation levels. (ToT, ToF, etc.)	No capacity development takes place.	0	
	Ad hoc capacity development takes place for different levels of implementation.	1	1
	Scheduled capacity development takes place for all levels and sectors of implementation.	2	
	Capacity development as described above includes pre-service training, ToT, ToF & other forms of in-service training for ALE experts and system managers working at different levels of implementation.	3	
	Capacity development as described above takes place covering key ALE topics and higher education institutions offer ALE as a subject (andragogy).	4	
	A well-documented capacity building strategy for the ALE sector exists taking into consideration all of the above to professionalise the sector.	5	
Development of all types of materials needed to implement an ALE programme.	No material development and production take place.	0	
	Ad hoc material development for ALE takes place occasionally.	1	
	Material development for selected aspects of the ALE programme takes place.	2	2
	Material development for all aspects of the ALE programme takes place, including ToT/ToF manuals, supplementary reading materials for learners, etc.	3	
	Material development for all aspects of ALE programme as described above takes place and involves expertise from different sectors and stakeholders as per the scope of ALE in the country.	4	
	Materials as described above are regularly updated, remain relevant and are disseminated to and used by all ALE stakeholders.	5	
Regular learner assessments that are conducted to track the progress of learners and to feed into the M&E system.	No learner assessments take place.	0	
	Occasional and informal learner assessments take place.	1	1
	Regularly scheduled learner assessments take place.	2	
	Regular learner assessments take place on adult literacy using LAMP and Numeracy scales or similar tools.	3	
	Regular learners' assessments take place for adult literacy (LAMP/Numeracy scales) as well as measuring outcomes of other aspects of ALE programme, e.g., life skills, business skills, etc.	4	
	Learner assessments as described above (in 4) are recorded in M&E and MIS system and analysed to measure programme outcomes and impact.	5	
Total ALE System Score:		100	37

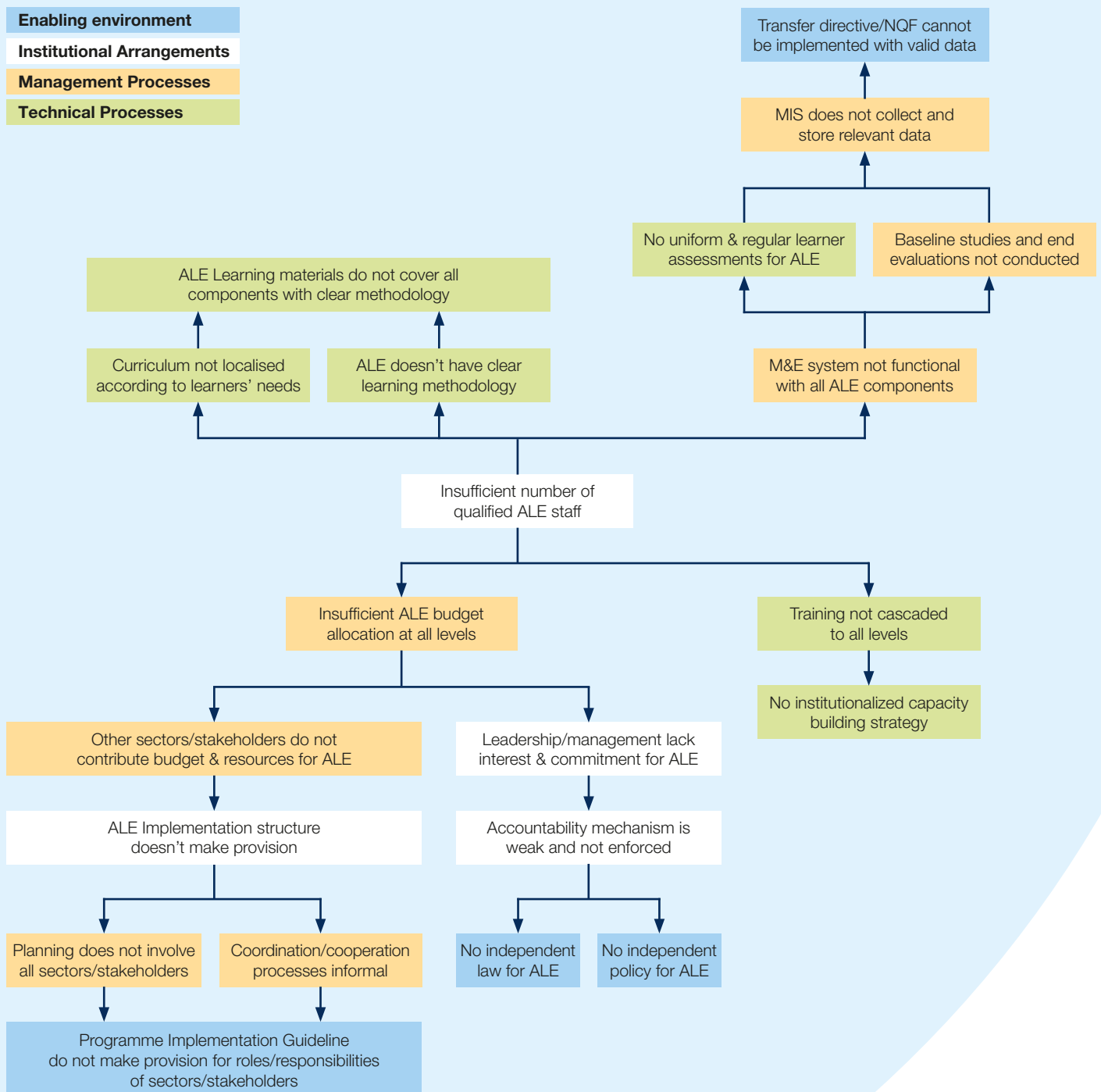
The scores in each element indicate which element is weaker than others. In the below example the scores are low in all elements, but in particular in the enabling environment.

