DVV International

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Adult Learning & Education – System Building Approach (ALESBA)

Toolkit for Implementation

Introduction to the Approach and Toolkit

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Adult Learning & Education – System Building Approach (ALESBA)

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Sonja Belete

Foreword

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.

DVV 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, DVV 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 an approach, which can guide stakeholders in the complex task of system building, at the same time it 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

AEC ..... Adult Education Centre(s)
ALE ..... Adult Learning and Education
ALESBA ..... Adult Learning and Education System Building Approach
BFA ..... Belem Framework for Action
CBOs ..... Community Based Organisations
CG ..... Curriculum globALE
CI ..... Curriculum institutionALE
CSOs ..... Civil Society Organisation(s)
CLCs ..... Community Learning Center(s)
CONFINTEA ..... World Conferences on Adult Education
ESDP ..... Education Sector Development Plan
FAL ..... Functional Adult Literacy
FDC ..... Folk Development Centre(s)
GRALE ..... Global Report on Adult Learning and Education
IALE ..... Institutions of Adult Education and Learning
ICT ..... Information and Communication Technology
IFAE ..... Integrated Functional Adult 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
OECD ..... Organisation for Economic Cooperation and Development
PRA ..... Participatory Rural Appraisal
RALE ..... Recommendation on Adult Learning and Education
REFLECT ..... Regenerated Freirean Literacy through Empowering Community Techniques
SBA ..... System Building Approach
SDG ..... Sustainable Development Goals
ToT ..... Training of Trainers
ToF ..... Training of Facilitators
TVET ..... Technical and Vocational Education and Training
UIL ..... UNESCO Institute for Lifelong Learning
VET ..... Vocational Education and Training
vhs ..... Volkshochschulen

INTRODUCTION TO THE APPROACH AND TOOLKIT

1. INTRODUCTION

"Unless we intervene, we will not learn what some of the essential dynamics of the system really are."

Kurt Lewin quoted by Schein (Schein, Vol 1, Number 1)

The critical role of Adult Education and Learning (ALE) in the development of society and poverty reduction has long been recognised. There can be no doubt that ALE is a key factor for both economic and social development, on top of having the dimension of being a human right. It can assist to foster active citizenship, strengthen personal growth and secure social inclusion, and therefore going far beyond achieving skills for employability. Adult Learning and Education is part of the lifelong learning cycle and is a diverse sector. It is more than adult literacy and includes a wide range of adult learning opportunities including non-formal skills training, business skills training, and livelihood skills training, etc. This complexity of the sector should challenge us to interact with these elements better and to strengthen them with hard facts (Süssmuth, 2009).

DVV International, as the leading professional organisation in the field of adult education and development cooperation, has committed itself to support lifelong learning for more than 50 years. As a globally acting professional organisation for ALE, DVV International, together with government and civil society partners, aims to build sustainable adult education systems to achieve optimised service delivery in youth and adult education. This needs a holistic approach which considers the adult education system as a whole with all its elements. In this context, DVV International has developed the Adult Learning and Education System Building Approach (ALESBA) over six years through an action-learning process in Ethiopia and Uganda.

Using tools and processes from adult education, systems theory, service delivery optimisation, governance, public administration, organisational development, and several participatory approaches, such as PRA and REFLECT, the approach grew organically by testing the tools and processes over time with government partners. As the East/Horn of Africa region started to pilot Community Learning Centres (CLCs) as places where a variety of adult education services could be delivered, these practical experiences fed into the development of the ALESBA.

The ALESBA aims to ensure that different forms of adult learning and education services are delivered to youth and adults through relevant and accessible modalities with the necessary programme quality. It acknowledges that to strengthen service delivery it is necessary to analyse the dimensions and actual process of delivery, and hence the whole Adult Learning and Education system. It identifies the core characteristics of the system and explores restructuring, business process engineering, and other mechanisms to address challenges from a holistic perspective, attempting to address causes rather than symptoms of the problem.

The conceptual framework of the ALESBA categorises the system into four major elements which are further divided into building blocks. The elements and building blocks are interconnected and interdependent with feedback loops. The conceptual framework acknowledges that the scope of adult learning and education systems has an integrated nature which considers services such as functional

adult literacy combined with non-formal skills training, etc., meaning 'horizontal integration'. These integrated services are understood to be delivered across the spheres of governance (macro-meso-micro) – 'vertical integration', meaning that links and feedback loops exist between each sphere/level of implementation.

The approach consists of five phases which can assist governments, civil society and other relevant actors to:

- **Build consensus** with all stakeholders of the adult education system in a particular country and define the scope of the system that needs improvement (Phase One – Consensus Building).
- **Assess the status of the system** in the context of the projects and programmes that form part of the country's adult learning and education system, determining which elements and building blocks of the system are in place and how well they function (Phase Two – Part One: Assessment).
- Further **assess the underlying causes of blockages** in the system through diagnostic studies (Phase Two – Part Two: Diagnosis).
- Search for the **best entry points to address system challenges** through alternative analysis and designing a new system (Phase Three – Alternatives Analysis and Design).
- Implement and **test the newly designed system** in selected areas over time (Phase Four – Implement and Test).
- Review the tested system, make the necessary adjustments and **up-scale for improved adult education service delivery.** (Phase Five – Review, Adjust and Up-scale).

The toolkit for the ALESBA intends to assist its users to:

- Become more familiar with the Adult Learning and Education System Building Approach and its conceptual framework, phases, elements and system building blocks.
- Define their role as stakeholders and identify which specific area of the ALE system they would like to address in their respective countries.
- Explore and use the methods and tools in each phase and to contextualise them.
- Contribute towards building an improved system for ALE service delivery.

Currently, the toolkit provides more in-depth information on Phases One and Two of the approach since Phases Three, Four and Five are still being tested through action-learning in the East/Horn of Africa region. However, the framework and selected tools for the last three phases are included in the toolkit. Considering that ALE system building can take years to complete, the toolkit will be updated once the tools in the last three phases have been used and tested.

The toolkit consists of a series of booklets that takes the user through the approach based on the different phases of implementation. The first booklet covers an introduction to the approach and the toolkit. It is an essential starting point for the remaining booklets which are arranged according to the phases of the approach. The following booklets are available in the toolkit:

- Introduction to the approach and toolkit
- Phase One – Consensus Building
- Phase Two – Assessment and Diagnosis
- Phase Three – Alternatives Analysis and Design
- Phase Four – Implement and Test
- Phase Five – Review, Adjust and Up-scale

The approach is intended for all ALE stakeholders interested in improving the systems in their countries. It is a living document and tools and experiences can be shared by all users across countries. The toolkit links with other DVV International products such as Curriculum globALE and Curriculum institutionALE.

The contents of the first booklet give the user an overview of the approach. The explanation of concepts and processes are deepened in the remaining booklets, as per each phase of the approach. Therefore, the first booklet provides background regarding the rationale for the approach and how it was developed. It sets out the underlying principles which form the foundation for understanding the approach. The theoretical underpinning and comparison with similar approaches help to position the ALESBA within the discourse and practice of ALE. The booklet also provides an overview of the conceptual framework and phases of the approach, the roles and responsibilities of different stakeholders, and the scope and context within which the approach can be used. It concludes with implications for organisations interested in using the approach and guidelines for using the toolkit.

2. BACKGROUND AND RATIONALE

"All forms of learning and change starts with some form of dissatisfaction or frustration."

Kurt Lewin as quoted by: (Schein, Vol 1, Number 1)

According to UNESCO's 4th Global Report on Adult Learning and Education (GRALE 4), in almost one-third of countries, less than five percent of adults aged 15 and above participate in education and learning programmes. Although some countries could report progress, it is evident that in many places in the world adult learning is not where it needs to be. The following challenges remain (UNESCO Institute for Lifelong Learning, 2019):

- Insufficient participation of marginalised and vulnerable groups, particularly those deprived of access to lifelong learning opportunities. This directly impacts the livelihood and life skills they need to navigate in an increasingly complex world.
- Poor data collection and monitoring and evaluation systems mean we do not know who is participating, what the quality of the programmes are and therefore, what changes and improvements are needed.
- Although many countries have formulated and approved new ALE policies, these are often not rolled out nationally with the necessary governance systems to support implementation.
- Funding for ALE remains inadequate in most countries.

The Africa continent in particular is challenged by the educational and livelihood needs of its rapidly growing population. Even after decades of sustained efforts to eradicate adult illiteracy, the rates remain high with gender and urban/rural disparities. The remarkable growth in free universal primary education will hopefully alleviate this problem over time. However, the school drop-out rates continue to create groups of illiterate/semi-literate and unskilled/semi-skilled youth and adults with limited opportunities to improve their livelihoods.

The need to invest in adult learning and education remains. While the link between education and poverty reduction has long been understood, the political argument has not been won yet. There is still a lack of conceptual clarity about the wider ALE sector and how to integrate adult literacy with non-formal skills training, vocational and life skills, etc. Each set of actors emphasises differences in principles, purposes and practices rather than establishing connections and seeking cross-cutting alliances. The sector remains under-professionalised with poor employment conditions which ultimately impact the quality of education offered.

The DVV International East/Horn of Africa region and specifically the Ethiopia and Uganda country offices with their government partners started to ask questions such as:

- Despite national adult and non-formal education programmes, why do illiteracy and poverty rates remain high in most African countries?
- Why have the efforts of both government and NGOs not changed the statistics?
- How can we define and implement adult learning and education in an integrated manner?
- Why does the ALE system seem unable to deliver quality services to all target groups?
- What constitutes an ALE system? What are the components and how do they relate to each other?
- How do we measure progress in building an adult learning and education system?
- Which government sector offices, stakeholders and other role-players are involved and what are their roles and responsibilities?
- Does the current work of government, DVV International and other NGOs contribute to a sustainable system that can deliver services?
- What entry points should be used to build or improve an existing adult education system?
- What are the phases involved in building a sustainable adult education system over time?

Through a series of consultative workshops, processes and meetings, we realised that like many other stakeholders our efforts to support the more technical components of adult education are insufficient and do not address the root causes for poor ALE provision and service delivery. Having a policy and strategy in place do not guarantee quality and relevant service delivery to the target group. Training trainers and facilitators, developing new curricula and materials are important steps towards improving the quality of services. But they will have no impact unless an approved, well-staffed and funded governance structure exists that can roll out these services. It seems that existing efforts usually only address the symptoms of a poor functioning adult education system, rather than the root causes.

We realised that insufficient attention is given to adult learning and education as a holistic, integrated system. Information about policies, governance, financing, designing curricula, training materials and conducting training, as well as monitoring and evaluation can be found in the literature and reports on implementation. **What is missing is a comprehensive conceptual framework that ties all these elements together in a systematic manner for the sole purpose of delivering quality ALE services.** This led to the exploration of systems thinking and approaches to better understand what system should be in place and how it should function.

The complexity and cross-cutting nature of ALE provided an impetus for exploring different conceptual approaches and models.

This paradigm shift required the DVV International regional team and partners to step out of their adult education boxes and draw concepts and ideas from the fields of systems thinking, public administration, organisational development and governance. Gradually over time, a new approach to the work emerged organically, with lessons learnt every step of the way. This culminated in the development of the Adult Learning and Education System Building Approach (ALESBA), with the following objectives:

- To optimise adult learning and education services. Service delivery is the main purpose of a functioning system. The emphasis is on the community that needs the service.
- To provide a holistic, conceptual framework that can assist stakeholders to understand and build ALE systems systematically and sustainably throughout the different phases.

3. PROCESS AND METHODOLOGY IN DEVELOPING THE APPROACH

"You cannot understand a system until you try to change it."

Kurt Lewin as quoted by Schein (Schein, Vol 1, Number 1).

The process of developing the ALESBA commenced in 2014 and included a series of events, workshops, conferences and reflection opportunities, as well as the continuous work which was part of DVV International's project implementation in Ethiopia and Uganda. The experiences from both countries helped to test, feed into and develop different concepts and tools. As the East/Horn of Africa region started to share experiences with neighbouring Africa regions, the interest in the approach grew and led to an Africa training workshop on the Adult Learning and Education System Building Approach in 2019. The workshop inspired several African countries to take up the approach and provided an opportunity to further enrich the ALESBA with a diverse range of experiences and practical tools.

The methodology used to develop the approach is based on participatory action learning and research. Lessons learned from these events and programme/project implementation, coupled with research from the discourse in diverse fields such as Public Administration, Organisational Development and Adult Education, continue to inform the further development of the approach.

The term action research/learning refers to efforts by the practitioner to better understand what is happening in the learning and working environment. Although a variety of forms have evolved over the years, most of these approaches adopt a methodical, iterative approach which embraces problem identification, action planning, implementation, evaluation, and reflection. The learning experiences and insights gained from the initial cycle feed into the planning of the next cycle, with the action plan and implementation being modified as the process repeats itself. The process is also characterised by the empowerment of the participants, collaboration through participation, acquisition of skills and knowledge and ultimately a change in practice, and the environment, etc. Practitioners not only look for ways to improve their practice within the various constraints of the situation in which they are working, but they also become critical agents of change and make their learning process public (Cilliers, n.d.).

These characteristics and principles have been embraced in the process of developing the ALESBA. The original intent was to improve the ALE systems in the East/Horn of Africa region. But over time, as the learning and practice evolved, other benefits became visible and a comprehensive approach towards adult learning and education system building emerged. The approach and toolkit draw on both theory and practice. It does not aim to be an academic instrument, but rather a practical approach with methods and tools that can improve ALE service delivery.

4. UNDERLYING PRINCIPLES AND CONSIDERATIONS

At the heart of the ALESBA lies a series of underlying principles and considerations that influence the way the approach is understood and applied. These principles are interconnected and are briefly unpacked and explained below:

Rights-based approach to development and adult learning and education

The ALESBA describes ALE as a right and employs a right-based approach to ALE service delivery. Using a rights-based approach shifts how we conceptualise ALE and development, as well as how we address the challenges within the service delivery system. In calling something a human right, there is an immediate implication that all people have an equal right to that service and that someone has the duty to fulfil the right and can be held accountable for its delivery (Lindsey, 2006). Therefore, the ALESBA also refers to ALE services as opposed to ALE provision. Services have a stronger inclination to the duties of the state and civil society.

A rights-based approach differentiates between rights holders (individuals and groups with valid claims to ALE as a right) and duty bearers which include the state/government and non-state actors. The implication is that instead of a service being offered based upon availability, education is a guaranteed right which must be delivered by the duty bearers. (Avramovska, 2015).

The ALESBA acknowledges both state and non-state actors as duty bearers but considers the state as the primary duty bearer under national and international law. The rationale is that non-state actors, specifically civil society actors, do not always have the means to deliver services sustainably, particularly for large numbers of youth and adults in a country. The roles and responsibilities of these duty bearers may differ from country to country and should be unpacked in Phase One of the approach (Consensus Building) to determine which role each actor will play in ALE system building.

Integration

The design of ALE projects/programmes and services delivered by these interventions are frequently done in an integrated manner. For example, they may combine functional adult literacy with community development, and livelihoods skills training, etc. The integrated nature of the services often calls for the involvement of more than one sector's expertise– and therefore requires input from multiple government sectors and/or civil society/NGO actors. The cross-cutting nature of adult learning and education is acknowledged in the design and implementation of the ALESBA and referred to as 'horizontal integration' across sectors.

ALE service delivery may emanate from a national policy and/or strategy, but is ultimately delivered at local government level and in the community. This implies that service delivery has to be understood across the spheres or levels of a country's governance system. This is referred to as 'vertical integration' within the context of the ALESBA.

Micro-meso-macro

This terminology is aligned with DVV International's approach to project design but is also used by other actors. The macro level is understood to be the level where policies and strategies are formulated with the necessary guidelines, and budget allocations, etc. This usually plays out at a national level, depending on the governance structure of a country. The meso level refers to all kind of capacity building (within DVV International context) and most often the level where policies and strategies are translated into programme /project design to deliver services. This usually happens at relevant intermediary lower level governance structures, e.g., provincial, regional or district level. The micro level is understood to be the level where service delivery takes place and is the interface between the supply (service delivery) and demand-side (users of the service). This usually involves the lower levels of local government actors.

Evidence-based influencing

Pilot projects can often provide evidence that a new methodology or approach is successful, has impact and the potential to be up-scaled for larger target groups or geographical areas. They also have the potential to influence policy and strategy formulation. Based on experiences in the East/Horn of Africa region, the ALESBA adheres to this principle provided the following requirements are met:

- For evidence-based influencing to be successful, all stakeholders and role-players have to be engaged and participate from the beginning of a project, Not merely as observers at the conclusion of the project but as participants with roles and responsibilities during the project's implementation.
- An opportunity should be created for reflection and on the spot adjustments during the piloting/implementation phase.
- Communication and feedback loops should be created across sectors and levels of governance/implementation.
- Action-learning with critical reflection should be an integral part of the process.

Participation, partnership and ownership

Participation, partnership and ownership are key principles imbedded in the ALESBA. All stakeholders involved in the process of system building are participants and partners in the process. There are no observers or customers. In the spirit of participatory action-learning, the system building approach takes the form of collective, self-reflective inquiry undertaken by all stakeholders involved in all five phases of the approach. They conduct assessments in the form of peer reviews and learn through critical collaborative enquiry. They own the results of the system assessment and jointly analyse alternative options for the design and improvement of the system. Without this participation and ownership, finger-pointing and blaming occur, minimising the opportunity for a new collaborative approach to ALE system building. The use of consultants is minimised and they are rather assigned to facilitatory and support roles.

Unless stakeholders drive the system building process and assess systems themselves, the results are often not believable and they will struggle to participate in creative problem-solving. Stakeholders should be the change agents of the process.

Capacity building

All stakeholders have to be trained and oriented in the ALESBA with its underlying principles, conceptual understanding, tools and processes, to take responsibility for activities in each phase. The capacity building exercises help to promote ownership, participation and sustainability. Each phase of the approach requires different skills, and training should take place accordingly. The remaining booklets in the toolkit provide content and guidelines for this training.

Sustainability

The objective of ALE system building is to create a sustainable system that can deliver services. Sustainability can be measured at different levels by assessing the following issues:

- To what extent are policies, strategies and laws in place which guarantee the right to ALE services?
- To what extent are ALE services planned and budgeted for in national and sector development plans?
- Do the institutions responsible for ALE services have the human and institutional capacity to deliver services for all target groups over time?
- Are the services relevant, accessible and delivered with the necessary quality to have an impact and change the lives of adult learners?

5. POINTERS ON THEORY AND COMPARISON

"There is nothing so practical as a good theory"

Lewin quoted by Schein (Schein, Vol 1, Number 1).

Great potential lies in bringing the Adult Learning and Education System Building Approach (ALESBA) closer to the discourse which is taking place in other policy and theory arenas, especially when the discussion touches on adult learning and education (ALE) as a sub-sector of the education system and as a key component of lifelong learning (LLL).

In the age of globalisation and digitalisation, there is a need to ensure that education as a human right is seen from the perspective of LLL for all. This includes ALE for young people, adults and the elderly. In future, when LLL is increasingly recognised as a human right, ALE will emerge as an important component of this entitlement. (Dunbar, 2020). The national and international commitments made to date and the extent to which ALE has been recognised as a profession and academic discipline bear witness to the progress that has been made and the challenges that remain. The institutionalisation of ALE remains of key importance to ensure ALE can be claimed as a right.

Paradigm shift to LLL

According to UNESCO: "Lifelong learning is rooted in the integration of learning and living. It covers learning activities for people of all ages (children, young people, adults and older adults) in all life-wide contexts (families, schools, communities, and workplaces, etc.), and through a variety of modalities (formal, non-formal and informal) which together meet a wide range of learning needs and demands. Education systems that promote lifelong learning adopt a holistic and sector-wide approach involving all sub-sectors and levels of education to ensure the provision of learning opportunities for all individuals" (UIL, 2010).

This definition is in line with an important paradigm shift from education to learning that has taken place in the international policy arena in recent decades. In 1990 the *World Declaration on Education for All* was adopted in Jomtien (UNESCO, 1990). A decade later in 2000 the World Education Forum concluded with the *Dakar Framework for Action on Education for All* for the period 2000 – 2015 (UNESO, 2000). During the intervening period, the Organisation for Economic Cooperation and Development (OECD) published *Lifelong Learning for All* (OECD, 1996), and UNESCO released the Delors Commission report on *Learning: The Treasure Within* (Delors, 1996). When the World Bank published its new Education Strategy 2020 they called it *Learning for All. Investing in People's Knowledge and Skills to Promote Development* (World Bank, 2011).

The paradigm shift to LLL puts a new emphasis on strengthening ALE as a system and sub-sector of the education sphere. ALE can only be successfully carried out on a large scale if it has similar governance mechanisms and support structures to those in other sub-sectors of the education system, such as schooling, vocational or higher education. However, ALE also requires its own regulations, policy, legislation, and finance to function well in practice and to create and sustain opportunities for the education and learning of adults within all aspects of life and work.

ALE as core component of LLL

ALE is characterised by diversity in the scope, content, programmes, participants, governance, and structures. This variety is also reflected in lower levels of institutionalisation and professionalisation, depending on the historical and cultural developments in the countries or regions concerned. Even the terms used globally differ, and change over time, including the modes of formal, non-formal and informal learning (Rogers, 2014). This diversity is much wider than that of schools or universities, and closer to the diversity of forms of vocational education and training (VET). However, all these areas and fields of education, learning and training are part of LLL and should be seen as equally important sub-sectors of the education system. UNESCO defines ALE as: "A core component of lifelong learning. It comprises all forms of education and learning that aim to ensure that all adults participate in their societies and the world of work. It denotes the entire body of learning processes, formal, non-formal and informal, whereby those regarded as adults by the society in which they live, develop and enrich their capabilities for living and working, both in their own interests and those of their communities, organisations and societies. Adult learning and education involve sustained activities and processes of acquiring, recognising, exchanging, and adapting capabilities. Given that the boundaries of youth and adulthood are shifting in most cultures, in this context, the term 'adult' denotes all those who engage in adult learning and education, even if they have not reached the legal age of maturity" (UNESCO, 2015b).

Demographic changes show that more people are living longer. Technological changes require that our knowledge, competencies, and skills are continuously updated. Societal and cultural changes ask us to pay greater attention to attitudes, behaviour, and values from a lifelong perspective. Therefore, ALE would need to receive a greater level of attention, provision, and support within and beyond the

education system. The motivation, readiness and qualification for learning throughout life are best developed as early as possible. ALE can compensate for what was not learned earlier in life. But equally important are all the complementary learning opportunities during adult life. It seems appropriate to look at building bridges, overcoming barriers, enabling connectivity and joining-up not only within the education system but also with other relevant areas and sectors of life and work for the individual and society.

National and international commitments

Each country will have to find its own way of establishing an ALE system as a sub-sector within the national education system and its LLL orientation. However, all countries are part of the United Nations (UN) and members of UNESCO, both of which exert an influence on policy developments in the education field. In 1949 UNESCO initiated a series of World Conferences on Adult Education (CONFINTEA). In 1972, CONFINTEA III in Tokyo helped to define elements of ALE as a profession. Beyond the needs for governance structures through policy, legislation, and financing, suggestions for ALE administration and organisation, planning and curricula, materials and media were developed, and initial debates took place on the institutionalisation and professionalisation of the sector. In 2009, CONFINTEA VI saw member states adopt the Belem Framework for Action (BFA), which defined five key areas, including policy, governance, financing, participation, and quality, for regular monitoring by the UIL through the Global Report on Adult Learning and Education (GRALE) (UIL, 2010).

Looking at past achievements and challenges for the future, the World Education Forum, held in 2015 in Incheon, produced the Education 2030 Agenda, which in turn was fully integrated as Goal 4 into the 17 Sustainable Development Goals (SDG) by the UN Sustainable Development Summit to "ensure inclusive and equitable quality education and promote lifelong learning opportunities for all" (UNESCO, 2015a). The SDGs were agreed by all UN member states, and the implementation is part of national education planning as well as international cooperation. ALE was further codified in 2015 in the Recommendation on Adult Learning and Education (RALE) which was adopted at the General Conference by all UNESCO member states (UNESCO, 2015b). Governments have to do all they can to ensure fulfilment and enable implementation. Civil society can support, and at the same time hold their governments and international organisations accountable. RALE contains explicit and general notions for the processes of institutionalisation and professionalisation. However, the recommendations need adaptation for the diversity of contexts:

- "Creating or strengthening appropriate institutional structures, like community learning centres, for delivering adult learning and education and encouraging adults to use these as hubs for individual learning as well as community development.
- Developing appropriate content and modes of delivery, preferably using mother tongue as the language of instruction and adopting learner-centred pedagogy, supported by information and communication technology (ICT) and open educational resources.
- Improving training, capacity building, employment conditions and the professionalisation of adult educators" (UNESCO, 2015c, p. 4–5).

LLL, ALE and the informal sector

Youth and adults in the informal sector lack formal or non-formal LLL opportunities. ALE is still the poor cousin as a sub-sector of the education system. In too many countries ALE is not governed by robust policy, legislation and financing, especially for those suffering from marginalisation and who work in the informal sector. "The governance of, and policies concerned with, lifelong learning in the informal economy face a double and intertwined challenge due to the fragmented nature of a system covering lifelong and life-wide skills issues. This is compounded by the added challenge of trying to engage an informal context through governance and policy tools and approaches which are primarily formal. The very size of the informal economy – 2 billion people – and its heterogeneous nature, means that it exists in diverse contexts across different countries and regions" (Palmer, 2020, p. 50).

In attempting to present the ALESBA to the larger community of professionals in government, civil society or academia, it helps to make use of research findings looking at new forms of educational governance or public management. Here the state remains important on all levels, but not alone, and not only as a top-down model. In addition to hierarchical ways, the horizontal operations of networks or learning regions, of local communities within villages or learning cities are gaining ground. Other perspectives must be respected, for example, regarding educational governance where the state and market dichotomy is fading because of varieties of public-private-partnerships, which include significant roles for civil society and community-based initiatives.

ALE as a profession and academic discipline

Many countries have made arrangements for institutional settings and structures that can support community-based ALE. There is a wide range of community learning centres (CLC) with different names and functions, funded by local government or as voluntary associations. Larger companies have professional staff for the training and re-training of their workforce. Upgrading of competences and skills are also often outsourced to training institutions. Qualified and full-time staff work together with part-timers, and more training providers combine the analogue with the digital through blended learning. In countries where ALE is part of LLL and receives governmental support, increased and stable participation requires further professionalisation as a key area of intervention for the development of future ALE managers or facilitators. Some candidates have to be trained in the recognition, validation, and accreditation of prior learning, others need to be trained in monitoring and evaluation to ensure quality and to inform policy and outcomes. An important group includes those in ALE who want to upgrade their knowledge.

Higher education can help to prepare future adult educators. Many universities have Bachelor and Master Degree courses in education with a variety of focus, terms and specialisations, some provide opportunities for PhD qualifications, as well as comparative research and studies on ALE. It is desirable that such academic professionalisation of work in ALE with its wide range of practical fields, such as community development, literacy teaching, organisational or human resource development, international or comparative dimensions, has become a regular feature like the training of teachers or school managers. Such university degrees for adult educators would be important for future employment conditions. The research functions of the universities should be available for ALE and LLL with interdisciplinary perspectives and input, strengthening the potential as an academic discipline. For the time being, most of the research in education is related to schools or higher education. This is still the case in countries where there are more adults in ALE than youth in schools and universities. The same is true regarding the availability of data and statistics, which are always at hand for schools and higher education, but seldom collected and used for ALE.

ALE – professionalisation and institutionalisation

The ALESBA has the potential to analyse and place ALE within the education system as a sub-sector with strong educational governance, engaging instruments, and mechanisms that lead to institutionalisation and professionalisation. There is also guidelines and materials to promote ALE as a sub-sector. Curriculum globALE (CG) has been developed by DVV International and its partners for the training and re-training of practitioners in management, administration, and teaching (Avramovska, 2015). CG has been translated into more than ten languages and therefore is available for use in many contexts. More recently the Curriculum institutionALE (CI) has been added as a tool to analyse and further develop institutional requirements (Denys, 2020). Both curricula are important for the meso and micro levels, and through this are also supportive of the macro level.

Ultimately, the most important institutions for the adult learners and participants are those based within the community. Again, there are recommendations from the international level included in the SDGs: “Make learning spaces and environments for non-formal and adult learning and education widely available, including networks of community learning centres and spaces and provision for access to IT resources as essential elements of lifelong learning” (UNESCO, 2015a, p. 52) This points to the need to refine the forms of blended learning where institutions and digital learning options are developed in the interest of the learners.

At the same time, further clarification is required to understand the difference between the diverse range of local level institutions, such as adult education centres (AEC), community learning centres (CLC), folk development colleges (FDC), and now within the context of the CI, the suggestion to use institutions of adult learning and education (IALE). Approaches regarding the establishment of CLC in Ethiopia and Uganda have been reported on (DVV International East Africa Regional Office, 2020). During an international conference on AEC and CLC, participants agreed on key messages which could be applied in different contexts (DVV International, 2017 and Avramovska, 2015). At the meso level, the building and strengthening of ALE networks, associations or advisory councils are supportive. And in other countries, there are national institutions responsible for ALE research and development.

What can be learned from examples and experiences around the globe is that ALE is becoming a constitutional matter, and calling for further provision, through policies, legislation and finances, is of high importance to increase quality, participation, and to create equal opportunities for younger and older adults. For example in Germany policy, legislation and financing for education, including ALE, rests with the authority of the Länder (provinces or states). The local Volkshochschulen (vhs), or folk high schools, could be seen as the German equivalent of community learning centres (CLC). They are part of the governance structure of the city or village council. As such the vhs are part of the local LLL opportunities for adults (DVV International, 2011); (Hinzen, 2020).

6. ALESBA CONCEPTS, CONTEXT AND THE ROLES OF STAKEHOLDERS

This section of the guideline prepares the ground for introducing the ALESBA conceptual framework and phases in the process. It focuses on the following aspects:

- **The key concepts that are used and referred to within the approach.**
- **The scope and context within which the approach can be applied (e.g., adult literacy, and non-formal skills training, etc.)**
- **The stakeholders and role-players who will be involved in the process.**

6.1 Conceptual understanding

The following are key concepts that are regularly referred to and used in the ALESBA toolkit.

Youth and Adults

The definition and age demarcation of youth and adults differ from country to country and there is no universally accepted definition. For statistical purposes, the United Nations defines youth as those between 15-24 years of age. Some countries define youth as 18-30 years of age. The ALESBA targets the delivery of ALE services to both adults and youth from 15 years and above. The approach recognises that the diverse range of learner target groups may have different interests, needs and demands and that the design and implementation of services may have to be adjusted accordingly.

System (Building)

There are many definitions of a system, for example:

- A system is a set of various processes in which cause and effect relationships can be found.
- A system embraces a series of concepts or factors which are employed for meeting a need.
- Systems are comprised of inputs, processing, output, feedback and environment (Daryani, 2012).

A system is usually understood to be an entity that consists of different elements and processes which are interconnected and interdependent with feedback loops. Each element and process is needed to make up the complete system and fulfils its own role and function. In the context of an ALE system, all elements and processes needed to deliver ALE services are considered. The system relies on the specific definition of adult learning and education in a country's context and spans across sectors and tiers/levels of governance. ALE System Building would refer to the process of assessing and diagnosing the system and finding alternatives to redesign/improve the system, test the improved design, make adjustments and up-scale to reach a wider target group.

Systems Thinking and Approach

Systems thinking is an approach for studying and managing complex feedback systems. The essence of systems thinking is that it considers all the relationships within the system and with the external environment, to understand what is happening, and to use this information to seek to improve it. The approach acknowledges that all parts of a system are connected directly or indirectly. Once a change occurs in one part of the system, it will impact all other parts of the system (either positively or negatively).

The approach calls for constant adjustment and has implications for how institutions, processes, skills and actors are organised. It requires working across organisational boundaries and governance levels and addressing problems holistically. System approaches focus on outcomes, they require multiple actors within and across levels of government and other actors to work together.

Systems thinking allows us to more effectively examine the complexities we work with and to test the way we see problems. It enables us to find the root causes and see leverage points where modifications may be most meaningful. It involves a mindset change to focus on how the parts of the whole are interrelated as well as a set of tools to assists in improving the system. It takes a longer-term view of solving problems sustainably (CPS HR Consulting).

Governance

The concept of governance can be described as a government's ability to make and enforce rules, and to deliver services (Fukuyama, 2013). This definition aligns with the United Nations description of governance as the process of decision-making and the process by which decisions are implemented (or not implemented). Governance can be used in different contexts, such as corporate governance, international, national and local governance (Sheng).

Therefore, an analysis of governance focuses on the formal and informal actors involved in decision-making and implementation as well as the formal and informal structures that have been put in place to make and

implement decisions. Government is one of the main actors of governance, other actors can include NGOs, cooperatives, research institutions, and citizen groups, such as associations, etc.

Structure and Process

Structures and processes refer to organisational structures and the way they are organised, e.g., organograms, and hierarchies, etc. as well as internal cooperation and coordination structures, e.g., between different units (committees, and teams, etc.), and externally, e.g., between different government sectors and civil society role-players.

Therefore, a governance structure will refer to the multiple tiers of government, their responsibilities and resources, how they are structured, organised, work together and engage with other stakeholders to identify, implement and improve policy to achieve better outcomes for society (European Commission, 2017). The organisational structure is a reflection of the organisation's functions. Organisational functions refer to the various outputs or outcomes of the organisation's activities, e.g., its products and services.

Processes enable an institution to function. They are a range of activities linked to each other that turn inputs (people, information, and money, etc.), into outputs (services delivered) to meet policy and operational objectives. They are often complex, especially when they run across more than one organisation, or even various functions and units within the same organisation (European Commission, 2017).

Service Delivery

Public services (e.g., health, education, and welfare, etc.), can be understood as all interactions between governments and citizens whether provided directly or through an intermediary. Every country organises its public services according to its institutions, culture, needs and considering the boundaries between public and private service delivery (European Commission, 2017). It has become increasingly clear that governments alone cannot meet the continually growing demand for services by acting alone and they need to look for support from other sectors of society.

Different models exist and services can be delivered by the government directly, through public-private partnerships, or with the involvement of civil society, etc. It should be kept in mind that the government remains the primary duty-bearer and, no matter which model is followed, it remains primarily responsible for service delivery.

Therefore, ALE services would be services related to the education of youth and adults whether formal, informal or non-formal. It could include adult literacy classes, technical livelihood skills training, or business skills training, etc. It should consider the 'demand-side (needs and interests of the target group) and the 'supply-side', structures and processes of government and partnerships with other stakeholders to deliver the services.

Demand-Side

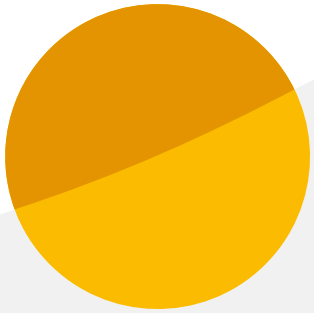
The 'demand-side' in public service delivery refers to the rights-holders. This implies citizens as individuals and groups that have a right to and need for the service. Their interests, needs and demands should be explored and acknowledged in designing and implementing services. They also should have an opportunity to interact with the service providers, and to comment on the quality and availability of the service.

Supply-Side

The 'supply-side' of service delivery refers to the duty-bearers or the bodies and organisations responsible for delivering public services. This is primarily government structures ranging from national to the local level and refers to different government sector offices, such as education, health, and agriculture, etc., depending on the type of service. As mentioned above, services can also be provided through intermediaries.

Project/Programme

Services are often provided in the form of national programmes rolled out by government sector offices, such as the 'national adult literacy programme'. When engaging NGOs reference is usually made to implementing projects. Therefore, it is important to make a distinction between projects and programmes.



Programmes focus on the coordination of several related projects and other activities over time to deliver certain outcomes/services. Programme management is more strategic in nature and cross-functional. Projects have a smaller scope and focus on the deliverables, milestones and tasks of a single initiative. A project can be aligned with the strategy and goal of a programme. Smaller-scale projects implemented by non-state actors can provide evidence-based examples for up-scaling and policy influencing by the government. The outcomes of the project can also feed into the results of larger-scale programmes.

6.2 Defining the contextual definition and scope for using the approach

It should be emphasised that ALE is not limited to adult literacy and nor is it education for the poor. Rather it is a tool for human development and self-reliance. It should be inclusive of age, gender, ethnicity, and social background and must take account the numerous aspects of people's lives to understand the learning needs and to design programmes and services that can address these requirements (ICAE, 1994).

It is acknowledged that based on their own context, countries define the age parameters of adults and the focus and priority areas of programmes within the wider definition of ALE and LLL. For example, Ethiopia has higher education, TVET (Technical and Vocational Education and Training), and non-formal adult education in the form of the IFAE (Integrated Functional Adult Education) programme. In many countries, the systems for higher education and TVET are well developed, and it is mostly the institutions and systems that deal with informal and non-formal education that experience challenges, such as low prioritisation, low budget allocation for the sector, and inadequate and poorly trained staff, etc.

The ALESBA and conceptual framework are generic and in theory, can be useful for any segment of the sector. However, the approach leans towards the non-formal adult learning and education projects/programmes that focus on functional adult literacy, technical and livelihood skills training, including agricultural skills training, business skills training, life skills and other forms of training that can be useful for adults and their communities, whether it is environmental, health, youth or women-focused, and civic education, etc.

Therefore, before using the ALESBA, the first step is for stakeholders to define the focal area for system building within the wider concept of ALE. This is dependent on the country's understanding and definition of ALE. In some cases, this definition has a narrower focus on adult literacy, and in others a more integrated approach. Thus, it is important to clarify the concept, definition and components of the specific programme, which sectors and role-players will be involved, as well as the age parameters of the target group, etc.

6.3 The stakeholders and role-players

The ALESBA addresses both the supply and demand-side of ALE service delivery. Since its main objective is the improvement of ALE service delivery, the main users of the approach are on the supply-side, namely:

- Government offices from national to local level and all government sectors involved in adult education (e.g., Education, Agriculture, TVET, and Gender, etc.), as per the adult education system of a particular country.
- Civil society actors, including local and international NGOs.
- Academic institutions such as universities and colleges.
- Multilateral organisations and development partners.

Each stakeholder will play a role as per their mandate and responsibility within the system. The approach acknowledges the demand-side of service delivery by making provision for demand assessment tools to assess the needs and interests of youth and adult learners as individuals, within organised groups, or as CBOs. Their opinions on ALE service delivery is measured at the beginning and during the process of system building to ensure the system remains relevant and addresses the needs and demands of the target group. Scorecard tools are included to empower learners to voice the kind of service they need and the quality of delivery.

The responsibilities of the government to deliver ALE services are becoming more prominent. Especially, as neither international nor local NGOs have the means/resources to roll out large scale programmes that can provide access to ALE services for all. The ALESBA asks stakeholders to rethink roles and responsibilities regarding ALE service delivery. The fact that ALE is a human right has implications for service delivery. Therefore, the ALESBA emphasises assisting government to fulfil its role as duty bearer at all levels of implementation. Within this position, the role of NGOs and other stakeholders can be elaborated within the country context. Phase One of the approach focuses on building consensus regarding these roles and responsibilities.

NGOs can take on various roles, ranging from filling service delivery gaps, encouraging the government to accept some variants in solving problems through evidence-based influencing, advocating for the formulation and implementation of policies, actively participating in adjusting official public programmes to the needs of the target group and co-operating with official government offices and agencies (Nicoleta, 2009).

The ALESBA argues that the roles of NGOs and government are complementary. By defining roles and responsibilities through a consensus-building process each stakeholder can contribute appropriate and much-needed efforts, skills and resources to building a sustainable ALE system. Different models of co-operation can be explored based on the strengths each stakeholder brings to the process. Universities have a key role in the professional development of adult educators, research on a variety of matters to influence policy and best practice, among others.

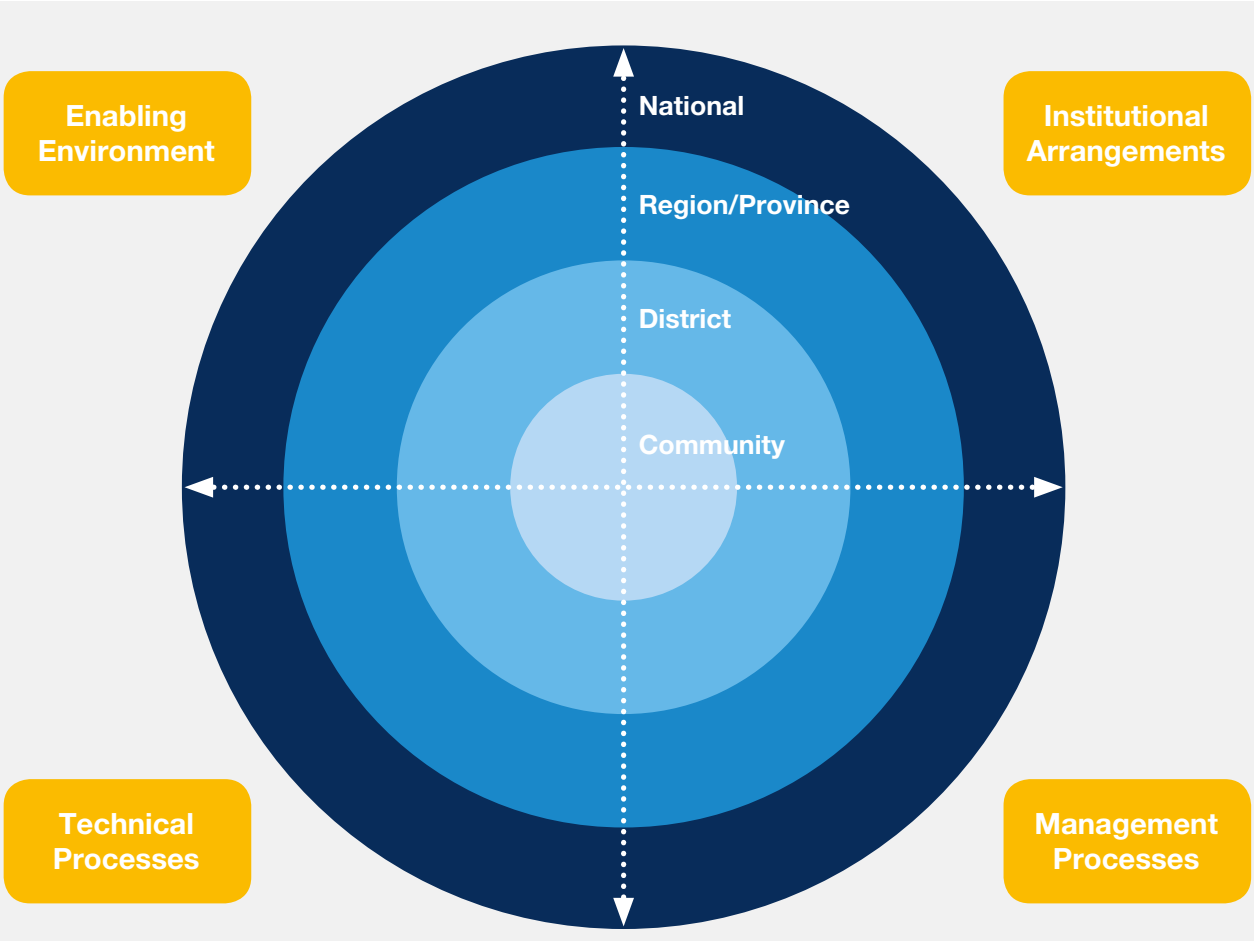
All stakeholders need to re-assess their roles and responsibilities, strengths and weaknesses and to re-align their commitment and capacity to advance the national development vision of ALE. Therefore, partnership and ownership of the process are key factors in the success of building a sustainable system.

7. THE ALESBA CONCEPTUAL FRAMEWORK AND PHASES

At the heart of the ALESBA lies a conceptual framework that captures the elements and building blocks of a comprehensive adult learning and education system. The framework is presented below, followed by an explanation of all the elements with their respective building blocks (see section 7.1). The ALESBA is implemented in five phases, which are briefly unpacked in section 7.2. Each phase is covered in depth in the remaining booklets in the ALESBA toolkit.

A system is usually understood as an entity composed of different elements, structures and processes which are interconnected and interdependent with feedback loops. Each element and process is needed to make up the complete system and has to fulfil its role and function. In the context of ALE, all elements and processes needed to deliver ALE services must be considered. It relies on the specific definition and scope of ALE in a country's context. System building includes the process of assessing and diagnosing the system and finding alternatives to redesign/improve the system, test the improved design, make adjustments and scale up interventions to reach a wider target group in a larger geographical area, e.g., nation-wide.

7.1 ALESBA Conceptual Framework



Reference: Adult Learning and Education System – Conceptual Framework: (Belete, 2018)

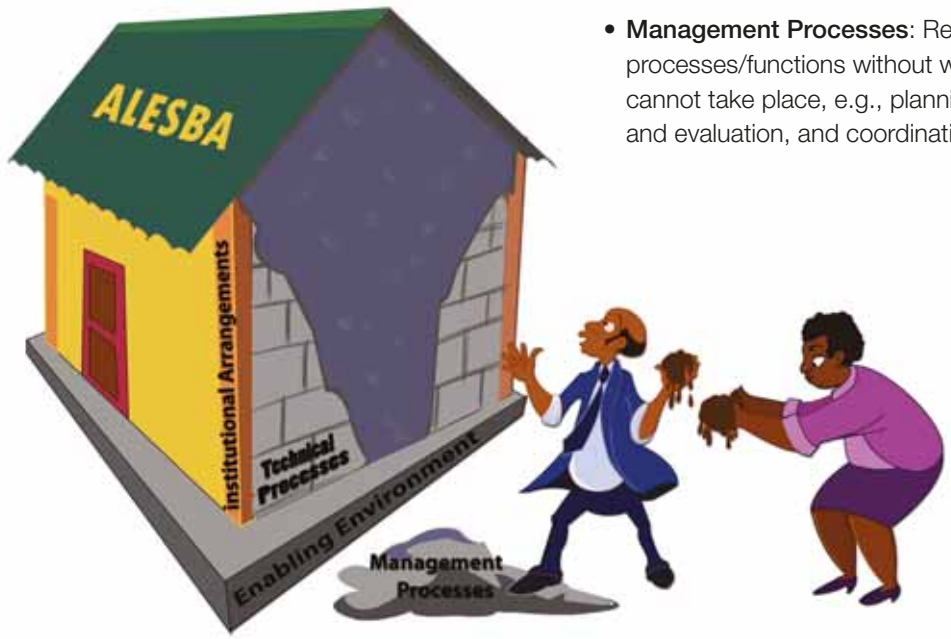
Conceptual Framework for the ALESBA

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).

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 a curricula design, material development, and 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

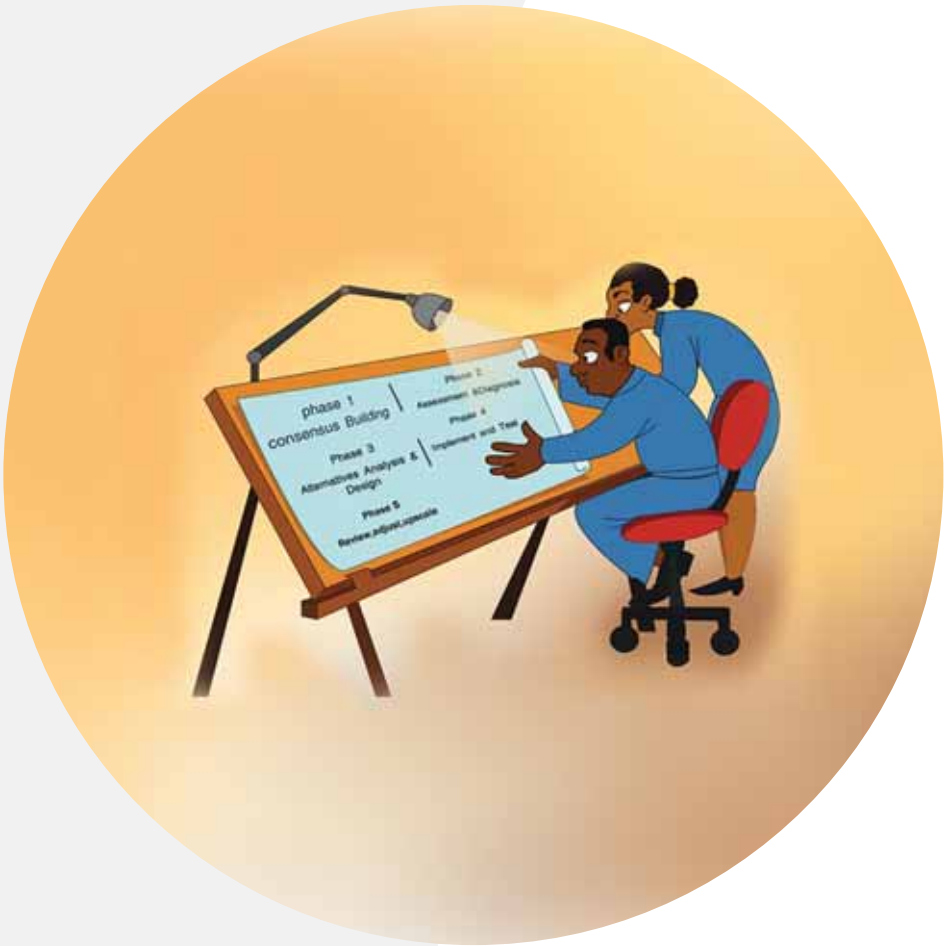
- **Regular planning in a participatory manner** to achieve objectives and milestones. This includes strategic planning, and annual planning, etc., within government structures – considering the different government sector offices involved, national to local levels, and networking and partnerships with 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.