During further analysis, it may be discovered for example that the lack of direction, guidelines and frameworks for implementation impacts on all the other system elements.

Example of a Cause and Effect Diagram

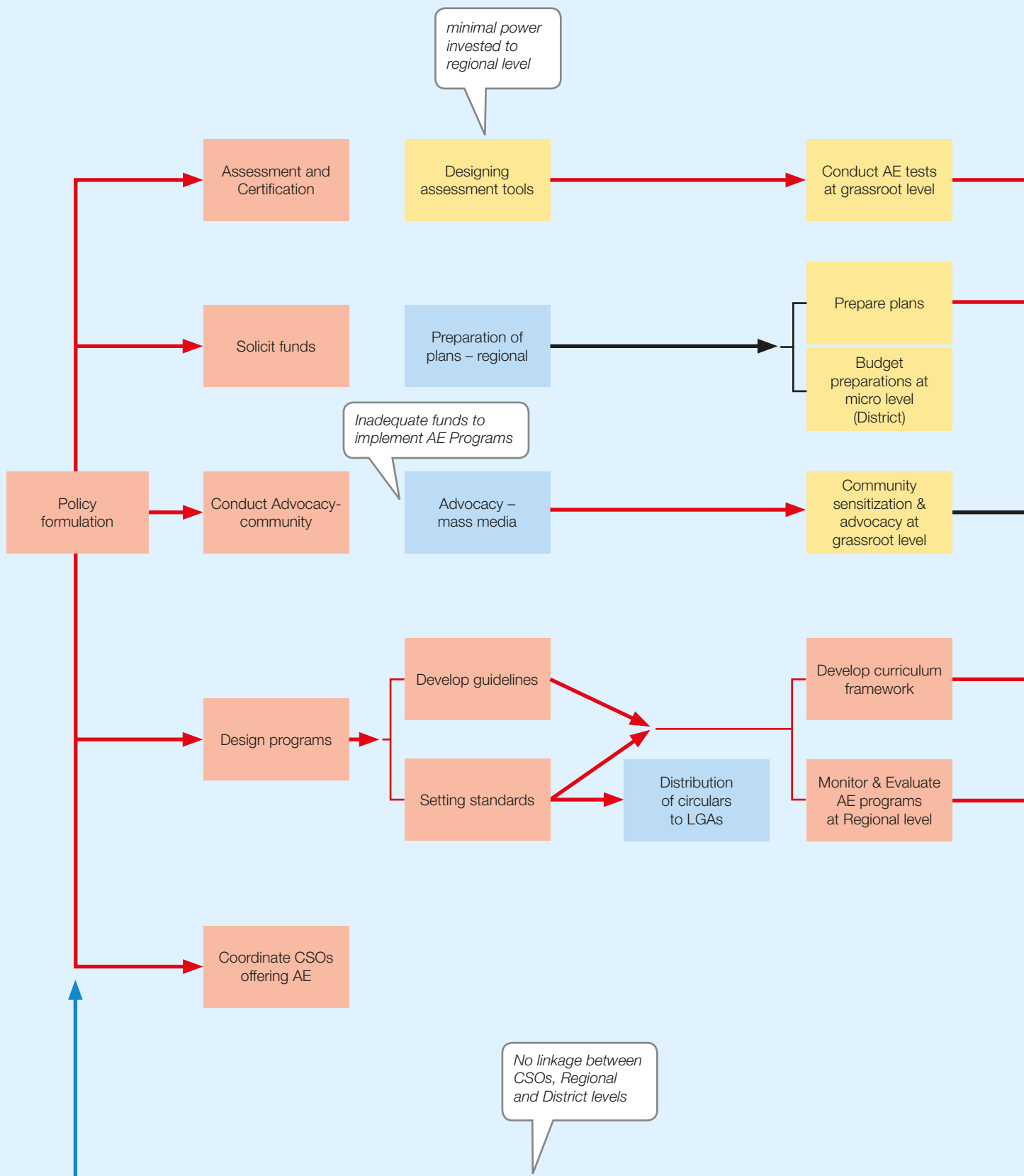
Key:

- Enabling environment**
- Institutional Arrangements**
- Management Processes**
- Technical Processes**

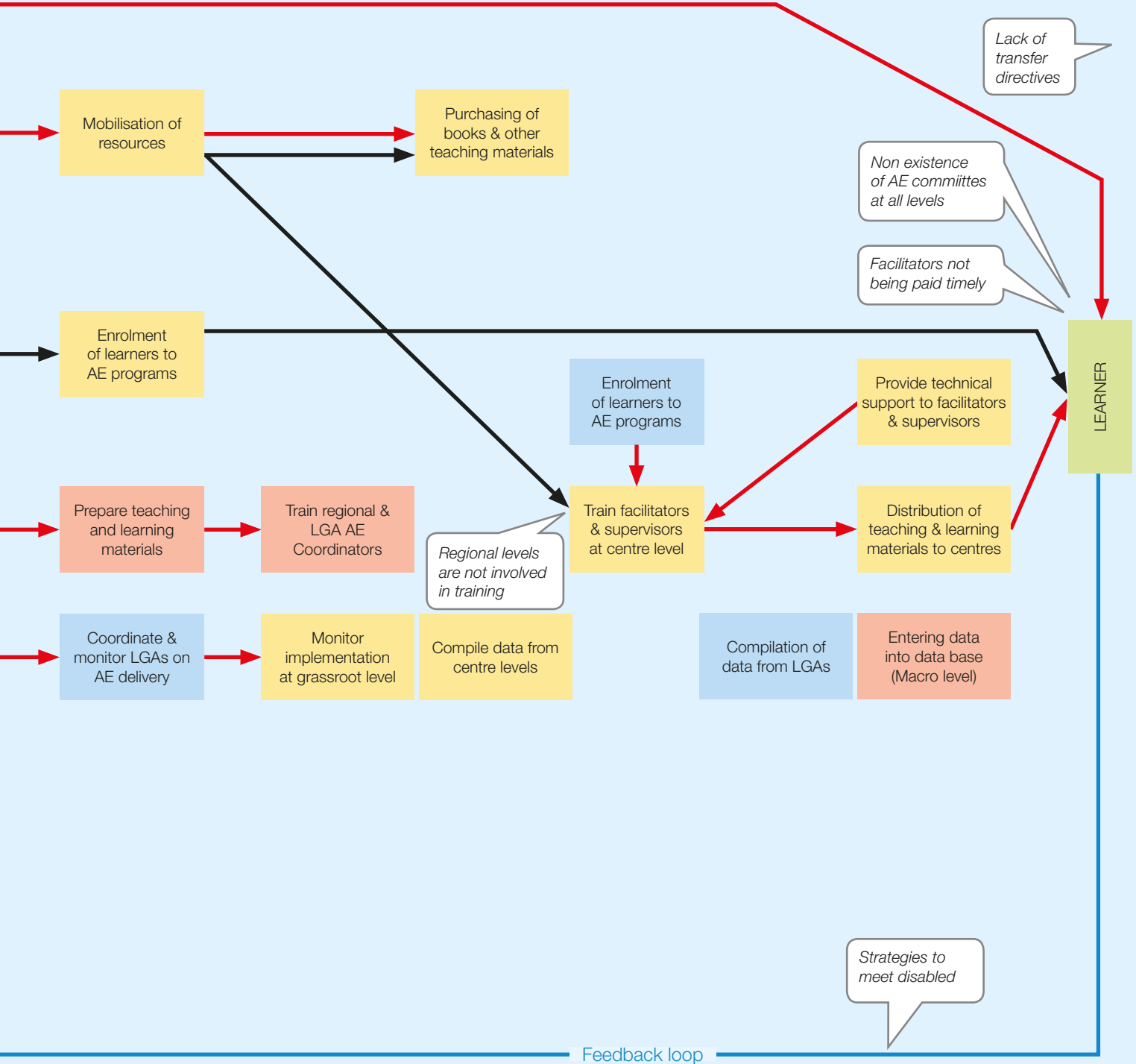


Appendices

Example of a Process Map/Service Delivery Chain



Adult Education Service Delivery Process Map – Example



Glossary

The ALESBA toolkit acknowledges and refers to ALE terminology in the following publications:

- Towards an operational definition of Lifelong Learning:
UIL Working Papers No.1 (UNESCO Institute for Lifelong Learning, 2015)
- European Adult Learning Glossary, Level 2:
Study on European Terminology in Adult Learning for a common language and common understanding and monitoring of the sector
(National Research and Development Centre for adult literacy and numeracy, 2008)
- Terminology of European education and training policy:
A selection of 130 key terms (second edition)
(European Centre for the Development of Vocational Training, 2014)

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Adult Education System Building Approach: Assessment of the current status of the adult education system in Ethiopia – Peer Review Guideline.
Addis Ababa: DVV International.

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Pretoria: Van Schaik Publishers.

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Assessment of the current status of the Adult Education System in Ethiopia.
Addis Ababa: DVV International Ethiopia Country Office.

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Luxemburg: Publications Office of the European Union.

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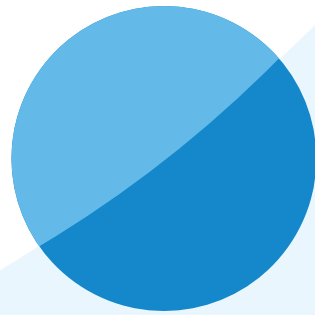
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Towards an operational definition of Lifelong Learning).
Hamburg: UNESCO.







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DVW International