7.2 Phases in the implementation of the approach

The ALESBA is not only about assessing the status of the adult education system rather it is a long-term approach aimed at building a sustainable adult education system over time. Depending on the status of the system at the time of assessment it can take anything from six to 12 years or more to establish a fully functioning system that can deliver needs-oriented adult education services. The ALESBA consists of five phases as described briefly below. Each phase considers all the elements and building blocks as per the ALESBA Conceptual Framework across different levels. The framework also takes into consideration the definition of ALE and cross-sectoral programmes. Although the phases follow one after the other, the process is not necessarily linear. For example, consensus building is an ongoing process and the assessment of the status of the system (Phase Two) can be repeated after implementation has started (Phase Four) to determine what progress has been made. Stakeholders often need to see the results of the assessment (Phase Two) to understand the urgent need for system building – and therefore, Phase Two can contribute to consensus building. Each phase is covered in detail in the series of booklets in this toolkit.



Phase One: Consensus Building

Before embarking on a long-term process of ALE System Building, all stakeholders need to agree on a common interest, vision and the necessity to improve the adult education system for optimised adult education service delivery. They should reach consensus regarding the scope and definition of the ALE system to be improved, and the roles and responsibilities of stakeholders in the process. This phase also can include a preliminary visioning exercise.

Phase Two: Assessment and Diagnosis

Phase Two consists of two parts.

Part One: ASSESSMENT

The first part of Phase Two involves assessing the existing ALE system. This process can be described as 'taking the vitals of the system' – or, in other words, determining the key status and issues of the system 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. This can serve as baseline data.

Part Two: DIAGNOSIS

Once the assessment has been carried out, several challenges will have been identified in the system elements. These system challenges or blockages need to be further analysed using diagnostic tools and studies to determine the underlying root causes for system failures. This is the second part of Phase Two– diagnosis of the system.

Phase Three: Alternatives Analysis and Design

Once a clear picture of the system has been generated through the assessment and diagnostic studies, stakeholders can begin to identify alternative options to unblock challenges, ease process flows, and change implementation structures, etc. These alternative options have to be weighed against the time required to implement them, the costs involved, and the resources available. The ideal is to find alternatives and entry points that can provide the most leverage, this means identifying entry points and system changes that will have a catalytic effect on other system elements and building blocks. This phase concludes with a new design to be piloted in selected areas (taking into consideration the holistic system conceptual framework).

Phase Four: Implement and Test

The newly designed system can be implemented over three to six years during which the functionality of the system should be closely monitored and recorded. Ideally 'on the spot' corrective actions should be taken – and these should be tested and recorded as well. The assessment tool described in Phase Two can be used at any time to track progress and changes. It is recommended that tools such as, 'quality circles' composed of all stakeholders, be used regularly to keep an eye on the implementation and effectiveness of the newly designed system.

Phase Five: Review, adjust and up-scale

The tested system should be reviewed at the end of either three or six years (again using the assessment tool described in Phase Two) and compared with the baseline data of the first assessment, conducted during Phase Two. The changes made during the testing period and their impact also should be considered. Additional changes should be made and a final design should be agreed on before up-scaling the improved ALE system in more districts, regions, provinces or at the national level. This should be captured in official documents, guidelines and directives, as the official version of the ALE system in a particular country. Since systems are dynamic and interact with the external environment, they should be continually monitored and the necessary adjustments to be made over time. Systems are not a goal in themselves, but a means to improve service delivery.

8. GUIDELINES FOR USING THE TOOLKIT

8.1 Structure of the toolkit

The ALESBA toolkit consists of a series of booklets. The booklets follow one another sequentially and are arranged in the following order:

Adult Learning and Education System Building Approach: Toolkit for Implementation	
Booklet	**Contents**
Introduction to the Approach and Toolkit	The first booklet provides a comprehensive overview of the approach, how and why it was developed, underlying principles, theoretical framework and key concepts. It lays the foundation by introducing the main conceptual framework that guides the approach with its elements, building blocks and phases. It is the starting point for the following booklets.
Phase One – Consensus Building	This booklet explains the process of consensus building among stakeholders with practical tools for visioning exercises, stakeholders' analysis, and partnership models, etc.
Phase Two – Assessment and Diagnosis Part One: Assessment Part Two: Diagnosis	This the largest booklet in the series and comprehensively describes parts one and two of Phase Two. Part One gives detailed guidelines on how to conduct an assessment on the status of an existing ALE system through a peer review methodology resulting in both qualitative and quantitative data (a scoring mechanism) on the system. These findings and reports are further analysed through diagnostic studies (Part Two) to identify the root causes of system weaknesses and blockages in ALE service delivery. Assessment tools for both the supply and demand-side of service delivery are included in the booklet.
Phase Three – Alternatives Analysis and Design	This booklet describes how to use the findings generated during Phase Two. It describes the process and tools that can be used to analyse the findings and conduct an alternatives analysis to find the best entry points that can have a catalytic effect on improving the system. It explains the steps to design a new system that can be tested in a pilot phase.
Phase Four – Implement and Test	This booklet recommends tools and processes to be followed during the pilot implementation/testing of a potentially improved system. These tools include action-learning and self-reflection methods, and quality circles, etc. The tools ensure the pilot activities gather the necessary information for learning and adjustment for Phase Five.
Phase Five – Review, Adjust and Up-scale	This booklet shares tools on how to review the pilot (using once again the peer review tools from Phase two combined with others), make recommendations for adjustment and list the considerations to up-scale an improved system nationally.

Each booklet describes the contents of and steps in the process as well as practical tools and case studies as examples. The DVV International digital platform for Africa hosts all information on the ALESBA, including further tools, PowerPoint presentations and training/facilitation aids.

8.2 Before using the approach and toolkit

Organisations and stakeholders interested in using the approach have to discuss and reach consensus on the context, scope, stakeholders involved and commitment to start the process of ALE system building. Any organisation interested in using the ALESBA should be aware that the approach is not meant for use only by one institution. It addresses the need for an ALE system within a country and therefore involves multiple stakeholders and role-players. Organisations need to decide on the role they wish to play when using the approach. Any organisation can initiate the use of the approach, bring stakeholders together to discuss the proposal, and agree to start with Phase One. The initiating organisation may start the process by inviting selected stakeholders to attend an initial meeting, but the stakeholder analysis exercise in Phase One provides the opportunity to analyse who should be involved in the rest of the process.

The ALESBA is extensive and requires training in the approach and contextualising the contents to suit a country's situation before starting the application. The implementation of the approach should be the responsibility of all stakeholders and joint ownership of the findings, plans and learning insights contributes to the success of the approach. Therefore, all key stakeholders should receive training in every phase of the approach over time and apply the tools and methods themselves.

Using the approach implies a long-term commitment and stakeholders may wish to sign a memorandum of understanding. The completion of all five phases of the ALESBA can take six to 12 years, depending on the status of ALE in a particular country. The process requires funds and the use of the approach has to be incorporated into existing donor proposals, government budgets as well as potentially raising additional funds. In the case of the Africa continent the DVV International proposal to the donor BMZ was based on the principles and phases of the approach, thereby securing funds for system assessments, etc. Note that the phases of the approach are not new in adult education and development activities and funds earmarked for planned evaluations can be used to conduct assessments on the status of the system. Attention should be given to promoting the benefits of the approach and the potential for long-term sustainability to donors and governments.

The use of the approach affects working modalities. Annual planning and budgeting processes should make provision for activities in each phase. The monitoring and evaluation system can be strengthened by incorporating the elements and building blocks with both the qualitative and quantitative scoring tools. Organisations may also prefer to use selected elements of the ALESBA depending on their situation and circumstances. The details of these activities are further explained in the series of booklets in the toolkit.

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, 2015c)
- 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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DVV International

DVV 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, DVV International has committed itself to support lifelong learning for more than 50 years. DVV 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, DVV International co-operates with civil society, government and academic partners in more than 30 countries in Africa, Asia, Latin America and Europe. DVV 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 DVV 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.dvv-international.de/en/ale-toolbox

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Toolkit for Implementation

Phase One – Consensus Building

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- 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.

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Sonja Belete

Foreword

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.

DVV 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, DVV 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 an approach, which can guide stakeholders in the complex task of system building, at the same time it 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
ICOLEW ..... Integrated Community Learning for Wealth Creation (Uganda)
LAMP ..... Literacy Assessment and Monitoring Programme
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 ONE – CONSENSUS BUILDING

1. INTRODUCTION

An adult education system encompasses all those who participate in the provision, financing, regulation and use of the learning services. The delivery of adult learning and education services relies on service providers such as government and civil society with the support of other role-players such as academic institutions (universities and colleges, etc.), multilateral organisations and donors to play their roles and carry out responsibilities as per their mandates.

It is becoming increasingly clear that governments cannot meet the continually growing demand for services by acting alone. There is a need to co-operate and seek support from other sectors of society including NGOs, universities and the private sector, etc. The cross-cutting and integrated nature of adult learning and education (ALE) also require sector-wide approaches involving a variety of government sector offices (e.g., education, agriculture and health, etc.) based on the scope and definition of ALE services in a particular country.

Strengthening adult learning and education systems for improved service delivery means moving beyond providing isolated inputs, more trained facilitators, and learning spaces, etc. Inputs and resources need to be used more effectively to accelerate learning. Strengthening the system means aligning the enabling environment, institutional arrangements, management and technical processes through a series of interrelated actions. Among others, it entails reforming the relationships of accountability among the various stakeholders in the system so that these relationships are clear, consistent with mandates and functions, measured, monitored and supported. It also means establishing mechanisms for communication and a clear feedback cycle. Relationships of accountability are a key lever that makes a system work (World Bank Group Education Strategy 2020, 2011). It means, first of all, recognising the many service providers and stakeholders and the roles they have in the system.

The relationships between these stakeholders, whether contractual or informal, connect them and their resources and ultimately make service delivery possible. These stakeholder relations and structures can take several different forms, such as:

- Highly centralised systems where power and control over resources are at the centre of government.
- Fully decentralised systems where local authorities have considerable autonomy.
- De-concentrated systems which spread autonomy across the levels of governance with different mandates at different levels. This is also similar to federal systems.
- Horizontal relationships and structures can vary from more integrated approaches, structures and systems of ALE to structures where different parts of ALE belong to different systems, e.g., TVET to the TVET sector, literacy and basic education to another, agricultural skills training within agriculture, etc.
- Within the above, many systems are collegiate in that certain functions are carried out by autonomous or semi-autonomous bodies financed through the state. Public-private partnerships are common in many countries and are used to deliver adult education and other services.
- There are also systems that involve substantial independent management relying on private, community, NGOs or charitable bodies to deliver services and funded by a blend of state and non-state sources. Here the state's role is largely regulatory while actual delivery is performed by other entities (DEVCO B4 Education Discussion Paper, 2014).

Irrespective of the form or structure that stakeholder relationships take, it is acknowledged that these relations are never straightforward and often come with different perceptions regarding roles and responsibilities. Each country's history contributes to the perceptions stakeholders may have about each other. These perceptions can create tension and conflict which affects the effective delivery of ALE services. To strengthen the system for improved service delivery it is important to start a process of consensus building among stakeholders about what kind of system is needed to deliver different services according to the needs of defined target groups and what each stakeholder's role and responsibility will be.

Considering the complexity of stakeholder relations, consensus building is not a once-off step, but rather a crucial intervention conducted throughout the full duration of adult learning and education system building across all the five phases of the process. This booklet unpacks the conceptual understanding and principles of consensus building among stakeholders as a crucial ingredient for successful adult education system building. It outlines a roadmap for consensus building which includes the following steps:

- **Preparation:** A preparatory period to convince stakeholders to engage in adult learning and education system building.
- **Start-up:** Start-up activities of consensus building include visioning exercises, conducting a stakeholder analysis, planning for other phases of system building, etc.
- **On the way:** Important consensus building considerations for the duration of the system building phases, e.g., teamwork, partnerships, risk management, influencing and negotiating, etc.

The structure of the booklet is practical in nature to capacitate users to facilitate the consensus building phase. The booklet describes the process of consensus building and provides a set of tools that can be used for different purposes. It is a guide and the users of the toolkit are encouraged to be innovative and use tools from different approaches to reach the objective of consensus building among stakeholders for a strengthened adult learning and education system.

The approach also acknowledges that the stakeholder relations in each country have their own character and consensus may be further developed in some countries than others. This will influence the time it may take to build sufficient consensus to embark on system building. Although the users of the service are part of the system, the Adult Learning and Education System Building Approach (ALESBA) concerns itself primarily with the stakeholders on the supply side of service delivery during the consensus building phase. Tools and instruments to address the interests and needs of the users on the demand side are addressed in Phase Two.

2. UNDERSTANDING THE CONCEPT OF CONSENSUS BUILDING

Consensus means "overwhelming agreement". Consensus should be the product of efforts made in good faith to meet the interests of all stakeholders. A significant consensus building exercise needs to be undertaken with various sectors and stakeholders to create understanding that:

- The existing ALE system may need improvement and strengthening.
- The ALESBA has the potential to guide the process of system strengthening and service delivery optimisation.
- The current roles and responsibilities of all stakeholders need to be unpacked and new relationship structures and accountabilities may have to be considered.
- The current status of the system needs to be assessed and blockages in service delivery need to be diagnosed to find root causes.
- Alternative system designs need to explored with leverage points to optimize service delivery.
- There should be the will and commitment among stakeholders to pilot and test a new system design with the intention of up-scaling and roll-out.

The key indicator of whether or not consensus has been reached is that after every effort has been made to meet any outstanding interests, everyone agrees they can live with the final proposal (UNDP Public-Private Partnership for the Urban Environment, 2005). Consensus requires that a proposal is framed after listening carefully to the interests of all stakeholders. Interests are not the same as positions or demands – what people say they must have. Rather, interests are the underlying needs or reasons why people take the positions they do.

Consensus building is all about stakeholder relationships, potentially conflicting positions and interests and therefore needs careful facilitation. Like any relationship, it takes patience, effort and time. It can be painful but it is a necessary process. Translating objectives into grassroots realities is a challenging participatory exercise which requires flexibility, trust and understanding. It is not possible to wait for the ultimate consensus before embarking on the ALESBA, but sufficient agreement and commitment among the majority of key stakeholders should be reached to start with the long-term process of system building. During the implementation phases of the approach, new conflicts and concerns may arise and may have to be dealt with using a variety of tools and mechanisms. Consensus building, therefore, runs like a thread throughout the ALESBA.

Experiences in the East/Horn of Africa region have shown that the exercises conducted by all stakeholders during Phase Two (Assessment and Diagnosis) contributed to consensus building. By being active participants in assessing the status of the current system all stakeholders witness the strengths and weaknesses of the existing system and their own role in the process. Creating a safe environment to analyse the findings without accusation and blame, contributed to an eagerness to engage in action to do something about the challenges and blockages within the system. This strengthened consensus about the need for system building.

To facilitate a productive and successful consensus building process some key principles should be considered as ground rules for all stakeholders in the process:

- Participation and Ownership: All stakeholders should be actively involved as partners in every phase of the ALESBA. A system building partnership should be created instead of individual stakeholder orientations. All stakeholder partners are responsible for implementation and making meaningful contributions. All stakeholders own the successes and challenges within the system.
- Communication: Partners educate each other and spend time discussing the history of an issue, their perceptions and concerns and ideas for solutions. All partners in the ALESBA are kept informed, all processes are documented and shared. Successes are celebrated through an ongoing process.

- Compatibility and mutual agreement: Stakeholders seek to find compatible and complementary goals and objectives for the system. These are often found in national policies and strategies. They don't have to be the same, merely compatible. Decisions are made by mutual agreement. This requires careful facilitation until everyone agrees the best decision has been reached.
- Conflict management: Conflicts are managed as early as possible in the process.
- Credibility and transparency: Credibility of stakeholders leading the system building process and the transparency during the process are critical ingredients for the long-term success of system building.
- Action Learning: All stakeholders learn from the process while implementing, generating knowledge and understanding beyond what one stakeholder already knows.

- Systems thinking is embedded within the ALESBA. Therefore, stakeholders should be cognisant that they are starting a new way of thinking and working. Systems thinking requires a mindset change that tests our mental models and how we traditionally think about problems. It is a structured approach that emphasises examining problems more completely before developing and implementing solutions. A common definition and understanding of problems are important for consensus building. Root causes are uncovered so that leverage points can be discovered and multiple options can be identified and weighed against each other to find implementable solutions. Systems thinking strives to develop stakeholders' sensitivity to the interdependency of the entire system and the consequences (intended and unintended) of actions (CPS HR Consulting).

The principles and techniques of systems thinking which are elaborated in the first booklet of this toolkit (Introduction to the Approach and Toolkit) and the booklets dealing with the remaining phases (Two to Five) should be embraced during consensus building, especially during the preparation and start-up phases so that the foundation can be laid for the more complex tasks in Phases Two to Five of the ALESBA. By employing the mindset and tools of system thinking, stakeholders should build a shared perception of problems and challenges, avoid being at cross-purposes, enhance collaboration and foster a learning environment and increase idea generation.

When using a systemic lens to analyse complex problems, is useful to map the dynamics of the system and how the relationships between the system components affect its functioning, as well as what interventions can lead to better results. This includes mapping the institutional arrangements, which is one of the four major elements in the conceptual framework of the ALESBA. Stakeholders are the drivers of ALE system building as well as all the elements and building blocks within the system. Building consensus is a key ingredient for success. The next section unpacks the process of consensus building and outlines a roadmap for starting Phase One and supporting consensus throughout the other phases of system building.

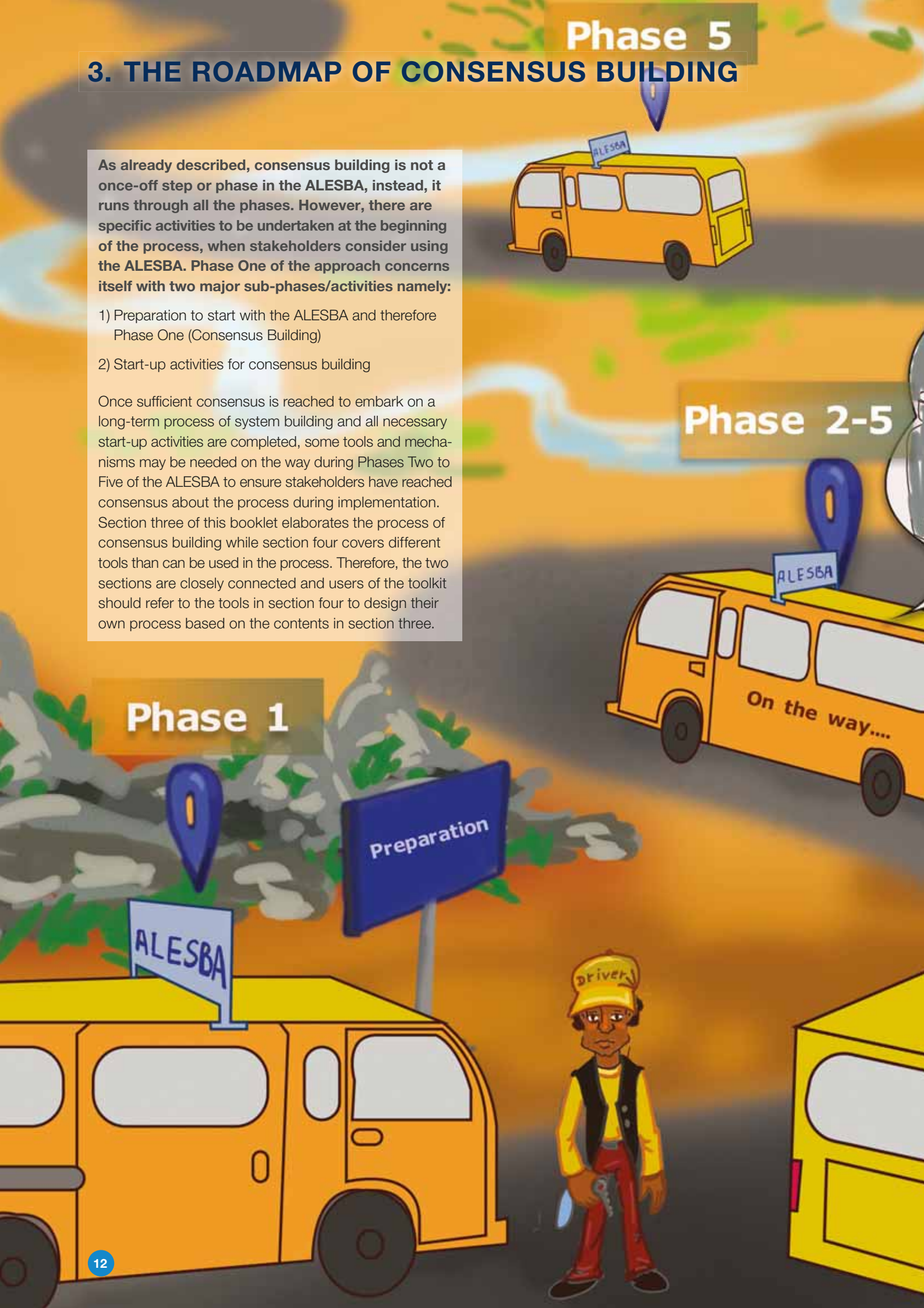
3. THE ROADMAP OF CONSENSUS BUILDING

As already described, consensus building is not a once-off step or phase in the ALESBA, instead, it runs through all the phases. However, there are specific activities to be undertaken at the beginning of the process, when stakeholders consider using the ALESBA. Phase One of the approach concerns itself with two major sub-phases/activities namely:

1) Preparation to start with the ALESBA and therefore Phase One (Consensus Building)

2) Start-up activities for consensus building

Once sufficient consensus is reached to embark on a long-term process of system building and all necessary start-up activities are completed, some tools and mechanisms may be needed on the way during Phases Two to Five of the ALESBA to ensure stakeholders have reached consensus about the process during implementation. Section three of this booklet elaborates the process of consensus building while section four covers different tools than can be used in the process. Therefore, the two sections are closely connected and users of the toolkit should refer to the tools in section four to design their own process based on the contents in section three.




Partnership
Teamwork
Conflict Management
Risk Management
Influencing
Negotiating
Phase 1
ALESBA
Start-up
. Scope &Context
. Major Challenges
. Visioning
. Stakeholders Analysis
. Introduce ALESBA
. Develop a Plan

3.1 Preparation for Phase One

Cooperating on a multi-stakeholder level to build a sustainable ALE system may not seem like a desirable option at first. Most organisations prefer to stay on paths they know or work in smaller clusters with like-minded partners and stakeholders. How does a collaborative process start then? Who can or should start it? How do we prepare for a structured start-up of Phase One of the approach? We first need to do some preparation work as outlined below.

Find a champion or driver

Potentially any stakeholder can introduce the concept and approach. DVV International country offices that are familiar with the ALESBA and have relationships with a wide range of stakeholders are in a good position to introduce the approach and start the initial discussions before embarking on a more structured process. However, government, development partners or other NGOs and even universities that are familiar with the approach can also start the discussion about the status of the adult education system in a particular country and what the ALESBA can offer to improve the system.

What is needed is a champion or driver to start the process. Any individual, group, network or organisation that has realised separated, uncoordinated actions create redundancies and missed opportunities to use resources more effectively, or improve service delivery, can play this 'champion/driver' role. The champion needs to be aware of the current system and its shortfalls and have an

orientation and/or training in the ALESBA. For other stakeholders to be interested the champion ideally should have a credible reputation in the field of adult education. This implies proven technical experience and skills in the sector and a known value base that will create trust with other stakeholders. Consensus and partnership regarding system building will not take place or succeed without the drive and commitment of a few organisations and individuals. Stakeholders may decide to select a task force or management team among themselves to drive the process.

Identify a crisis, a catalyst or entry point

Experience has taught us that it is beneficial to have a catalyst or crisis opportunity that can spark interest and highlight the need for ALE system building. Although this is not a prescribed pre-condition, it is useful to be aware of these conditions and to use them to mobilising interest in system building.

It is widely acknowledged that it often takes a crisis before partners understand the need to co-operate to solve a particular problem. The lack of water or a health service often brings about action. Although it is hoped that progress can be made in the absence of a crisis, the complacency that keeps organisations on their usual paths is usually only broken by the pressing need to work together – such as in a crisis.

Unfortunately, adult education services seem to have less of a sense of urgency and it may require a directive from a Prime Minister, President or Minister to move ministries into action. These directives often do not come from adult literacy concerns directly but may be linked to the roll-out of policies, civic education or related cross-sectoral needs identified at higher levels. The demands from the youth for skills and jobs in many countries, especially in Africa, can be translated into a crisis itself. Unemployment and poverty levels have resulted in protests and conflicts in many countries. Adult educators have an opportunity to make the link between the lack of or insufficient ALE services and the lack of skills and unemployment.

In the context of ALE, it is more often a catalyst that may spur action and co-operation between stakeholders. As mentioned above, it can be a directive from a senior government official or politician or a sector such as agriculture that may highlight the need for integrated adult learning and education services. Countries' commitment to reach the SDGs and Agenda 2030 may also act as a catalyst. Whatever the case may be, it is useful to have an entry point to bring stakeholders together and raise awareness regarding the current status of the system and the potential of embarking on a structured ALE system building process. The entry point does not have to be a crisis or catalyst, but stakeholders will need to make a compelling case to mobilise sufficient energy and interest in improving the state of affairs in the country.

Start preparatory activities

The organisation(s) which initiates and motivates for an ALE system building process should be familiar with the ALESBA toolkit and seek guidance and training if needed. It should also be very familiar with the sector and major stakeholders. Usually, the driving organisations that introduce the approach will already have well-established relationships with many stakeholders and can be trusted as honest facilitators of the process.

Suggested activities during the preparation phase include the following: *Test the water!*

Have a series of bilateral or small group meetings with a diverse range of stakeholders in the ALE sector within the scope of the existing system and programmes/projects in the country. These individual meetings can be used to introduce the ALESBA and 'test' level of interest in the approach. Information can also be collected about the views of stakeholders on the performance of the existing system, and areas of discomfort, etc.

Gather information for the start-up phase!

Gather sufficient information either through a series of meetings, mini or larger workshops and/or through literature reviews on topics such as:

- Who are the key stakeholders?
- What are their views about the current adult education system and service delivery?
- What is the current scope and context of ALE programmes and projects in the country?
- What are stakeholders' views about roles and responsibilities in the system?
- What are the perceived major challenges in the system?
- What is the understanding of the goals and objectives of the ALE system?

Information on these and other topics may assist in making decisions for designing the start-up process and activities of Phase One. For example, if there is an existing conflict between specific groups of stakeholders it may not be productive to start with a big inclusive workshop. Rather hold a series of smaller workshops with selected groups to find a way to bring together all the key role players.

It is assumed that the champion who initiates the process may have some funds available for the preparation and start-up of Phase One. If possible, the implementation of the five phases should be incorporated within existing plans and funding as a new means/approach to reach objectives. Alternatively, a funding strategy should be considered to raise funds for the implementation of all the phases. The start-up phase may also be used to gather more resources based on the interest and commitment demonstrated by other stakeholders.

There is no specific set of activities to prepare for the start-up phase of consensus building. Each country context is different and depending on the level of existing consensus, stakeholders may start directly with the start-up activities such as outlined below. The demarcation between preparing for and starting Phase One is also not fixed and activities and processes will flow depending on the responses from stakeholders. Therefore, preparation activities flow into the more structured start-up activities with specific outcomes supporting the next phases of ALE system building.

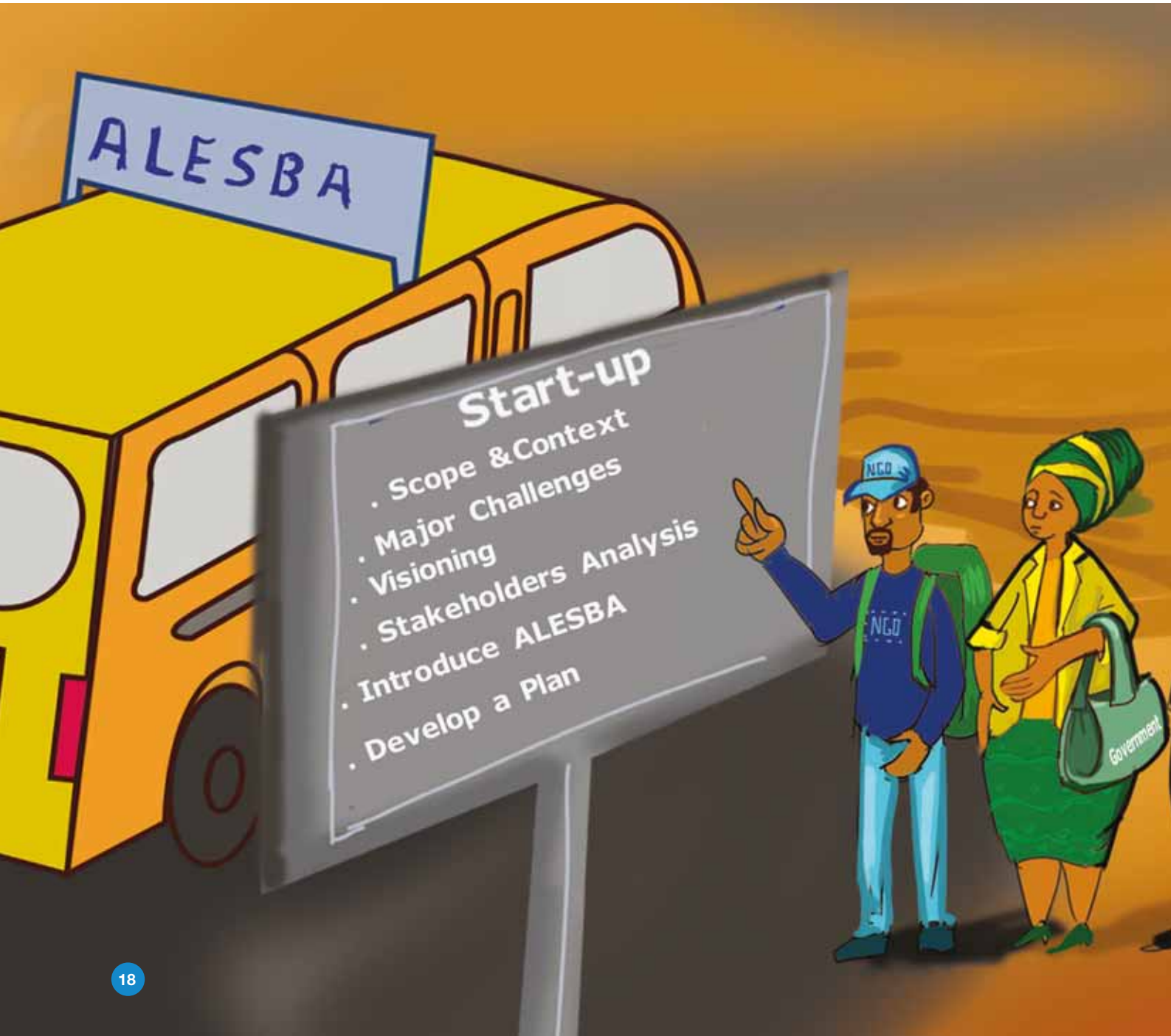
3.2 Start-up of Phase One

By the end of Phase One, all the major stakeholders should agree that the current system has challenges in delivering quality ALE services and there is room for improvement. They should also agree and commit to embark on a longterm process of structured system building by using the framework, phases, tools and processes of the ALESBA. Based on the understanding that an ALE system relies on different stakeholders to deliver services, stakeholders must agree on roles and responsibilities within the system building process.

The time taken to reach a stage of agreement and consensus depends on the existing stakeholder formations and relations at the time of first engagement with the system building approach. Therefore, it is not possible to allocate time boundaries for Phase One or any other stage in the system building process. However, a list of activities and processes can be suggested to facilitate the process of consensus building. These activities and processes are a guide and suggestions. Every country has to adapt the activities within the consensus building process based on their own status and needs. Once preparation activities are completed the following major activities and events can contribute towards starting a process of consensus building:

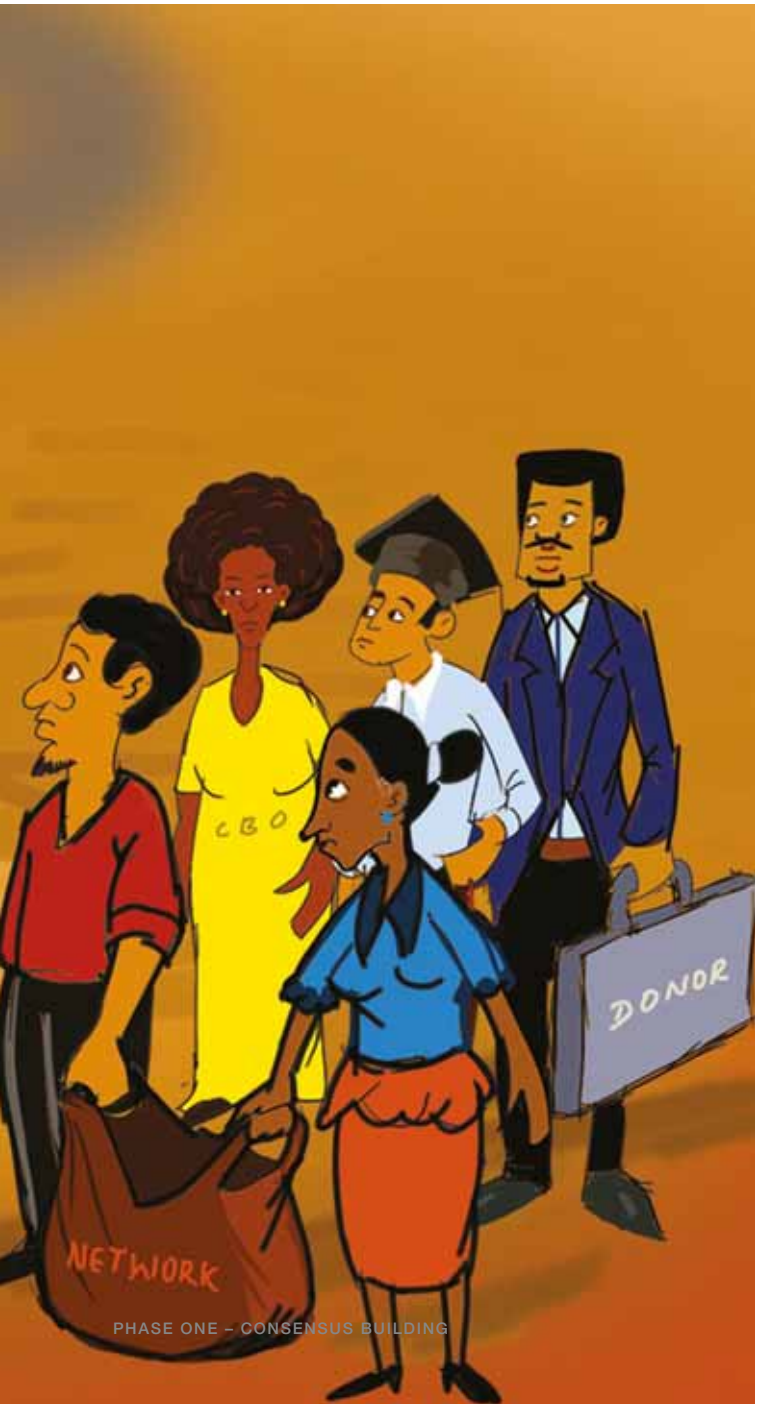
- Define the area of focus or the scope and context of adult learning and education programmes and services that need system strengthening. *(What are we focusing on?)*
- Unpack and agree on the major challenges and gaps within the existing system. (*Why is it necessary?*)
- Conduct a stakeholder analysis exercise to determine the interests, roles and responsibilities of different role players. (*Who will be involved?*)
- Conduct a preliminary visioning exercise regarding what the system should look like and what kind of services it should deliver. (*Where are we going with this?*)
- Introduce the Adult Learning and Education System Building Approach (*How will we do it?*)
- Develop a plan with milestones and responsibilities for the implementation of the approach and strengthening the system. (*When are we implementing it?*)

These activities can be facilitated in the form of meetings and workshops. Certain activities can be combined within three to five-day workshops with all stakeholders at the initial stages and further meetings and/or workshops can deepen understanding and unpack issues and concerns further in the interest of building consensus among stakeholders. The orientation of senior management and decision-makers are vital to gain commitment towards the process. The design of Phase One should consider how to bring these senior figures from stakeholder organisations on board since they are usually not able to attend longer workshops or meetings. This may be through shorter workshop sessions or meetings and then continuing the more detailed processes with technical experts. However, the involvement of senior management and decision-makers should occur throughout the process and during all phases of system building. It is important to understand that the process cannot be rushed and



stakeholders may need time between activities to absorb the process, and hold discussions within their own organisations and networks to formulate their views.

Consensus building is not about completing the list of activities instead, it is about using these activities as part of a process to build consensus and understanding. Within this process, there may be misunderstandings and conflicts and some of the listed activities may take longer than others. The sequence of activities is also not prescribed, but they have been presented to indicate a flow and logic within the process.



The activities are also iterative with cross-referencing taking place throughout the process. Each country will use the approach to design their own process and may add activities as needed to reach consensus. The indicator that sufficient consensus has been reached, and that stakeholders are ready to proceed to Phase Two, will be an overwhelming agreement between the majority of stakeholders after every effort has been made to accommodate different interests among them to proceed with ALE system building. This level of consensus will be deepened in the remaining phases of the process.

Keep in mind that every stakeholder will come to workshops and meetings with different interests, expectations and goals. The suggested meetings and workshops can be facilitated by the champion(s) or a consultant. Please note that whether facilitated by one or more of the stakeholders or a consultant, the facilitators of these workshops should be trained in the ALESBA and should be familiar with every phase to tie all outcomes together.

As emphasised above, it is recommended that stakeholders conduct most activities by themselves and if consultants are brought on board it is only in a facilitatory capacity. The principles of consensus building and systems thinking covered in section two of this booklet should be referred to. The activities and processes outlined below also build capacity in the ALESBA.

i. Define the scope and context of the adult learning and education system

Outcome: The definition of the scope and context of adult learning and education programmes/sub-sector that will be addressed.

When it comes to strengthening the system for improved ALE service delivery, the current context and scope of ALE services in a country has to be considered. There may be an existing definition and concept for the national ALE programme, e.g., in Ethiopia the Ministry of Education has adopted IFAE (Integrated Functional Adult Literacy) which combines literacy with non-formal skills training, life skills, etc. In Uganda, the Ministry of Gender, Labour and Social Development (MGLSD) is implementing the ICOLEW (Integrated Community Learning for Wealth Creation) programme with six components of literacy, life skills, community development, business skills training, livelihoods skills training and financial literacy through Village Savings and Loan Schemes (VSLA). Naturally, these integrated programmes require the involvement of more than one government sector office. Local and international NGOs may implement projects with similar elements but may use different methodologies and modalities.

What is important during the beginning phases of consensus building is not which programme, project or methodology offers the best service, but rather that, within the context of this myriad of programmes and projects and the definition of ALE in the country, there is an intention to embark on an ALE system building process. This may require stakeholders to unpack and list all existing projects and programmes, consider the cross-sectoral elements, target groups, similarities, difference, etc., as well as exiting definitions and national goals for ALE in the country. Once the wider context has been visualised, stakeholders have to conduct a scoping exercise to define the scope and focus area for the ALE system building process.

Refer to the tools:

- Historical timeline and trends analysis.
- Mapping the range and extent of ALE programme interventions.

ii. Unpack and agree on the major challenges affecting the existing system and service delivery

Outcome: Major challenges within the existing system of ALE service delivery are listed and clustered.

Stakeholders will be aware of the challenges in the existing system that hinder the achievement of service delivery. During the start of the consensus building phase, it is not necessary to conduct an exhaustive cause and effect analysis of the problems and challenges. But agreement is needed on the core problems and challenges for the following reasons:

- It provides the rationale for why system building is needed in the first place.
- It provides a basis to formulate a vision for a future system.
- It represents the views and perceptions of different stakeholders that need to be taken into consideration for consensus building.

The facilitator should avoid stakeholders taking this step too far and remind participants that a comprehensive assessment and diagnosis of the system will be conducted in Phase Two. Brainstorming and clustering of similar challenges from different stakeholder perspectives are sufficient at this stage. If time allows preliminary cause and effect diagrams can be drawn to explore the benefits of systems thinking and outline the way forward during subsequent phases.

Refer to the tools:

- Battery tool
- Cause and effect analysis

iii. Conduct a preliminary visioning exercise

Outcome: A preliminary vision that describes what the new ALE system will look like and how it will contribute to national goals and service delivery.

Although the phases in the system building process have to be completed to have a clear vision and plan for a new improved system, it is useful to include a preliminary visioning exercise during the start-up phase of consensus building. This exercise will provide stakeholders with an opportunity to express different views and build consensus about where the process may take them. It also will create energy and optimism that binds the group together. The vision will be revisited after the assessment and diagnosis of the current system and consideration of alternatives and the design of a new system, conducted in Phase Two and Three of the approach. The vision statement should describe the desired future situation after building a sustainable ALE system. Stakeholders also may decide to include a mission statement defining the core objectives and approach to reach those objectives.

Visioning is a technique used to assist stakeholders to develop a shared vision of the future. It can be used in activity planning, organisational change and formulating development strategies, e.g., for an improved service delivery system. It involves assessing the current status and where the group wants to go. It is usually completed after the problem analysis. The results of the problem analysis help to define the current status of the education system (DFID, 2002).

A useful starting point for visioning is to use the national vision, development plans, policies and strategies and sector development plans in the country. Participants can review the priority national goals for the identified system building focus area. These goals can be a starting point to define country aspirations for a future system. It will also create debate about the likelihood of achieving these goals and what hindrances might exist. The stakeholders can debate whether the achievement of these goals is within their control and why or why not. Finding compatible goals is a good starting point. They can formulate the change they would like to see in the coming years.
It is important not to get bogged down by the current performance of the system, but rather maintain a focus on how the system can be transformed. The facilitator can use different techniques to arrive at a shared vision among the stakeholders.

Refer to the tool:

- Conduct a preliminary visioning exercise

iv. Conduct a stakeholder analysis

Outcome: Key stakeholders identified, including their current and potential future roles in the adult learning and education system building process.

A stakeholder can be defined as any individual, community, group or organisation with an interest in the outcome of a programme, either as a result of being affected by it or being able to influence the activity. Three types of stakeholders can be identified namely:

- Key stakeholders: Those who can significantly influence or are important for the success of the activity.
- Primary stakeholders: Those individuals and groups who are ultimately affected by an activity as beneficiaries (either positively or negatively). This group represents the target group of the activity.
- Secondary stakeholders: All other individuals or institutions with a stake, interest or intermediary role in the activity. This includes government offices at all levels, NGOs, donors, universities, etc.

In the context of the ALESBA, the stakeholder analysis during the consensus building phase is more concerned with the secondary and key stakeholders. There is overlap between these groups. The primary stakeholders are acknowledged at this stage in terms of analysis of the problems and whether their needs may be met or not. More attention is allocated to this group during Phase Two of the process by conducting a demand assessment to identify their interests and needs.

In the context of the ALE sector the most important stakeholders usually include the following:

Government

The government ministry or ministries and departments that are responsible for implementing ALE. Considering the cross-cutting nature of ALE, several sector ministries may be involved from national to local governance levels. There are different roles that government may play depending on the structures and history of ALE in the country. Some of the roles or combination of roles are: (Oxenham, 2008)

- Government as a monopolist that asserts a monopoly over all literacy and ALE programmes and assuming full responsibility.
- Government as licensing authority where the government assumes some responsibility but may also issue licenses to other agencies/organisations to deliver services at their own costs, provided they accept the curricula and instructional materials and methods approved by the government.
- Government as a parallel worker where the government runs its own literacy and ALE programmes but at the same time permits other organisations to undertake initiatives of their own, using their own resources, materials and methods. This option exists in countries where government and NGOs implement parallel programmes and projects.
- Government as a provider of subsidies, running their own programmes and simultaneously offering to subsidise other agencies, either as subsidiaries using the approach and methods of government or offering programmes of their own design subject to government approval.
- Government as a supervising contractor where in addition to implementing their own programmes, the government may decide to contract qualified non-profit organisations and appropriate private for-profit enterprises to implement programmes subject to the standards of government.
- Government as a sponsor where the government may set up a foundation or similar institution to promote and implement literacy/ALE programmes on its behalf.

In general, the role of national/central government can be seen as providing the policy framework, developing implementation guidelines, providing regulations and quality assurance and supportive supervision, monitoring and evaluation. The role of departments or lower-level government structures, e.g., regional and local government, are usually described as taking responsibility for implementing policies, generating plans and ensuring service delivery takes place.

Non-governmental Organisations (NGOs)

The previous section may imply that the roles of local or international NGOs will depend to a large extent on the government's policies and framework. Although the specific role government plays and the structure and regulations that they apply will affect the roles NGOs can play, NGOs also have options regarding the potential roles they play in ALE service delivery. Two of these options are:

- As service providers: NGOs can provide services with donor funding to complement government's efforts. NGOs can offer a broad spectrum of services in different sectors, usually in the form of projects with a specific timeframe for implementation. This role can often be perceived as a 'gap-filler', complementing and reaching out where the government cannot. It is often argued that NGOs have a comparative advantage over the government because of their ability to innovate and experiment, flexibility to adopt new methodologies, and their linkage with grassroots communities (Banks, 2012). It can also be argued that NGOs are not in a position to roll out large scale, long term programmes and services.
- As advocates: NGOs can play an advocacy role to ensure the government delivers services effectively to citizens and target groups. This role has often led to hostile relationships between governments and NGOs, with some NGOs assuming a more aggressive 'watch-dog' role. It should be emphasised that there are different forms of advocacy and support for the government for improved service delivery, e.g., through capacity building, joint implementation and evidence-based influencing, etc.

Universities

Universities have a key role to play in the training and capacity building of adult educators. Having skilled adult educators and system managers contributes to the effective delivery of services. Universities provide different certificate, diploma and graduate courses for adult educators. These courses are often linked to community outreach services where students can gain practical experience and simultaneously contribute time and effort. Universities also conduct research which contributes to policy formulation, strategic planning and development of the ALE sector at large. The expertise of university staff plays a role in advisory services to other stakeholders in the ALE sector.

Development Partners

Development partners can include international NGOs, bilateral/multilateral donors and multilateral organisation such as UNICEF, UNESCO, and the World Bank, etc. International NGOs can play roles as outlined in the section on NGOs but they can also provide both financial and technical expertise in the process. Development partners can support:

- Analytical processes;
- Enable government to formulate policies and strategies;
- Support pilot projects;
- Build capacity; and
- Provide funding, etc. (OECD Development Centre, 2019).

It is important that development partners, whether as pure donors or as providers of both technical and financial support, value the role of system building in achieving short and long-term objectives and sustainability. Therefore, these stakeholders should be included in all the system building phases starting with consensus building.

Other Stakeholders

Other potential stakeholders can include:

- Community-based organisations (CBOs), which play a crucial role in presenting the voice of learners.
- Networks that have a strong role in advocacy and promoting ALE.

The stakeholder analysis is intended to explore who the stakeholders are and to understand:

- Their scope of work and existing role in the ALE sector.
- Their interests in ALE system building.
- Existing relationships between stakeholders and potential conflicts and risks that may affect the process.
- Potential future roles they may play in system building.