DVW International is the Institute for International Cooperation of the Deutscher Volkshochschul-Verband e.V. (DVV), the German Adult Education Association. DVV represents the interests of the approximately 900 adult education centres (Volkshochschulen) and their state associations, the largest further education providers in Germany. As the leading professional organisation in the field of adult education and development cooperation, DVW International has committed itself to support lifelong learning for more than 50 years. DVW International provides worldwide support for the establishment and development of sustainable adult education structures and systems for youth and adult learning and education. To achieve this, DVW International co-operates with civil society, government and academic partners in more than 30 countries in Africa, Asia, Latin America and Europe. DVW International finances its work through funds from the Federal Ministry for Economic Cooperation and Development (BMZ), the German Federal Foreign Office, the European Union as well as other donors.

The Adult Learning and Education System Building Approach (ALESBA) is a product of DVW International that can assist countries in building sustainable Adult Learning and Education (ALE) systems that can deliver a variety of ALE services to youth and adults. The ALESBA toolkit covers the conceptual framework of the approach with guidelines and practical tools to implement the approach across five phases.

The toolkit consists of the following books:

1. Introduction to the Approach and Toolkit
2. Phase One – Consensus Building
3. Phase Two – Assessment and Diagnosis
4. Phase Three – Alternatives Analysis and Design
5. Phase Four – Implement and Test
6. Phase Five – Review, Adjust and Up-scale

For further information visit:

www.mojaafrica.net
www.dvw-international.de/en/ale-toolbox