When conducting a stakeholder analysis, it is important to understand the political economy dynamics that exist between stakeholders that may influence the motivations and behaviour of service providers. Political economic analysis examines the underlying interest, incentives, motives and relationships between actors. It is often described in terms of the difference between 'formal' and 'informal' governance. In other words, the difference between what is supposed to happen and what actually happens. When considering the political economy issues that operate in education systems, it is important to understand how these underlying issues affect service delivery and can either support or hinder successful system building (DEVCO B4 Education Discussion Paper, 2014).

Refer to the tool:

- Stakeholder Analysis

v. Introduce the Adult Learning and Education System Building Approach (ALESBA)

Outcome: All stakeholders are oriented in the ALESBA with its conceptual framework, underlying principles, objectives phases, tools and methods.

During consensus building, stakeholders have to be introduced to the full contents of the ALESBA as presented in the booklet 'Introduction to the Approach and Toolkit'. Stakeholders have to relate their own reality and roles to the principles, conceptual framework with elements and building blocks, and different phases of the approach. They have to be convinced that the approach and systems thinking have value for system building in their country and their own role in the process. Tools are available in section four to contextualise a country's existing system within the framework in the ALESBA.

It is also useful to expose stakeholders to systems thinking and the paradigm shift required during the process of system building. Different exercises can be conducted to raise awareness about how systems thinking affects the way we work and analyse our situation. Stakeholders should be encouraged to view situations from different angles and more honestly.

PowerPoint presentations on the ALESBA are available as part of the toolkit and the facilitator of the consensus building process can also compile their own presentations and handouts based on the first booklet in the toolkit.

Refer to the tool:

- See the Adult Education Africa – Moja platform for PowerPoint presentations: www.mojaafrica.net

vi. Develop a plan with milestones and responsibilities for the implementation of the approach and strengthening the system

Outcome: A preliminary plan is available, indicating the major activities, milestones and responsibilities to implement the five phases of the Adult Learning and Education System Building Approach.

Once an agreement is reached to start the ALE system building process, it is useful to draw up a preliminary plan that outlines each phase of the approach and selected key activities and milestones across a potential timeline. Stakeholders have to be assigned different roles and responsibilities in the process. A template for this milestone plan appears in section four of the toolkit. The plan will be revised and updated from time to time as the process and phases of SBA unfolds. Stakeholders may also decide to form a task force or management team to drive the implementation of the plan. This group can be comprised of representatives from different stakeholders. It is important to not only design a plan, but a transparent process with opportunities for meetings, analysis and reflection among stakeholders as well as ground rules for operating the partnership. See the next section for important considerations during the implementation of the plan and phases of ALESBA.

Refer to the tool:

- Develop the milestone plan

3.3. On the Way (Phases Two to Five)

Once sufficient consensus has been reached to use the ALESBA, stakeholders will continue with Phase Two of the approach which focuses on assessment and diagnosis of the current system. If well facilitated, Phase Two can provide multiple opportunities for consensus building which can be carried forward to the remaining phases of system building. However, every phase of the ALESBA should be managed with care not to lose the consensus and enthusiasm for the process. A partnership orientation and teamwork can assist in the process while conflict should be managed promptly. Influencing and negotiating skills may be needed to engage stakeholders when disagreements arise. The system building process is affected by both the internal and external environment and risks should be managed in order not to derail the process. It is useful to not only focus on the contents and outcomes of the phases and process, but also to check from time to time how stakeholder partners feel about the process and the level of consensus. The next section unpacks each of these key considerations for the duration of the system building process. Suggested tools are available in section four.

Partnership

The term ‘partnership’ is used to broadly describe a wide variety of institutional arrangements designed to share and exchange resources and information and to produce

results that one partner alone cannot achieve. These may range from informal gatherings to sharing experiences to the creation of new structures and even organisations to deliver new expanded or improved goods and services. Partnerships change over time as goals, relationships and contexts change. Therefore, it is useful to think about partnering as a process rather than as an outcome, because of its dynamic nature (DFID, 2002).

Some of the reasons for partnering include: (Belete, 2006)

- Single sector approaches have not worked and wider collaboration is needed for sustainable development.
- More resources can be accessed by drawing on the technical, human, financial and physical resources of all partners.
- New partner networks offer better opportunities of engagement and capacity to influence policy, strategies and systems.

This is especially true across the phases of the ALESBA. During the initial stages of consensus building, individual stakeholders are still exploring their roles and responsibilities and have to commit to a new process and approach to working together with new technical methodologies, tools and orientations. The process of system building will change each stakeholder on an institutional level, as well as partners in the bigger objective of system building. What is important is that a partnership is needed to bring system building and strengthening to life. Stakeholders have to commit to being part of a new entity (an ALESBA partnership) with its own vision, values, ground rules, objectives and implementation plan, responsibilities and accountability mechanisms. Therefore, the partnership for ALESBA may go through different stages.

Stakeholders may decide to form a partnership during the stakeholder analysis workshop (depending on the level of consensus reached), or existing networks, coordination bodies and structures may already exist.

If existing structures or bodies will drive the system building process, these structures must take time to orient themselves regarding the new task with new rules as described above. In other cases, it may take longer to form a partnership structure that can drive the process and more consensus building processes may be needed. During the formation of the partnership for system building, the following decisions will need to be made:

- Who are the stakeholders – now called partners?
- What are their expectations?
- What will be their roles and responsibilities in system building – and what will be their roles and responsibilities in the partnership (driving the process of system building)?
- What are the objectives of the partnership and the vision statement (formulated during the consensus-building phase)?
- What kind of structure will the partnership adopt, e.g., are there technical committees, a task force, etc.?
- What are the principles and ground rules for being a partner?
- What will the process of partnership look like, e.g., how often do partners meet, what are their communication and documentation strategies, etc.?
- How will partners be held accountable and what happens if a partner does not perform?
- How do partners commit time, resources, and human capacity, etc.?
- Are tasks and responsibilities to implement the system building implementation plan with milestones clearly allocated?
- How will action-learning and reflection on the system building process take place, etc.?
- How will conflicts be resolved?

Partners may decide to record these issues in a document that will be distributed to all partners and can even sign a Memorandum of Understanding to formalise the partner arrangement. This agreement remains relevant for the duration of all phases in the system building process.

Teamwork

Teamwork is a primary means to implement activities. It is understood that within the broader partnership for system building, teamwork will take place between all partners but also within smaller groupings of partners based on expertise, roles and responsibilities within the process. Teams come in different shapes and sizes and can be multi-disciplinary, multi-culturally and formed across institutions and sectors. Irrespective of the structure of the partnership, roles and responsibilities and ground rules stipulated teams have their own dynamics, especially if a group of individuals from different organisations and sectors come together for the first time to implement a joint task.

Team members each have their own personality and carry their organisation's values and objectives as a responsibility. Some team members may act as observers to see what is expected from them, while others may want to dominate the process. Initially, roles and expectations may be unclear, but gradually the process of team development occurs as team members establish their roles, find ways of doing things and become familiar with the team's dynamics. At times cross-organisational teams or cross-sectoral teams can form such a strong bond and allegiance to the objective of the task that it becomes difficult to distinguish which sector or organisation team members come from. This is the ultimate stage of team performance and transformation.

Generally, the following stages of teamwork can be identified:

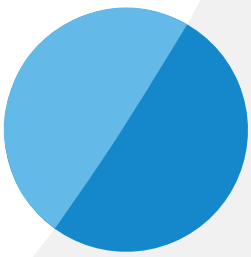
- **Forming:** Team members are oriented regarding their roles, tasks and the objectives of the team. They get to know each other as individual personalities and also from an organisational perspective. Team members may act with the necessary caution at this stage until they are more familiar with the team dynamics. Behaviours may be polite and superficial.
- **Storming:** As teamwork evolves, team members will feel more confident to show their personalities and insist on their organisation's perspective. At this time conflict may occur within the team.
- **Norming:** Irrespective of conflict, teamwork has to continue and team members will eventually find a way to deal with conflict and different personalities within the team. The team will start to form their own norms and focus on the task. This may need good team leadership and the interventions of several team members to get the team on track.
- **Performing:** The team becomes productive and proud of their achievement and perform to carry out all tasks required.
- **Transforming:** Team members become immersed in their task and are transformed in the way they see themselves as part of the task they performed successfully. This may also be the stage where teams have to dissolve because the task is completed. It is useful to capitalise on this stage of teamwork and assign new tasks or roles to teams that reach this stage.

The value of teamwork should not be underestimated during the system building process. Teams that work well together can leverage actions that may influence other processes and stakeholder perceptions.

Conflict management

Although stakeholders may try their best to build strong consensus, consider all ground rules, clear roles and responsibilities, etc., to facilitate a productive process of ALE system building, conflict may still arise between different stakeholders, individual team members, etc. It is important to deal with conflict as soon as it arises to avoid escalation and impact on the overall process. Some guiding principles for conflict management are:

- Identify the source for the tension, grievance and conflict as soon as possible.
- Understand the conflict by conducting a wider analysis and involve key stakeholders in developing an understanding of the context and potential historic causes of the conflict.



- Focus on the central issues of the conflict and do not digress.
- Identify stakeholders that have the influence and credibility/trust to engage the conflicting stakeholders or team members.
- Engage in dialogue and discussion with those involved in the conflict.
- Use influencing and negotiating strategies.
- Formulate potential conflict solutions and/or reduction strategies.

Take care to:

- Disagree with ideas, not people. Do not accuse or blame.
- State the problem as a shared problem.
- Not to compromise too quickly. Quick compromises may mean that the root causes of the conflict have not been adequately explored.

Influencing and negotiating

Influencing and negotiating are important skills across all the phases of the system building approach and help stakeholders to move from an existing system to an improved system. Influencing is not about motivating or obliging others to do what one stakeholder wants them to do, nor is it about turning into a partnership of subservience because one partner may have access to more resources than another. Nor is negotiating about creating sides in which one partner waits for the other to give way. Rather influencing and negotiating is about the recognition that progress may be made bigger or constrained by certain actions from partners.

There may be circumstances where it has to be made clear how much value can be added to conduct activities or processes in a specific way or make certain decisions about system building blocks and how to put them in place. It may also be necessary to show the consequences when activities are not done in a certain way and the risks that may unfold.

The champions or drivers, whether they are one or two key stakeholders or a task force/management team formed by the partners, have to use a variety of influencing and negotiating skills to ensure the system building process moves forward. This is not the task of a consultant, but a task of the partners who are all the owners of the system building process. A consultant may add value with skilled facilitation and communication techniques to create a scenario where all partners can express their views and go through a process of dialogue until they reach consensus.

Effective influencing and negotiating takes place by: (DFID, 2002)

- Stressing the worthwhile nature of an action in the long term.
- Asking for partners' help in solving a problem.
- Giving recognition for ideas, achievement and contributions.
- Providing opportunities for collaboration alongside each other.
- Sharing information, being open and setting objectives with all parties involved.
- Being flexible and considering different options.

Risk management

A range of possible gaps, misunderstandings and lack of capacity can hinder the formation and continuation of successful partnerships. There may be long-standing mistrust between certain stakeholders or a lack of understanding of one another's interests and needs.

Underlying political and institutional obstacles can complicate matters further. These gaps can lead to lengthy discussions to resolve the problem. Therefore, it is useful to conduct a risk analysis during the consensus building phase to be prepared for any risks that may arise during the phases of implementation (UNDP Public-Private Partnership for the Urban Environment, 2005). The analysis can be used by stakeholders to:

- Identify the types of risks (e.g., political, institutional, implementation, financial and environmental risks).
- Analyse the risks involved.
- Seek means to eliminate, reduce or mitigate the risks.
- Allocate risk management to those stakeholders who can influence them.
- Share the remaining risks.

Certain risks will be within the control of ALESBA partners, e.g., risks that occur because of poor planning, not executing tasks on time, lack of accountability, etc. Other risks can come from the wider system within which the system building process takes place and which are part of what should be changed, for example, a poor policy environment, lack of political will and commitment, institutional weaknesses, etc. In the context of the ALESBA, these 'risks' are the core business of the system building process.

Therefore, risk analysis within the context of the ALESBA refers to the kind of risks that can derail the system building process over time, e.g., partner commitment, funding for the process, change of government, commitment to the process, staff turnover in partner organisations and so forth. The probability of the risk should be analysed as well as the potential impact it may have on the process of system building. Strategies to avoid, minimise or mitigate these risks should be developed, preferably in Phase One, and continuous monitoring of risks should take place during the system building process with action taken as soon as risks are identified.

Periodic monitoring of consensus among stakeholders

As already mentioned, the level or status of consensus should be monitored or checked periodically for the full duration of the system building process across all phases. Consensus among partners remains a key ingredient for the success of system building. It is important to not only focus on the tasks and activities of system building and whether the milestones are reached on time, but also to consider how partners feel about the progress and their role in the process. Successes and milestones should be jointly owned and celebrated and credit given where it is due, while accountability should also be enforced within the ground rules of the partnership.

Therefore, the drivers of the process should find time and space to allow partners to voice their opinions on:

- The progress of the system building process and successes and challenges.
- Their perception of their own role in the process.
- Their opinion on partnership relationships and how the partnership is managed.
- Recommendations regarding how they would like to continue in the partnership.

This kind of session can be done during partner meetings or workshops during the process. A session or a day should be allocated on a quarterly or bi-annual basis to assess the system building process as well as the partnership. Different tools and techniques can be used to assess the level of consensus among partners or to focus on specific issues within the partnership.

4. TOOLS FOR THE CONSENSUS BUILDING PHASE

This section elaborates a selection of tools that can be used during the start-up of Phase One and for the duration of the implementation of the ALESBA, as consensus building is an ongoing process. Users of the toolkit are encouraged to use their own tools and experiences with an emphasis on participatory and visual tools that will create a common understanding and build consensus. The suggested tools are presented as per the steps during the start-up of Phase One. All tools have to be contextualised as per the needs of different countries and ALESBA partner formations. Note that all the tools and processes described in this booklet are iterative and the findings generated by one tool may be used to influence or deepen analysis when using another tool or facilitating the next steps in the process. More tools, case studies, experience sharing and PowerPoint presentations are available on the Adult Education Africa – Moja platform: www.mojaafrica.net

1. Define the scope and context of the adult learning and education system

Outcome: The definition of the scope and context of adult learning and education programmes/sub-sector that will be addressed.

Two different tool options are presented below. Users of the toolkit can select the most appropriate option or use both tools within a sequence or combination as per the context and needs of the group.

Tool 1: Historical timeline and trends analysis

Aim: To discuss the main changes that have occurred in the ALE sector and the level of impact these events have had over time on stakeholders and actors, as well as women, men and youth.

Materials required: flipchart sheets, markers, tape, and post-it notes (two different colours of post-it notes if possible). And provide a place to present the results, e.g., a large wall.

Steps in the process:

i. Getting started

Tape two or three flipchart sheets end to end on a wall. Draw a line down the middle of the flipcharts. Write "then" at the beginning of the line and write "now" at the end of the line. Write "challenging events" on the left-hand side of the line and "positive events/ achievements" on the right-hand side of the line.

ii. Drawing the timeline

Explain the purpose of the historical timeline, in particular why an understanding of past events is important to analyse the present, using some relevant examples.

Ask the participants to record key events that have occurred in the adult learning and education sector on post-it notes, such as the enactment of key legislation, the commencement of influential adult literacy programmes, campaigns or the release of research data, etc. (If available, use different colours of post-it notes to denote challenges vs achievements.) Paste the post-it notes in chronological order on the timeline. Place challenging events below of the line and

Figure 1: Example of a Historical Timeline diagram (Ward)

positive events above of the line. Discuss the reasons why participants feel each event was challenging or positive.

Write relevant dates along the timeline to help participants arrange the post-it notes chronologically. Keep asking probing questions until the group feels they have included all notable events, achievements, and challenges.

iii. Group discussion
Discuss the implications of the events and any connections between them. As these issues are being discussed, problem areas and new insights can also be explored. Once the discussion is complete, summarise the key points and conclude the exercise.

Exercise adapted from "Time Line" (Coninck, 2000).

Tool 2: Mapping the range and extent of ALE programme interventions

Aim: Identify the types and focus of the key ALE programme interventions across the country.

Materials required: flipchart sheets, markers, tape, post-it notes, and coloured cards. And provide a place to present the results, e.g., a large wall or table.

Steps in the process:

i. Getting started
Tape several flipchart sheets together to form a square. On the flipcharts, draw a large outline of the country in which you are working. Include major cities and a few key landmarks. Tape the map to the wall.

ii. Drawing the map
Ask participants to use markers, symbols, post-its, or coloured cards to indicate the location of current ALE programme initiatives undertaken by various stakeholders in the country at present. Include specific programmes implemented by the government, non-government organisations, universities, development partners, and other stakeholders.

Record details regarding key ALE programme interventions on separate cards or post-its and paste them onto the map, such as:

- Name of programme/project/service;
- Implementing partners/actors;
- Timeframe of intervention;
- Aim of the programme/ intervention;
- Target locations/communities (if relevant);
- Target groups (e.g., gender/age, etc.) and the number of beneficiaries (if relevant).

Once the map is complete, summarise the key points that have emerged. Discuss any new insights or lessons that have emerged during these exercises. Key questions to be answered during the analysis and discussion to determine the scope for ALE system building are:

- What are the main focus areas of all the programmes/ projects/services on the map? E.g., mostly adult literacy, or non-formal skills training or integrated programmes. The answer to this question will determine the major scope of existing ALE interventions.
- Who are the main target groups addressed by these interventions?
- Do the current interventions address the needs of these target groups?
- What has changed over time? Refer to the historical timeline and trends analysis.
- Do the ALE interventions reach all parts of the country equitably?
- Considering the answers to these questions and the wider discussion, what should be the focus area and scope of the ALE system building process, e.g., adult literacy, an integrated approach/focus considering which elements of ALE (skills training, civic education, etc.)?
- Which stakeholders play major or complementary roles in the process? Refer to the section on stakeholder analysis.

Emphasise that the analysis of the context will be used in the next step of the process, which will start to unpack and agree on major challenges within the existing adult education system and regarding service delivery.

2. Unpack and agree on major challenges within the existing system and service delivery

Outcome: Major challenges within the existing system of ALE service delivery are listed and clustered.

Two tools are presented namely the Battery Tool and the Cause-and-Effect analysis. Once again users may select one tool or use both in a sequence or a combination of the tools to reach the outcome described above.

Tool 1: The Battery Tool

Aim: To identify key strengths and challenges within each element of the ALE system.

Materials: flipcharts, markers and post-its.

Steps in the process:

i. Getting started
On a flipchart, draw four batteries and label them:
a.) Enabling environment, b.) Institutional arrangements, c.) Technical processes, d.) Management processes.

Figure 2: Example of Battery Tool diagram (Ward)

ii. Describing a 'full' battery
Remind participants of the building blocks within each of the four key elements of ALESBA. Introduce the metaphor of a battery and energy levels, by using an example of a mobile phone, car battery, or torch. The idea is that a full battery is one that is at its maximum capacity, and so can do its job most effectively. While an empty battery is one that needs charging before it can achieve its purpose.

Divide the participants into four groups and assign each group one of the four 'batteries' or elements of the ALE system. Ask each group to discuss the elements they have been allocated, and to describe what a fully charged battery would look like to them. They should list the key aspects of a fully functioning element on a flipchart to describe how it will function when all building blocks are in place within a well-designed system.

Once participants have had a chance to discuss their descriptions, ask each group to present their responses to the whole group. In plenary clarify or add any supplementary points to the lists on the flipcharts.

iii. Group discussion
Using the descriptions of the 'full' batteries for each element, ask participants to discuss the following questions:

- What are the most important aspects of each battery that will keep it fully charged? Address each element one by one and use symbols or stickers to highlight the chosen aspects.
- What is draining each battery at present? And why?
  - *If required, choose 2–3 key draining factors for a more detailed cause-effect analysis in the next exercise. (See cause-effect exercise below).*
- What are the linkages between the other batteries and the factors that are causing the battery power to drain?
- For each battery, what are the three most critical aspects that are causing its power to drain at present? Document the chosen aspects and give reasons for each point.

- How full is each battery at present? And why? List three key reasons for the score allocated to each battery. Ask each group to colour in their battery to indicate how full it is and to present their reasons for the rating to the rest of the group.

iv. Determining how to 'recharge' the batteries
Return to the descriptions that participants developed above regarding the 'full' batteries and compare them to the current battery levels. Discuss what is needed to 'recharge' the four batteries:

- What would you like to improve over the next five years regarding each battery to achieve a fully functional element of the ALE system?
- What does a.) the government, b.) civil society and c.) other actors need to do to 'recharge' each battery?
- What support and resources do each group of stakeholders/actors require to ensure the batteries are 'recharged' in a sustainable manner?

Round off the discussion by asking participants to identify and mutually agree the three most important issues to be addressed to 'recharge' the four batteries and achieve a fully functional ALE system to which they aspire. Ask participants to give reasons for their chosen priorities and record responses on a flipchart.

Note: Facilitators can include different types of ranking tools/ exercises to choose priorities if required, e.g., preference ranking, pairwise ranking and matrix ranking. Conclude the exercise by asking participants to summarise the key insights they gained from this exercise and discuss the implications for strengthening the ALE system at different levels across the country.

Exercise adapted from "Using the Battery Tool" (VSO Bangladesh, N.D.).

Tool 2: Cause and effect analysis

Aim: To analyse the root causes and effects of an issue in more depth, as well as the relationships, and dynamics between different levels of causes and symptoms.

Materials required: flipchart markers, and cards.

Note the diagram can either be drawn directly on a flipchart sheet and causes and effects identified during the process of analysis and discussion, or the causes and effects can be brainstormed and written on cards and the cards can be arranged on the diagram or problem tree.

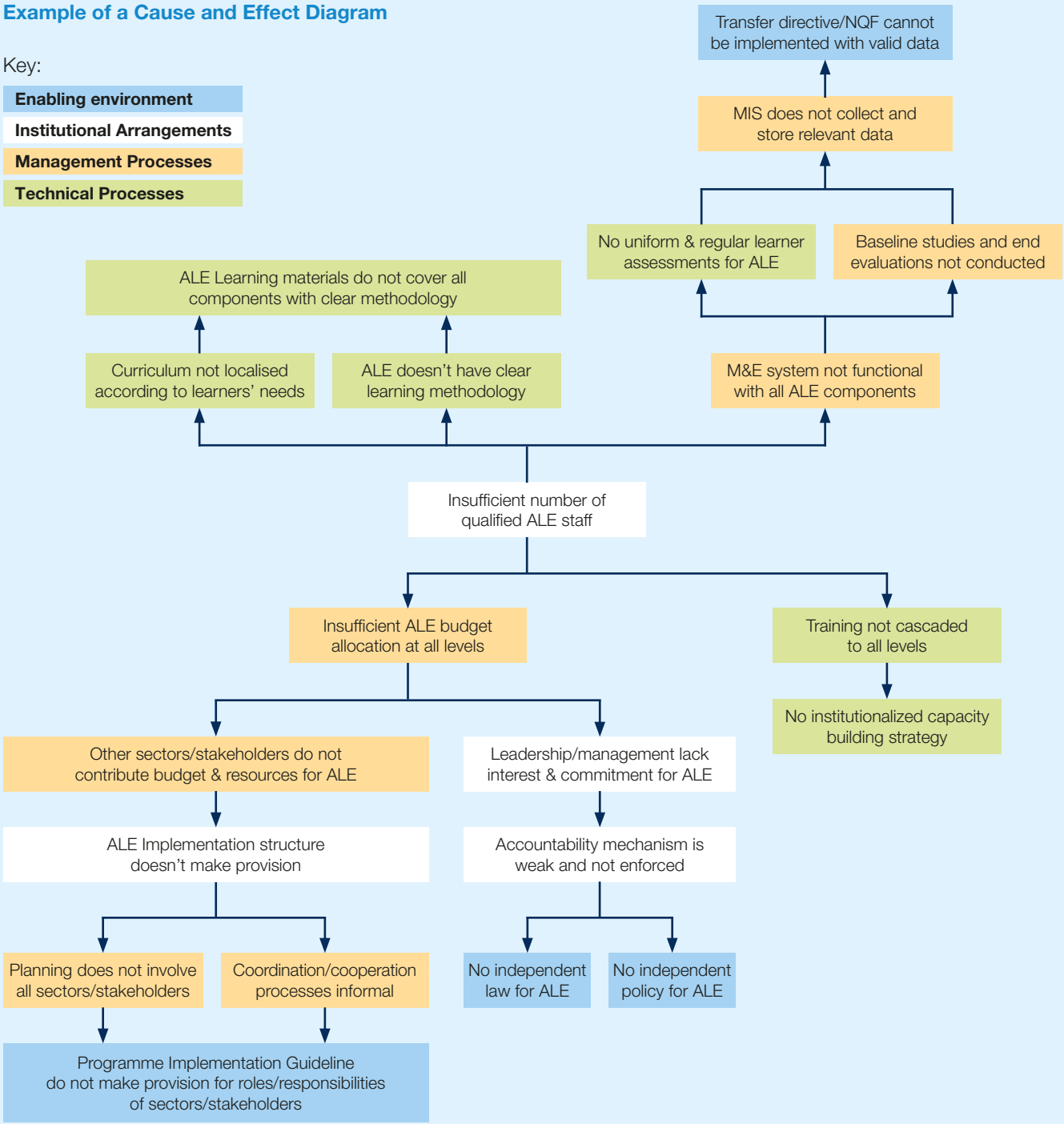
See the booklet on Phase 2 (Assessment and Diagnosis), for further details on cause-and-effect analysis and examples of diagrams. Note that this preliminary analysis can be compared with the in-depth analysis once the assessment exercises conducted during the peer review have been concluded. The comparison of the diagrams before and after the system assessment may provide interesting insights for the assumptions stakeholders hold about system functioning and failure.

Steps in the process:

i. Getting started
Start by explaining the purpose of the exercise and why the image of a tree with roots and branches is useful. Clarify the expected outcome of the exercise. Using the challenges and 'draining' factors identified in the battery exercise above, choose three issues for further analysis. If required, divide the participants into three groups and assign each group a separate issue to discuss. If useful and time permits, divide participants into different

stakeholder groups to get different perspectives on the *same* issue. This can help to surface different views and ideas regarding a particular issue. This technique is very effective if stakeholders need more time to reach consensus on an especially challenging aspect of the adult education system.

Example of a Cause and Effect Diagram



ii. Drawing cause and effect diagrams
Ask the group to summarise the issue to be discussed in a short phrase (i.e., in not more than 5–6 words) and write the phrase in the centre of a flipchart. Start by discussing how the issue came about. A set of initial causes will be identified. These can be recorded on the flipchart as the 'roots' of the problem.

Continue to ask probing questions and 'why' for each of the initial causes to identify deeper roots of the issue. Lines can be used to show different connections between successive layers of causes. Keep asking 'why' to explore these connections and their implications and to identify the root causes of the issue.

Return to the initial issue and start discussing the effects of the problem. A set of initial results can be recorded on the diagram as 'branches' and 'leaves'. Continue the discussion of effects and plot the results on the diagram.

Use symbols, e.g., '+' or '-' or colours to indicate positive or negative effects. Use lines of different thickness and arrows to indicate the strength and direction of the relationship between different causes or effects.

Avoid taking too much time on this exercise, as a more comprehensive assessment and diagnosis of the system will be conducted in Phase Two. Brainstorming the main causes and effects from different stakeholders' perspectives will be sufficient at this stage.

iii. Group discussion
Once the small groups have completed their cause-and-effect diagrams, ask them to present their diagram to the rest of the group. Discuss the similarities and differences between the different diagrams.

Conclude the exercise by asking people to reflect on what new insights they gained from the exercise. Emphasise the benefits of systems thinking and outline how this information will be used in subsequent phases of the consensus building process.

Exercise adapted from "Problem Trees" (Coninck, 2000).

3. Conduct a preliminary visioning exercise

Outcome: A preliminary vision that describes what the new ALE system will look like and how it will contribute to national goals and service delivery.

Aim: To jointly develop a vision statement that will guide the development of the new ALE system.

Materials required: flipchart, markers, crayons, stickers, and coloured cards.

Steps in the process:

i. Developing a vision of society
Divide the participants into small groups of four or five people. Using the results from the battery tool in the previous exercise, ask the small groups to identify three or four key challenges they will be seeking to address. Ask each group to write these issues on a flipchart.

Ask the participants to imagine a society where these issues have been completely solved and to draw a picture of what such a society will look like. Use the following questions to help people think about their vision of society:

- What kind of society do you want in 10–15 years?
- How have these main challenges been resolved?
- What are women, men and youth able to do differently?
- Which other stakeholders are you working with and how are you relating to them?
- What is the quality of your work?
- What difference are you making in the ALE sector?
- What are the most significant achievements that will have been made?

Encourage people to use colours, shapes, words, and images to represent their vision of the future.

Once everyone has completed their drawings, ask each group to present their pictures to the rest of the participants, and explain what they represent. While people are presenting, ask one of the participants to capture key words and value-related phrases on a separate flipchart, e.g., *all* women, *equal* access, *full* potential, *inclusive and affordable* adult education, etc.

Tape the pictures onto the wall for everyone to see.

ii. Developing a vision statement

A vision statement describes what a group, organisation or institution desires to achieve in the long term. It depicts a vision of what the context, community, or sector will look like in the future and sets a defined direction for the planning and implementation of development strategies (Corporate Financial Institute, N.D.).

To develop a vision statement after the presentations, ask the participants to study the words and phrases that have been recorded. Give each participant three stickers and ask them to use the stickers to 'vote' for those words or phrases that they find most inspiring, by placing the stickers on the flipchart next to the relevant words. Once everyone has voted, circle the words and phrases that received the most votes.

Ask the group to nominate three volunteers who work together to construct a vision statement that reflects the most popular words and phrases chosen by the group.

Present that proposed vision statement to the rest of the participants. Discuss and refine the statement until the whole group is comfortable with the outcomes and own it as theirs.

iii. Developing a mission statement

If time permits, develop a joint mission statement. This is a statement that describes what the group does, with whom it works, and who it targets.

Divide participants into groups of four to five people. Ask each group to identify the most important individuals or groups who will benefit from the ALE interventions identified in the previous exercise. Ask each group to discuss the following questions:

- What do the beneficiaries stand to gain from the intervention, e.g., a service, product, long term benefits, strengthened adult learning and education system?
- What could they stand to lose, e.g., certain powers, clients, members?
- What could they contribute to the initiative, e.g., support, resources, expertise, political credibility?

From this discussion, generate a mission statement that includes the following:

- Name of the initiative.
- What the initiative will do or provide.
- With whom the initiative will work.
- Who the initiative will aim to target.

Ask the groups to share their mission statements with all the participants. Ask the 'vision group' to use the different statements to develop a combined mission statement. Discuss and refine the mission statement until the whole group is comfortable with the outcomes and own it as theirs.

Jointly developing the vision and mission statements allows for collective understanding and is a critical step towards mutually agreeing on an intervention. Thus, this is a critical step in the consensus building process and will influence the remaining phases in the process.

Exercise adapted from "Developing a Vision Statement" (Thaw, 1997).

4. Conduct a stakeholder analysis

Outcome: Key stakeholders identified with their current and potential future roles in ALE system building

Aim: To analyse the range of stakeholders, actors and decision-makers active in the ALE sector, their level of influence, and how they relate to each other.

Materials required: flipchart, crayons, markers, stickers, and cards of different colours cut into circles of different sizes. Make sure you have at least 20–30 circles of different sizes and colours.

Steps in the process:

i. Getting started

Clarify the purpose of the exercise, in particular why an understanding of different stakeholder groups and their influence is useful when developing new ALE systems. Explain that a Venn diagram uses circles of different sizes to show the influence of stakeholders and relationships between different groups/stakeholders. Circles that overlap have a commonality, while those that do not are independent. Venn diagrams help to visually represent the similarities, differences, and power relationships between different stakeholder groups.

Ask participants to identify the range of current stakeholders active within the ALE sector, and to list them on a flipchart. Stakeholders include any individual, community, group, organisation, agency or institution with an interest in the outcome of an adult education intervention, either as a result of being affected by it or being able to influence the activity.

Once participants have generated a list of stakeholders, ask them to categorise the stakeholders according to three groups:

- **Key stakeholders:** Those who can significantly influence or are important for the success of the intervention.
- **Primary stakeholders:** Those individuals and groups who are ultimately affected by an intervention as beneficiaries, either positively or negatively. This category of stakeholders represents the target group of the initiative.
- **Secondary stakeholders:** All other individuals, organisations or institutions with a stake, interest, or intermediary role in the intervention. This group can include government offices at all levels, NGOs, bilateral and multilateral donors, UN agencies, and universities.

During the consensus building phase, more attention will be paid to the key and secondary stakeholders. The primary stakeholders are acknowledged, but they are not the focus of this exercise. More attention will be paid to them during Phase Two of the adult learning and education system building process.

ii. Drawing the Venn diagram

Ask participants to draw a large circle on a flipchart and write ‘primary stakeholder’ or target group in the middle of the circle. The ALE system and the roles of stakeholders are intended to address the needs and interests of this group.

Decide on the role/influence of each stakeholder

Then ask participants to review the list of stakeholders (both key and secondary stakeholders) that they have generated and to write the name of each stakeholder onto a circle

card (one stakeholder per card). As mentioned above, different sizes of cards have to be cut beforehand – maybe three to five different sizes and a number of cards from each size should be available. Before writing the name of a stakeholder on a card, participants should discuss and agree on what is the current role and influence of this stakeholder in the current ALE system and service delivery. If the current role is big and influential, choose a bigger circle to write the name of this stakeholder. If the role is less influential, choose a smaller circle. NOTE the diagram is completed based on current roles of stakeholders – not the role they should ideally play. Therefore, it may be that the government, although an important stakeholder that should play a bigger role in the ALE system and service delivery, may currently play a minimal role and their name may be written on a smaller card. Continue by asking the question 'What is the current role and influence of this stakeholder on the ALE system and service delivery?' and select card sizes accordingly. The size of the circle will therefore indicate the current role and level of influence of stakeholders in delivering services to the target group.

Agree on the current relationships between stakeholders

Ask the participants to place the circles on the flipchart sheet where the circle has been drawn to represent the target group in such a way that shows their relationship to each other. Use the position of the circles or degree of closeness to show the relationship between different groups, organisations and institutions. Touching or overlapping circles indicate that the organisations or institutions are linked or cooperate with each other in some way, while the size of the circle indicates their relative significance within the ALE system. The degree to which the stakeholder delivers services, e.g., size of project/programme/services can be indicated by placing the stakeholder card inside the drawn circle, slightly overlapping or completely outside. The implication may be that an NGO who plays an influential role in ALE system building and service delivery may be placed with a slight overlap on the target group circles, therefore showing that by the size of their circle they play a big role, but their outreach to the target group is limited – maybe because of limited funding, etc.

Draw links or arrows between organisations or institutions to represent the relationships between them. Arrows can be used to indicate the direction of the influence (one way or two way) Lines of different thickness can be used to represent different degrees of power and influence. Use symbols or colours to indicate potential allies, opponents or collaborators.

iii. Group discussion

Note that the Venn diagram will only provide limited information. Thus, it is important to discuss and document more details regarding each stakeholder. It is also necessary to understand the power and political dynamics between stakeholders, that may influence their motivations, and behaviour during the proposed intervention (political economy). These dynamics are often described as 'formal' and 'informal' governance, or the difference between what is supposed to happen in theory and what actually happens in reality. It is critical to analyse and understand these underlying power dynamics as they will have a profound impact on service delivery and operationalisation of the system. These dynamics can either support or jeopardise the successful implementation of the new adult learning and education system.

Therefore, it is important to ask probing questions to bring out key strengths, challenges and opportunities related to each stakeholder, and to document the discussion by completing the following table after drawing the Venn diagram:

Name of stakeholder	Type of stakeholder (e.g., key or secondary)	Current scope of work and role within the ALE sector	Main interests & motivation regarding involvement in ALE system building	Potential future roles they may play in system building (including levels of skills & capacity)	Other considerations for managing or strengthening relationships with this stakeholder (including potential barriers to their involvement)

In conclusion, summarise the key points emerging during the exercise and explain how this information will be used to inform the next step of the process. Exercise adapted from "Venn Diagram" (Coninck, 2000).

5. Introduce the Adult Learning and Education System Building Approach (ALESBA)

Outcome: All stakeholders are orientated in the ALESBA with its conceptual framework, underlying principles, objective phases, tools and methods.

See PowerPoint presentation on ALESBA available on the Adult Education Africa – Moja platform: www.mojaafrica.net

6. Develop a plan with milestones and responsibilities for the implementation of the approach and strengthening of the system

Outcome: A preliminary plan is available, indicating the major activities, milestones, and responsibilities to implement the five phases of the ALESBA.

Aim: To determine a preliminary plan, roles and responsibilities to guide implementation of the five phases of the ALESBA.

Materials required: flipchart, markers, and stickers.

Steps in the process:

i. Getting started

Developing an action plan helps to bridge the gap between workshop discussions and implementation. Too many participatory processes end with recommendations that are not adequately owned, understood or used to improve the proposed intervention. To overcome this problem, a preliminary action plan needs to be based on outcomes and insights generated by the workshop sessions, and by those involved in the consensus building phase.

Start the process of developing a preliminary plan by discussing the following questions with the group:

- What have been the main outcomes, findings or insights generated by the workshop so far?
- What do these findings mean for this intervention?
- What do we want to do or to happen next?
- How will this be done?
- What do we need to do differently?
- What steps need to be taken to build these new insights into our work?

Round off the discussion by completing the following table:

Activities	Outcomes & milestones	Who is responsible	Who is involved	By when	Resources & support required

Finally, agree creative and interactive ways for documenting and disseminating the workshop proceedings, findings, and preliminary action plan to other interested and affected parties.

Conclude the exercise by outlining the way forward and how Phases Two to Five of the system building process will be implemented.

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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DVV International

DVV 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, DVV International has committed itself to support lifelong learning for more than 50 years. DVV 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, DVV International co-operates with civil society, government and academic partners in more than 30 countries in Africa, Asia, Latin America and Europe. DVV 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 DVV 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.dvv-international.de/en/ale-toolbox

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Adult Learning & Education – System Building Approach (ALESBA)

Toolkit for Implementation

Phase Two – Assessment and Diagnosis

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- 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.

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Sonja Belete

Foreword

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.

DVV 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, DVV 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 reach 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)

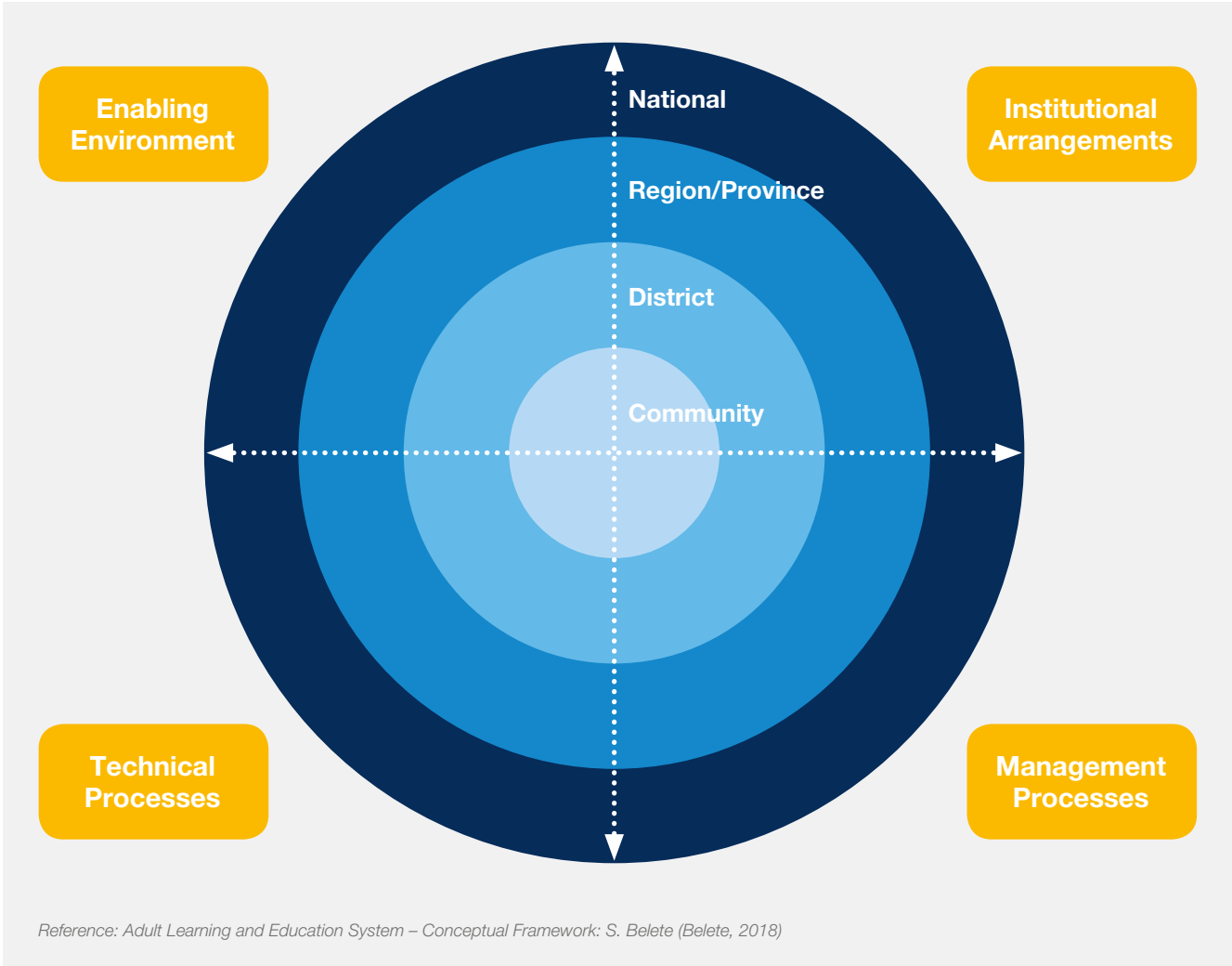
The assessment and diagnosis of an ALE system is guided by the principles and conceptual framework of ALESBA. **It is important to remind ourselves of the framework, elements, and building blocks of the approach elaborated in the booklet 'Introduction to the Approach and Toolkit'.**

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:



Reference: Adult Learning and Education System – Conceptual Framework: S. Belete (Belete, 2018)

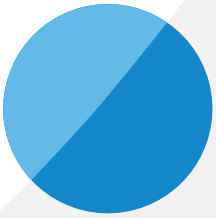
Adult Learning and Education System – Conceptual Framework for ALESBA

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 a 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:

Building Blocks	System Elements			
	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

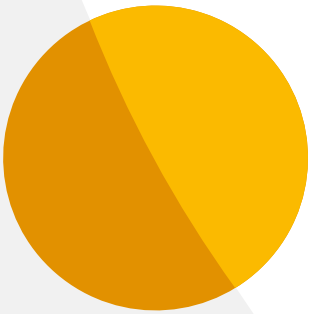
- **Localised curricula** that are relevant to the interests and needs of the ALE target group/learners. It could be developed by staff at the lower government level of implementation who have context and information about the learners' needs and interests. It also considers the contextualisation of 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 repor**t 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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.	• 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)	• 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.)	• 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.	• 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.	• 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.**

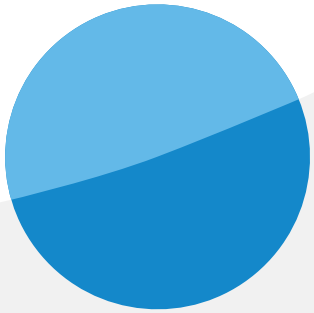
The scoring tool should be completed for each region/province where the assessment was conducted. The analysis of the district information together with the regional/provincial institutional level information informs the overall status of the region/province. The information collected at a national level (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

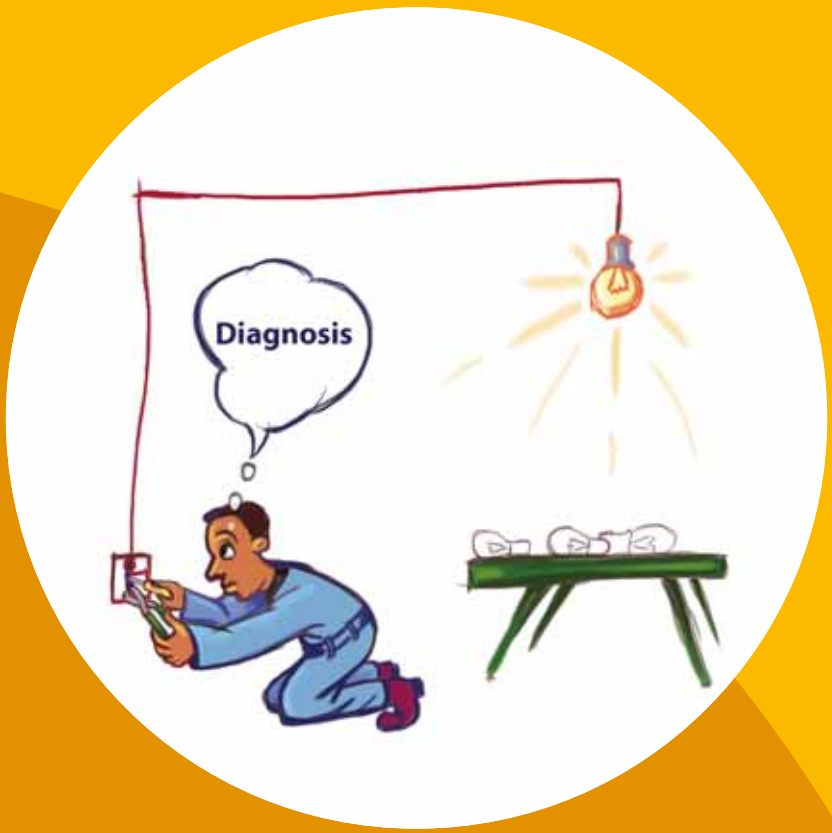
All assessments whether from the demand or supply-side should be well documented. It is useful to share such formats before peer review teams depart to the field to collect data (for either demand or supply-side assessments). The formats can be shared and explained during the training of the peer review 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:	• 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 → / Session ↓	Day One	Day Two	Day Three	Day Four
08h30 – 10h30	• Welcome • Introductions • Expectations • Objectives • W/shop Programme • Background to peer review (rationale, objectives, etc.) • Agreement on ALE scope	• Introduction of peer review: rationale, objectives, methodology, principles • Research design for peer review	Technical processes: Research questions & tools – refine and contextualise	• 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	• Team members: Roles & responsibility • Fieldwork and logistical arrangements
13h00 – 14h00	Lunch			
14h00 – 16h00	• 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	

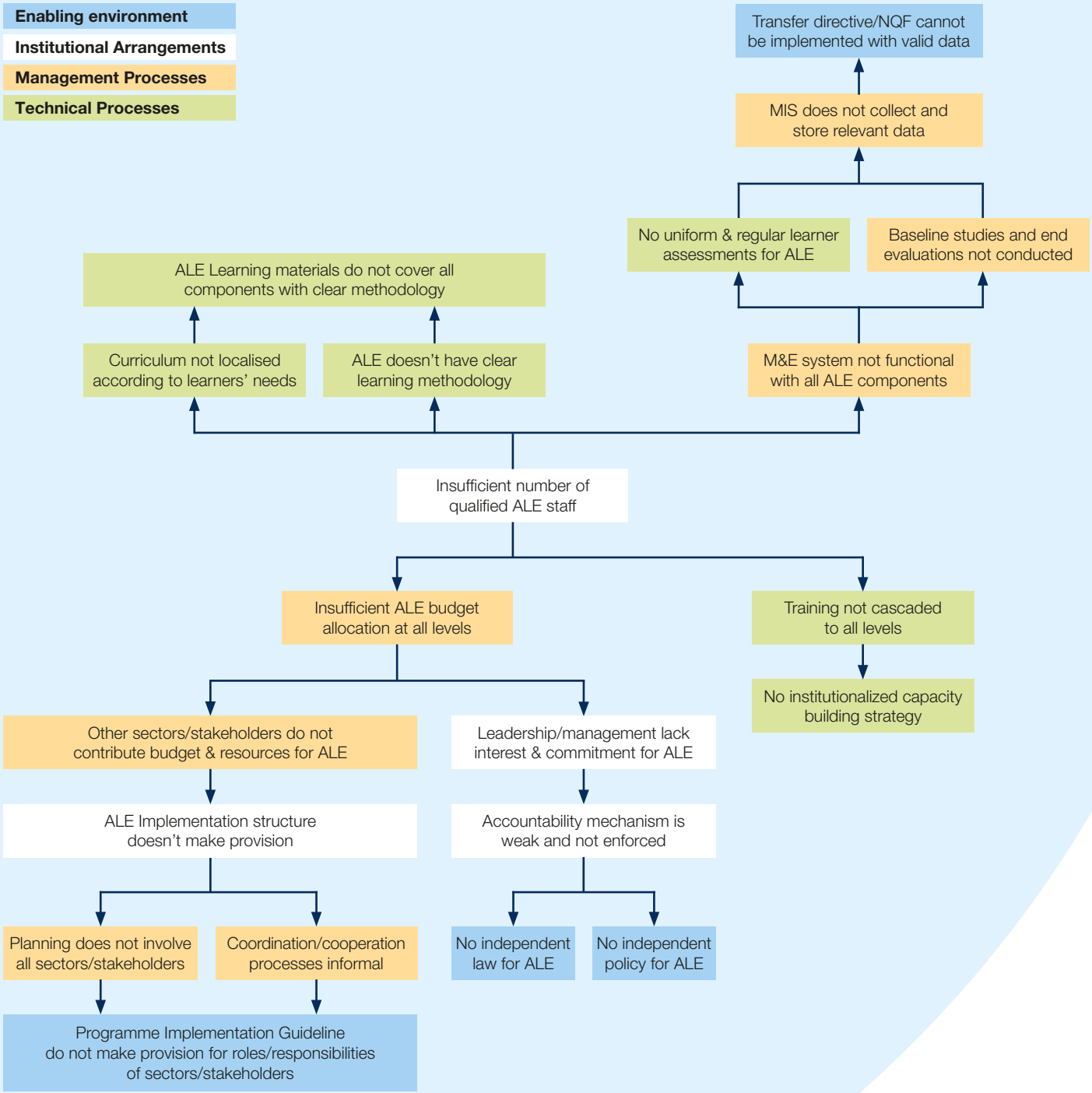
Appendices

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**

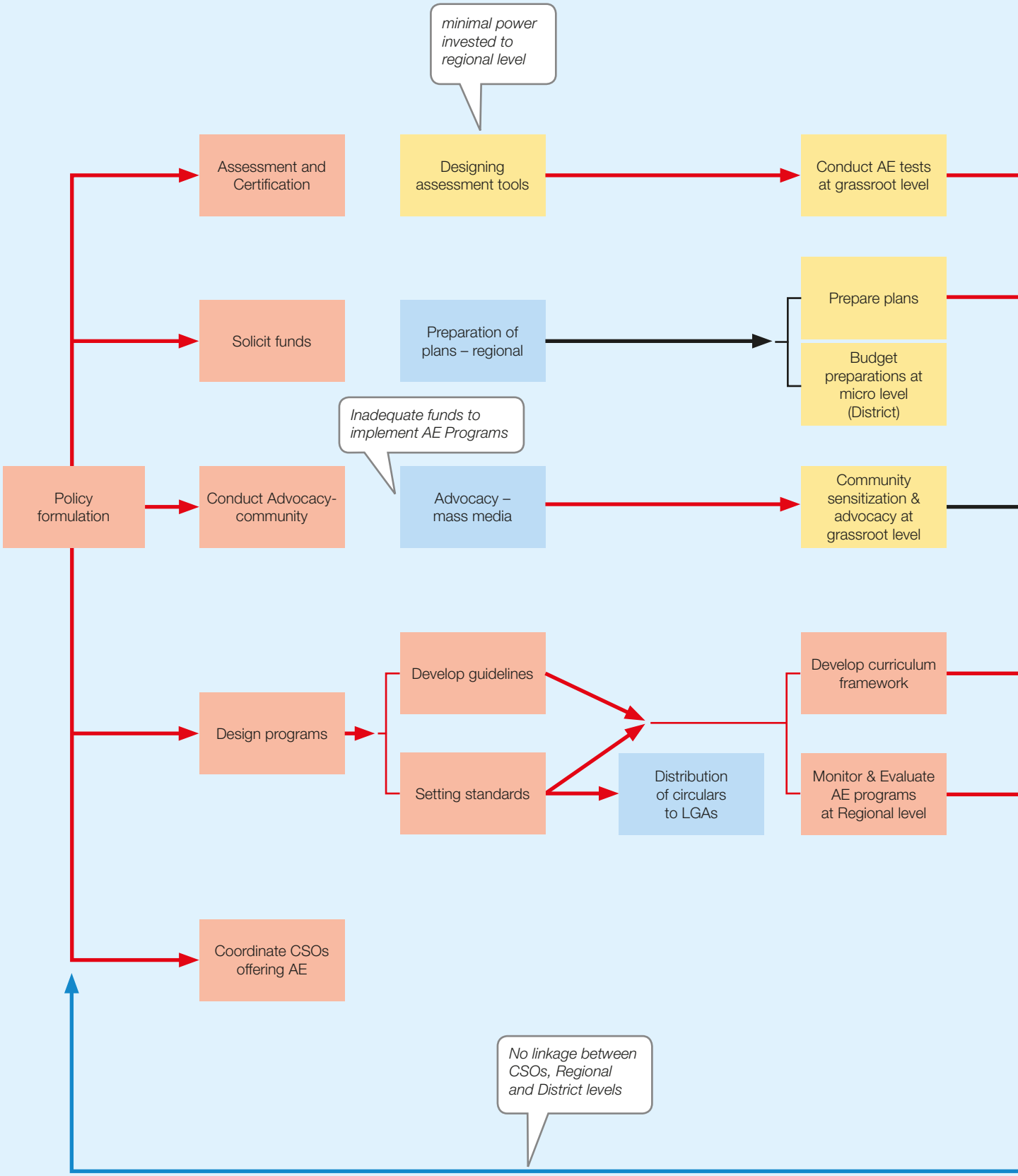
The scores in each element indicate which element is weaker than others. In the below example the scores are low in all elements, but in particular in the enabling environment.

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.

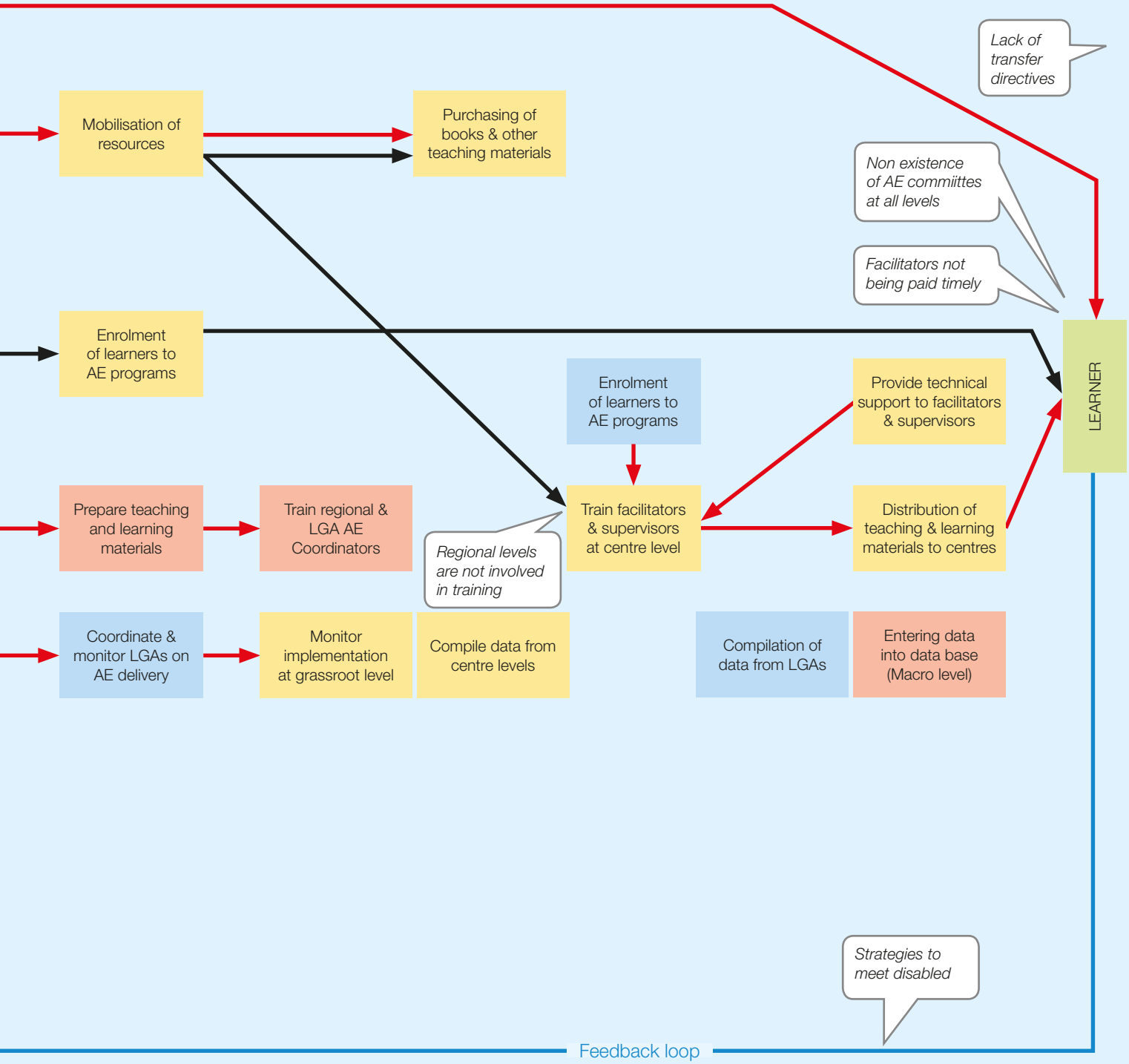
Example of a Cause and Effect Diagram



Example of a Process Map/Service Delivery Chain



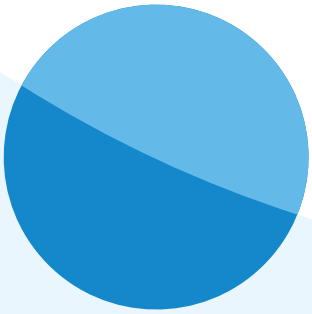
Adult Education Service Delivery Process Map – Example


Lack of transfer directives
Mobilisation of resources
Purchasing of books & other teaching materials
Non existence of AE commiittes at all levels
Facilitators not being paid timely
Enrolment of learners to AE programs
LEARNER
Enrolment of learners to AE programs
Provide technical support to facilitators & supervisors
Prepare teaching and learning materials
Train regional & LGA AE Coordinators
Regional levels are not involved in training
Train facilitators & supervisors at centre level
Distribution of teaching & learning materials to centres
Coordinate & monitor LGAs on AE delivery
Monitor implementation at grassroot level
Compile data from centre levels
Compilation of data from LGAs
Entering data into data base (Macro level)
Strategies to meet disabled
Feedback loop

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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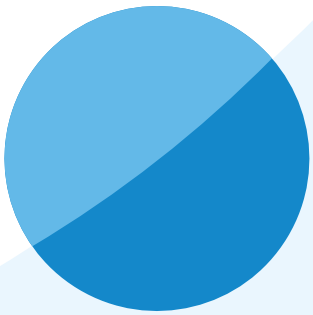

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DVV International

DVV 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, DVV International has committed itself to support lifelong learning for more than 50 years. DVV 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, DVV International co-operates with civil society, government and academic partners in more than 30 countries in Africa, Asia, Latin America and Europe. DVV 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 DVV 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.dvv-international.de/en/ale-toolbox

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Toolkit for Implementation

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Table of Contents

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- 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.

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Sonja Belete

Foreword

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.

DVV 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, DVV 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
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
SDGs ..... Sustainable Development Goals
ToT ..... Training of Trainers
ToF ..... Training of Facilitators
TVET ..... Technical and Vocational Education and Training

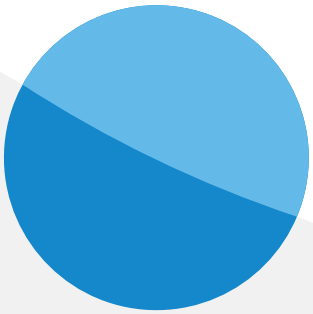
PHASE THREE – ALTERNATIVES ANALYSIS AND DESIGN

1. INTRODUCTION

Phase Three of the Adult Learning and Education System Building Approach (ALESBA) takes the users of the approach into the realm of educational planning and a wider understanding of education systems. The scope of educational planning has been broadened to include all other important educational efforts in non-formal settings, in addition to the formal system of education. The expansion of the understanding of education systems is echoed by the World Bank in the Education Strategy 2020 by confirming that education systems should include the full range of learning opportunities available in a country, whether formal or non-formal, financed or provided by the public or private sectors, NGOs, etc., and the full range of beneficiaries and stakeholders. It should include the rules, policies and accountability mechanisms that bind an education system together (World Bank Group Education Strategy 2020, 2011).

The growth and expansion of education systems are complemented by a growing concern for the quality of the entire educational process. Adult Learning and Education (ALE) policy-makers, practitioners, experts, planners, and administrators have to take note of the importance of implementation strategies, the role of regulatory mechanisms, including the choice of financing mechanisms, certification procedures, and all aspects of the system (Oxenham, 2008). Decision-makers from all stakeholders face different options when planning for and designing ALE systems, programmes, projects and services. For example, they have to make decisions about:

- The role the state will play and the roles of other stakeholders in a comprehensive ALE system.
- The content of the programme (shall it include livelihoods skills, literacy, etc.?).
- The choice of language, materials, facilitators, supervisors.
- Monitoring and evaluation mechanisms, etc.



The variety of systems, programmes, approaches, and methods that have been developed to date in different countries have also produced a variety of results (Oxenham, 2008). These experiences and lessons learned can guide the design of new and improved systems. One major lesson is that no single solution will suit the variety of human situations and the demands from diverse target groups in need of ALE services. Stakeholders and decision-makers may feel overwhelmed in the process. They are also confronted with the outcomes of their own demand and system assessments conducted during Phase Two of the ALESBA and the diagnostic analysis of system blockages and challenges.

The conceptual framework, elements and building blocks of the ALESBA provide an organised and systematic framework and process for all the decisions and design options to be considered. Therefore, Phase Three of the ALESBA is about considering the outcomes of Phases One and Two and feeding these into a decision-making process to design a better and improved system. For each decision to be taken there are alternative options to be considered and weighed against each other.

The booklet introduces an overview of the alternatives analysis and design process before practical steps and tools are presented to facilitate the process. Alternative ALE system design options for each system element exhibit the possibilities available to ALE decision-makers. These decisions and the final system design also impact on assigning new roles and responsibilities to ALE stakeholders for the next phases of system building.

2. REFLECTION ON THE OUTCOMES OF PHASES ONE AND TWO OF THE ALESBA

At this stage of the system building process, the ALESBA partners have already taken a long journey together. They should be well familiar with the ALESBA conceptual framework, its elements and building blocks, and how these are contextualised in their own countries. Key concepts and practices such as systems thinking, service delivery as viewed from the demand and supply side, as well as the underlying principles that inform the approach would have become part of their day-to-day practice and ALESBA vocabulary.

Each of the five ALESBA phases unfolds at its own pace in different countries, depending on the status of the system at the beginning of the process and the level of consensus and nature of relationships between the stakeholders. The consensus building process (Phase One), may take up to a year to reach sufficient agreement before being able to start conducting the assessment of the status of the system (Phase Two, Part One) from the demand and supply side through peer reviews and participatory studies. The assessments can take several months to complete or could even be conducted over a period of two years. Using the information, reports and scores from the assessments to diagnose the underlying causes of system blockages (Phase Two, Part Two) and understanding the systemic patterns between system building blocks is an intense exercise that may not necessarily be completed in one work workshop, but may require constant reflection to generate new insights over time. This may happen during dialogue sessions between the ALESBA partners, or while they are embracing a new way of systems thinking and new partner relations in their ALE projects and programmes. Therefore, it may take substantial time before ALESBA partners reach Phase Three and consider the different alternative options for the design of a new and improved system for ALE service delivery.

Phase Three (Alternatives Analysis and Design) should ideally only commence when certain outcomes from Phases One and Two have been reached. The following is suggested for each phase:

Phase One: Consensus Building

- The relationships between ALESBA partners are reconsidered, reformed, clarified and defined according to the mandates and functions of each stakeholder.
- Overwhelming agreement is reached on the defined scope of the ALE system that needs improvement/ strengthening to address service delivery challenges.
- Agreement is established regarding the use of the ALESBA as an approach, including the use of key tools over five phases to build an improved ALE system within the agreed-upon scope and context.
- A preliminary vision for the ALE system is defined, although it may be revisited at a later stage.
- A preliminary plan for the system building process has been agreed upon with one, or a small group of stakeholders selected to act as drivers of the process.
- ALESBA partners take success ingredients such as partnership, teamwork, conflict management, influencing and negotiation, and risk management on board for the process.

Phase Two: Assessment and Diagnosis

- An in depth understanding of the target groups' interests and needs and their perceptions of the current ALE services exist (as reported in a demand assessment/ evaluation which has been carried out).
- Baseline data has been established on the status of each building block and element in the existing system and is available in the form of narrative reports and descriptions from the qualitative study and the scoring mechanism, that indicates weak areas needing intervention.
- Insights into the root causes and system blockages that lead to poor service delivery and reduced responsive-ness to the target groups' needs have been identified.

Phase One of the ALESBA (Consensus Building) prepares the foundation for stakeholder cooperation and from Phase Two onwards, each phase of the ALESBA filters the information in the system to focus on the key elements and building blocks that need improvement, and redesign; creating opportunities to implement and test the new design, and review, adjust, and up-scale interventions required to put an effective ALE system in place that can deliver services in the long term.

3. AN OVERVIEW OF THE ALTERNATIVES ANALYSIS AND DESIGN PROCESS

Phase Three of the ALESBA starts with the assumption that the outcomes of Phases One and Two may have convinced the ALE stakeholders that:

- **The current ALE system does not meet all the needs and interests of the target group.**
- **Not all system building blocks are in place and functioning.**
- **ALE service delivery is hampered by blockages and challenges within the system.**
- **The scores of the ALE system elements and building blocks indicate weaknesses and gaps.**
- **ALE stakeholders are not necessarily fulfilling their mandates and roles.**
- **ALE stakeholders are not sufficiently co-operating to maximise resources and service delivery, etc.**

The above-mentioned points are examples of the potential findings of the system assessment from the demand and supply side. If stakeholders agree that the existing system needs improvement or a total redesign, they will embark on a process consisting of four main steps:

Steps in the alternatives analysis and design process

- **Step One:** Based on the assessment results from Phase Two, find the best entry point(s) to change and improve the system. Entry points refer to finding system building blocks/elements that need change and improvement and have the potential to provide leverage to change other building blocks/elements in the system as well. It may not be possible or affordable to change all system building blocks/elements and stakeholders may have to prioritise and make a decision regarding which elements and building blocks are in the biggest need of change and can provide leverage for other system changes as well.
- **Step Two:** Based on the prioritised entry points (building blocks/elements), identified in step one, stakeholders will consider and compare different means and modalities to redesign the prioritised system building blocks and elements. They may have to consider different ways to formulate policies, rethink coordination mechanisms and structures, and different service delivery modalities, etc., to ensure that the prioritised building blocks are redesigned for optimised service delivery.
- **Step Three:** Assess the impact of the changes in the prioritised building blocks/elements on the system as a whole (remaining building blocks and elements in the system). Other building blocks and elements may also need adjustment because of the changes made. Stakeholders will have to repeat the process of alternatives analysis and making decisions for these building blocks as well (repeat step two). Keep in mind that system redesign or reform necessitates reforms and changes covering the full span of ALE service provision (Magrath B, 2019).
- **Step Four:** Consolidate the redesign of different system elements and building blocks into a cohesive ALE system design response framework that will describe how the new ALE system looks and how it is expected to function – as well as the process to activate the new system design with reference to Phase Four of ALESBA, namely to implement and test the new design in selected pilot areas with identified target groups.

The design of an improved system requires careful consideration of the different options/alternatives available as well as reaching decisions with the necessary transparency and consensus regarding which option will be the best. This is evident throughout the four above-mentioned steps.

Analysing the alternatives and making a decision

An analysis of alternatives is a systematic way of searching for and deciding on solutions. It follows a problem analysis and it is a prerequisite to designing action strategies and new systems. Alternatives can be analysed as different means to reach a prior end (Lohmeier, 1994). An Alternatives Analysis usually devolves into three steps:

- Search for alternatives (what choices do we have?)
- Weigh the alternatives against selected criteria.
- Decide on the alternatives to be pursued.

The first step would imply we have named or listed different options or means by which a defined status or objective could be reached to resolve existing challenges or blockages. At the end of the second step, we would have assessed the possible alternatives by applying relevant criteria to weigh the different alternatives available. The selection process for choosing between various alternative options is more effective when:

- The understanding of the respective problem situation is clear.
- There is a clear vision related to different solutions.
- The selection criteria for decision making are transparent (Lohmeier, 1994).

When considering alternative options, it is useful to: (DEVCO B4 Education Discussion Paper, 2014)

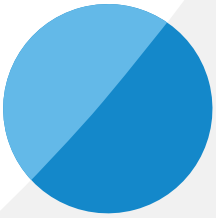
- Make what already exists work better, i.e., develop strategies that work to make what is in place work better.
- Avoid implanting external solutions that may not consider the many local variables and context.
- Find answers to problems within the existing system.
- Keep in mind that 'form follows function' and don't be tempted to start restructuring before analysing what kinds of services the system has to deliver and which building blocks are necessary to do so.
- Identify leverage points that may accelerate system changes across multiple building blocks and elements at the same time (Southern Africa Capacity Initiative, 2006).

Changing a system requires bold decision-making by key stakeholders. This may require challenging a range of aspects, such as, the role of public sector institutions, long-held organisational behavioural practices, and stakeholder roles and relationships as well as adopting principles and values of demand-driven service delivery, integrated and multi-sectoral approaches, and improved governance systems across all spheres of governance. The importance of systems thinking in the process should be re-emphasised with a short reminder.

The impact of system dynamics

Since all elements and building blocks in the ALE system are linked through structures, processes and feedback loops, a change in the design of one building block may off-set a series of consequences in other building blocks. There is a growing consensus that interventions to improve learning opportunities and outcomes must be designed and studied as part of a broader system of education. ALE service delivery and the learning opportunities it provides are affected by a complex web of dynamics involving different inputs, actors, processes and socio-political context. The focus has shifted away from individual interventions and programmes to the system as a whole. There are numerous examples of well-intentioned policies and programmes that have resulted in unexpected consequences which either manifest in other parts of the system or address the symptoms without tackling the root causes of the problem (Magrath B, 2019).

The redesign of the ALE system or selected building blocks usually takes place while the system is still functioning. It is not possible to stop the delivery of all services until the system has been redesigned and to start afresh. System changes have to be introduced into an already functioning system which may complicate matters further. Bear in mind that the system plays out across all spheres of governance and may include multiple sectors and stakeholders. The complexity of the system requires innovative approaches to examine problems, come up with alternative solutions and bold decisions that can fundamentally improve the current situation.



4. FACILITATING THE ALTERNATIVES ANALYSIS AND DESIGN PROCESS: STEPS AND TOOLS

Facilitating Phase Three of the ALESBA consists of four main steps, each with its own processes and tools. Different system design options are available for stakeholders and the choices made will affect their own role in the system. Therefore, section four should be read together with section five, which elaborates system element design options, and section six, which refers to the different roles of stakeholders in the process. ALESBA stakeholders have to contextualise and complement the suggested tools and processes below.

A roadmap for the facilitation of the alternatives analysis and design process

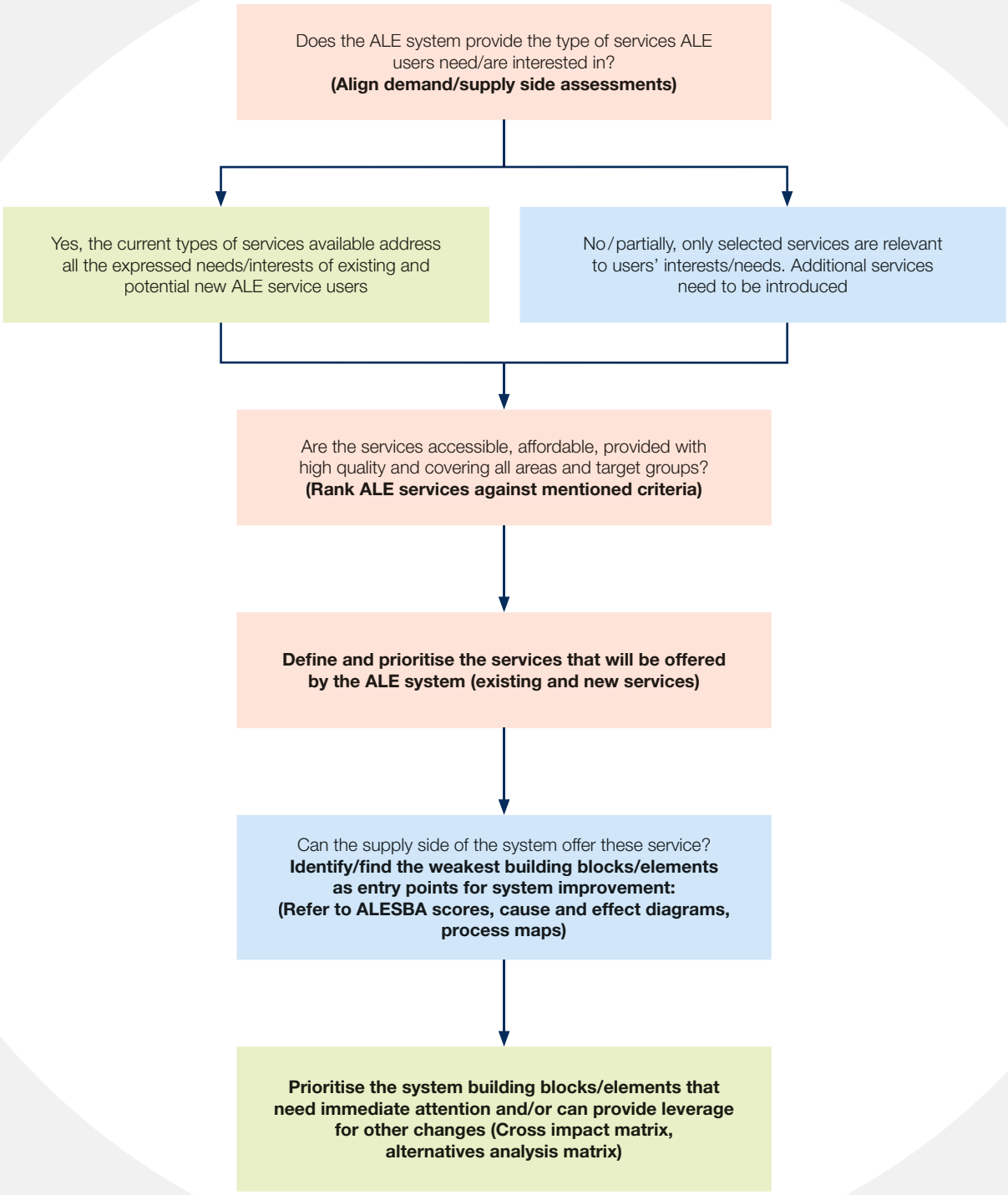
The volume of data and information generated during Phase Two needs to be processed within a systems framework to find the best entry points to change/improve the ALE system. This provides a seamless transfer to Phase Three. The roadmap presented in the table below can guide the facilitation of the four steps involved in the alternatives analysis and design process during a series of workshops and meetings, etc.

Step	Outcome/Decision	Processes/Tools
Step One: Find and prioritise the best entry point(s) to improve the ALE system	Decisions on: • The prioritised types of ALE services the system will provide • The prioritised building blocks/elements for ALE system improvement	• Align demand and supply-side assessments • Ranking ALE services • Define/prioritise ALE services that will be offered • Identify/find weakest building blocks/elements (ALESBA scores, cause and effect diagrams, process maps) • Prioritise the selected building blocks/elements (Cross impact matrix, alternatives analysis matrix)
Step Two: Consider alternatives for the redesign of prioritised system building blocks/elements	Decision on the best way/means/modality to improve the functioning of each prioritised system building block/element	• Search for alternative design options (brainstorm, research, and evidence-based influencing, etc.) • Weigh the options/alternatives (e.g., different literacy methodologies, and learner assessment approaches, etc.), against selected criteria (alternatives analysis matrix) • Make a decision on the best alternative to be pursued
Step Three: Assess the impact of the redesign on the whole system	Decisions on: • Which other building blocks are affected because of the changes in step two • Which affected building blocks are prioritised for redesign • The best way/means/modality to improve the functioning of these affected building blocks	• Finding affected building blocks (Objectives tree, Process maps, Scenario sketching) • Deciding on the best way/means to improve the affected building blocks: (Search for alternative design options, weigh the alternatives using the alternatives analysis matrix and make a decision on the best option, i.e., repeat step two)
Step Four: Consolidate the redesign of the system into a cohesive ALE system design response framework	Completed ALE system design response framework: • Finalised and prioritised list of all redesigned system building blocks/elements, including how this will be achieved • Revisited Vision • Stakeholders roles and responsibilities • Operational plan for implementation and testing	• ALE system design response framework: Suggested table of contents

4.1 Step One: Find and prioritise the best entry point(s) to change/improve the ALE system

To find the best entry points for ALE system improvement, the first question to ask is whether or not the supply side of the ALE system delivers the type of services the ALE target group needs and requests (the demand side).

The answer to this question assists in identifying entry points for system improvement on the supply side while addressing the needs on the demand side. The flow diagram below explains the processes involved in step one.



The processes in step one

As per the flow diagram above, the main entry point for the improvement of an ALE system lies in the question of whether or not the existing ALE system provides the types of services that the ALE target group/users of the service need or are interested in. If the current services do not meet the needs of ALE learners, the system does not fulfil its purpose and redesigning the system's supply side becomes obsolete. Therefore, the entry points for system improvement can not be divorced from referring back to the demand assessments carried out during Phase Two. If not already completed during the demand assessment it is useful to rank the services against criteria such as quality, and accessibility, etc., as viewed by the ALE learners/users. The ranking provides insights into which services are in high demand, but also where gaps lie in terms of poor quality, and coverage, etc. Whether the answer to the first question is yes, no or partially, the types of services demanded by ALE users should be defined and prioritised based on what the system can manage, afford and will deliver from here onwards.

The next question to ask is whether or not the supply side can offer the type of services that are requested and needed by the target group. If all the building blocks are not in place and/or functioning as they should, this will not be possible. Therefore, ALESBA stakeholders have to interrogate the results from Phase Two in the form of the ALESBA scores (and the accompanying qualitative data), the cause and effect diagrams, process maps and any other analytical exercises completed during the diagnostic process (Phase Two, Part Two) to identify the weakest building blocks and elements that need immediate attention and/or can provide leverage for changes in other system building blocks, (e.g., improving the coordination mechanisms and processes may assist in more integrated service delivery, and in reducing the financial costs in one sector, etc.). For various reasons, it may not be possible or affordable to start the redesign and improvement process of all system building blocks, and the ALESBA stakeholders may have to prioritise and decide on what should come first and what can be addressed at a later stage. This will also be recorded in the ALE system design response framework during step four.

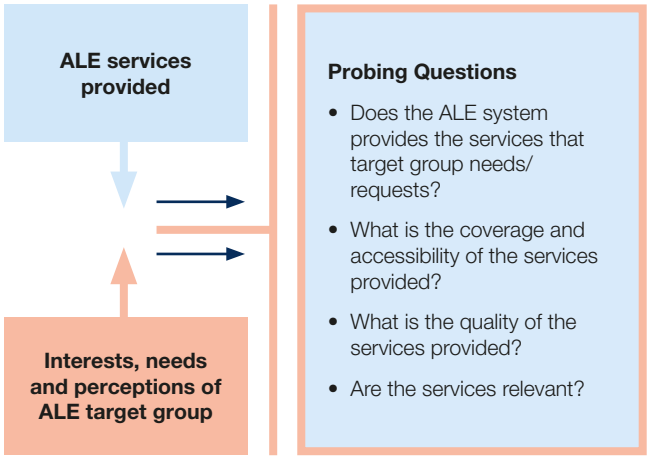
Therefore, Section 4.1. will cover the steps and tools needed to facilitate the process outlined in the flow diagram and the roadmap for Phase Three – the Alternatives Analysis and Design Process.

Align the demand and supply side assessments

To answer the question of whether or not the ALE system provides the types of services the ALE learners/users need or are interested in, the results of the demand assessment (preferably with both existing as well as potential new users) have to be compared with the current services provided by the system on the supply side as captured in the assessment conducted during Phase Two (e.g., through a peer review).

The exercise can be facilitated by presenting a summary of the outcomes from the demand assessment and differentiating between a) the ALE target groups perceptions on the current services provided (in terms of

relevance, acceptability, accessibility, and quality, etc.), and b) both current and potential new ALE service users' interests and needs for new ALE services that may not be on offer at the moment. These demands/needs/interests can be written on cards and placed at the bottom of the diagram, as indicated below (list one need/interest per card). A distinction must be made between interest and need expressed for existing services vs. new services by using cards of two different colours. The current ALE services provided by different stakeholders can be written on another colour of card (list one service per card) and placed at the top of the diagram.



This presentation may reveal direct discrepancies between supply and demand from the onset. Even if demands and services provided are aligned, e.g., the target group requests adult literacy classes and this is provided by the current system, questions remain whether or not the classes are accessible to all ALE learners, the quality of the service is adequate, the curriculum relevant, parts of the country or specific target groups are underserved (e.g., youth, women, disabled, factory workers, etc.). The discussion requires ALESBA stakeholders to conduct the analysis and the facilitators of the process should develop relevant probing questions beforehand. Based on the yes/no answer in the flow diagram, stakeholders will proceed with the remaining exercises to find and prioritise entry points for system change and improvement.

Ranking of ALE services against criteria

It is useful to know how ALE learners perceive services. It also assists in depicting system weaknesses that can be related to the system scores and diagnosis of the supply side assessment. Existing and new ALE service delivery can be analysed by using matrices such as the one below (example). A range of scores may be used, e.g., from 1–5, with 1 indicating 'low' and 5 indicating 'high/excellent'. Stakeholders may also decide to complete the table by writing down a summarised version of the conclusion for each comparison and debating the end result to reach a final conclusion.

At this stage services can be ranked irrespective of the stakeholders that provide the service but rather as per the results from the demand and supply side assessments. Services and criteria for ranking should be contextualised, agreed upon and clearly explained to all stakeholders before the ranking process starts. The tool is more useful for the ranking of existing services. Ranking new services may require a different set of criteria, e.g., interest from learners; and stakeholder availability to deliver the service (coverage, etc.), etc.

ALE Services → Service Ranking Criteria ↓	Adult Literacy	Non-formal skills training	Life skills training	Business skills training	Total Score Criteria
Accessibility to target group	4	2	1	2	9
Acceptability by target group	1	4	3	4	12
Quality of service	2	3	2	3	10
Coverage of the service in the country	4	3	1	3	11
Total score: Services	**11**	**12**	**7**	**12**	**See ranks below**

In the example above the interpretation is as follows:

- From the four services currently provided by the stakeholders non-formal skills training and business skills training score higher than adult literacy and life skills training against all the criteria. This implies a better service perception by the ALE users, but should be further analysed in terms of how these services are supplied, e.g., although acceptability of the service by the users is quite high and shows a need and interest, the quality and coverage of the services in the country are average (score 3), which indicates that the underlying causes for poor/average service provision should be further unpacked.
- The scores indicate that acceptability scores the highest for all four services and accessibility the lowest. The underlying causes of this situation should be further unpacked before decisions are made about how to improve the system of delivery.

The results of the service delivery ranking exercise can be further analysed in the context of the system weaknesses and challenges as indicated by the ALESBA scoring table and the diagnostic studies conducted during Phase Two.

Define and prioritise the types of services that will be offered by the ALE system

The alignment of the demands (interests/needs) of the ALE learners (service users) and the existing services on offer from the supply side may have shown that only selected services on offer are still relevant and that new services may have to be introduced to meet the demands from learners. The service ranking exercise would have pointed out further interests and priorities of the ALE learners. It can be assumed that:

- The current services on offer are taken care of by existing stakeholders (ALE service providers).
- The quality, accessibility, affordability, and coverage, etc., of the existing services, may/may not meet the ALE users' needs and will need a change and improvement on the supply side of the system.
- The new services to be introduced may require existing stakeholders to expand service delivery options and/or bring new stakeholders and sectors on board. E.g., if there are a need and interest for health-related ALE, the health sector may have to be included in the ALESBA stakeholder group.
- The new services may also require co-operation with the private sector, and public-private partnerships, etc.
- Expanding the quality and coverage of existing services and/or introducing new services may not be affordable from the supply side and may have to be phased in over time.
- Stakeholders also have to bear in mind policies, national goals and development plans that dictate the kinds of services to be delivered (although in some cases these may be outdated based on the current demands of ALE learners).

Finally, ALESBA stakeholders have to define and prioritise the types of ALE services that will continue and the new services that will be introduced as part of the ALE service delivery system. To define and prioritise the types of services that will be on offer in the ALE system, different analytical tools can be used. This may show the effort that will be required to improve the ALE system. The supply side assessment also would have indicated the challenges within the existing service delivery system and how it will affect the roll-out of services.

Therefore, it is not a simple exercise to define and prioritise the ALE services that will be offered by the system. Stakeholders can rank all the existing and new services against criteria such as:

- High demand for the service from the ALE learners.
- The priority of the service in policies, and national development plans, etc.
- The costs/affordability regarding offering the service.
- Stakeholders and the sector's commitment to delivering the services.
- The feasibility of the ALE system changes required to deliver the service with the necessary quality, etc.

Ranking the services against the criteria can be done through discussion with stakeholders and using a simple scoring mechanism of 1-5 and/or completing the matrix by writing down the analysis of each service against the criteria and reaching a conclusion by debating the answers (i.e., considering pros and cons). By the end of this exercise, stakeholders will have prioritised, defined and made a decision about the ALE services that will be offered and form part of the system redesign. Services that cannot be offered immediately can be phased in over time and provision can be made in the ALE system design response framework for this option.

Identify/find the weakest building blocks/elements as entry points for system improvement

Now that it is clear which services will be offered by the ALE system, the next question is whether or not the existing system (supply side) can offer these services in an optimised manner. Bear in mind that the delivery of ALE services is dependent on a system that is comprised of system elements and building blocks. The way the building blocks are arranged, designed to function and interact with each other across the four elements and spheres of governance is what will determine the extent to which quality services reach the ALE learners. For optimised ALE service delivery, the ALESBA stakeholders have to refer back to the results of the supply side assessment of the system during Phase Two. The weakest building blocks and elements that may hamper the delivery of the prioritised ALE services have to be uncovered as entry points for system improvement. The table below represents a reminder of the four ALESBA elements, each with five 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

ALESBA partners/stakeholders can portray the scores from the ALESBA system assessment in different forms, e.g., as comparative tables showing the score for every building block and element in detail or in the form of summarised graphs to compare regions or provinces against each other. The key point is to determine which system elements and building blocks are performing poorly out of a total score of 25 per element and a total score of 5 per building block. This requires stakeholders to refer back to the narrative details in the report to determine which building blocks experienced challenges and why.

They should also refer back to the diagnostic studies presented during Phase Two such as the cause and effect diagrams and process maps. See examples in the appendices of this booklet.

Once again it is recommended that this exercise be conducted without referring to the roles and contributions of individual stakeholders, but rather to assess the system as a whole, emphasising that it is the responsibility of all stakeholders. The results of the system assessment (Phase Two) should be presented visually, preferably on a wall or pinboard for the duration of the workshop so that stakeholder can refer back, analyse and debate.

Facilitators of the process should prepare probing questions beforehand to facilitate an analytical process, for example:

- Which system elements received weak scores?
- Does this happen in all geographical areas? (Bear in mind that the assessment has been conducted in sample areas).
- Which building blocks within the element scored the lowest? Why? (Refer back to narrative reports).
- Do the weak scores align with the root causes as depicted in the cause and effect diagram?
- How do these poor performing building blocks affect the service delivery process? (See process maps).
- Which system elements and building blocks should be prioritised for system strengthening?
- Would this solve the current service delivery problem? Justify why and how?
- Could the strengthening of these building blocks and elements manage to incorporate new types of ALE services or only the existing services?
- What will be required to include new services? (E.g., bring new sector offices and stakeholders on board, and changing the service delivery mechanism, etc.)

Once the discussion is completed, a summary of the group's consensus about the weakest elements and building blocks that need attention should be documented in the workshop report, as well as visually on cards or flipchart, to facilitate the discussion of the next exercise.

Keep in mind that any analytical and design process is iterative and new insights may come up as the process unfolds. Triangulation of the results from the ALESBA scores, the cause and effect diagrams and process maps completed during Phase Two as well as the service ranking from the demand assessment will assist in confirming which building blocks and elements are the weakest and create service delivery blockages. At this stage a list of building blocks and elements is sufficient. Prioritisation will take place in the next step. Facilitators should be flexible and allow for the creative tension between what exists and what may be created. The use of a consultant to facilitate the process may be useful, but the ownership, responsibility and direction of the process should belong to the ALESBA stakeholders.

Prioritise the system building blocks that need attention/can provide leverage

Stakeholders cannot only consider the list of weakest system building blocks and elements identified in the previous exercise but have to prioritise which building blocks and elements have the biggest need for improvement and/or can provide the most leverage to unblock system challenges in the ALE service delivery chain (i.e., have an impact on other system building blocks/ elements).

From a cost and time perspective, it also may not be possible to address all system building blocks and elements at once. Therefore, when prioritising the system building blocks and elements, stakeholders will need to consider the following:

- Focus on the ALE services to be delivered – which building blocks/elements need immediate attention to roll out and optimise service delivery?
- Which building blocks/elements can provide leverage to unblock other system challenges and therefore provide better opportunities for service delivery?
- Time, costs and capacity to address the weakest building blocks and elements. This has implications for the ALESBA stakeholders and to what extent they can commit to the process, but also considering that the ALE system is still functioning and changes and improvements have to be introduced into a running system.

Finding the best entry points to unblock and optimise service delivery usually lies in analysing the root causes of the system as portrayed in the cause and effect diagrams. However, it is more complicated than that. In the attached cause and effect diagram (see appendices) it is clear that the majority of the root causes lie in the enabling environment. The lack of an independent ALE policy and laws that regulate the sector influence a host of challenges within the system. Formulating a policy and getting a law approved is a long-term process, and while these actions can be prioritised as important entry points to improve the system, stakeholders will also have to look at more immediate, feasible entry points that can improve service delivery and provide leverage to improve other areas of the system, while continuing to undertake evidence-based policy influencing through well designed and implemented technical and management processes, etc. Therefore, different factors and criteria will influence the decision regarding which building blocks to prioritise as entry points for system improvement.

Cross-impact analysis

A useful tool to explore the relationships, impact and leverage that building blocks have on another is the cross-impact analysis. It can either be done per system building block or per system element or for the system as a whole. An example is presented below to compare the impact of the enabling environment on technical processes. Stakeholders should consistently ask one question when comparing building blocks with each other, namely 'What is the impact of the effective functioning of building block X on the effective functioning of building block Y'. The question can be contextualised in line with the performance indicators in the ALESBA scoring table. In the example below the following questions may be asked:

- What is the impact of having an effective policy in place on ensuring that relevant, localised curricula is designed and applied?
- What is the impact of having an effective policy in place on ensuring relevant programme design, with participatory outcomes-based learning methodologies (e.g., FAL, REFLECT, etc.?)

This implies starting with one building block from the enabling environment and comparing it to all the technical process building blocks. During the process, a score from 1–5 can be debated and agreed upon by all stakeholders. A score of '1' would imply limited impact and a score of '5' would imply a high impact. Stakeholders will then continue with the second building block from the enabling environment and compare it with all the technical process building blocks. The building blocks from the enabling environment that score the highest will have the greatest impact on the successful functioning of technical processes and should be addressed as a matter of urgency. This implies that without this building block in place, other building blocks cannot be addressed or will not function well. The matrix can also be completed by writing the concluding arguments and rationale for these statements in each cell instead of using scores.

A similar exercise should be conducted for technical and management processes, and institutional arrangements, etc. This implies each system element can be compared with the enabling environment and likewise each system element can be compared with management processes, and so on. The results should be compared, debated and discussed and could provide insights on entry points and building blocks that can provide leverage – meaning if that building block is strengthened it could pave the way for strengthening or unblocking challenges to strengthening other building blocks. See the example of a cross-impact matric below.

Cross-impact matrix

Enabling Environment → / Technical Processes ↓	Policy	Strategy	ALE Programme Guidelines	Qualifications Framework	Enabling Legal Framework
Localised Curricula					
Programme design					
Capacity Development					
Material development					
Learner assessments					
Total impact score for Enabling Environment on Technical Processes					

Adopted and adapted for ALESBA from the SACI Methodology for Capacity Transformation (Southern Africa Capacity Initiative, 2006).

Using the results from the cross-impact matrix or any other tool selected, stakeholders should reflect on the outcomes of all their analytical exercises and further refine their selection of prioritised building blocks against other important criteria. They can also decide to include all building blocks with a certain score as priority building blocks. The alternatives analysis, as described below, can help to further prioritise the selected entry points based on agreed-upon criteria.

Alternatives analysis matrix

Starting with the pre-selected building blocks identified by using the cross-impact matrix, an alternatives analysis matric has the potential to further refine the selection of entry points by using another set of feasibility criteria as per the example below:

Building Blocks → Criteria ↓	Capacity Development at all levels	ALE policy	ALE Implementation structure	Participatory budgeting
Time needed to improve building block	3	1	3	2
Costs to make changes	1	3	1	3
Leverage on other building blocks	3	4	4	5
Direct impact on service delivery	5	3	3	5
Score/Conclusion	**12**	**11**	**11**	**15**

Scores from 1–5 can be used or writing the concluding statements for each ranking and coming to a conclusion about the pros and cons of each selection. In the above example, putting a participatory budgeting system in place and developing the capacity of ALE staff at all levels have the highest scores and are considered as priority entry points that may improve the ALE system.

To conclude the analysis, a final decision should be made about which building blocks are selected for the immediate design process (see step two below) and which will be phased in later. Ideally, the decision should be reached through dialogue and reaching consensus among the majority of stakeholders or alternatively, they may vote to agree on the best entry points. This will be included in the ALE system design response framework.

4.2 Step Two: Consider alternatives for the redesign of the prioritised system building blocks/elements

On completion of step one stakeholders will have generated a list of prioritised building blocks that have to be improved and redesigned to ensure the system functions well. Some building blocks will be addressed as a matter of immediate concern, while others will be addressed at a later stage. Step two deals with the actual redesign or improvement of the prioritised building blocks. This relates to the way/means/modality of how a building block looks and functions and considers different ways to improve it. For example, the ALE implementation structure may have a very centralised character that causes blockages in the way curricula are designed, materials developed and training conducted, or the MIS (Management Information System) only captures the data of government projects, leaving out the efforts of non-state actors such as NGOs.

The redesign of these building blocks requires ALESBA stakeholders to consider different design options through brainstorming, drawing on their own evidence-based experiences and/or existing studies (e.g., evaluations, and research, etc.), sharing experiences from other countries, or even commissioning specific research studies to come up with the best redesign solutions for the prioritised building blocks. Step two requires stakeholders to:

- Brainstorm, research and find different design options for each prioritised building block.
- Weigh the design options against selected criteria (by using tools such as alternatives analysis matrices).
- Decide on the best alternative option to redesign each of the prioritised system building blocks.

To facilitate the brainstorming and research for alternative solutions, stakeholders are advised to:

- Focus on the needs and interests of the ALE target group. The system has to be designed to offer relevant services.
- Keep in mind the vision for the ALE system.
- Consider both the demand and supply side of the system.
- Keep the prioritised building blocks and elements in mind and come back to check that they are sufficiently addressed.
- Brainstorm and research alternative options for all system building blocks to have options available for changes that may affect the whole system (during step three).
- Gather as many ideas as possible from stakeholders on alternative solutions for each building block. ALESBA stakeholders may implement different projects and programmes and have learned lessons and they can present best practice examples that can inform the new system design. All these experiences should be respected and brought to the table.
- Conduct further research or share experiences regarding the solutions for some building blocks, if required. Different stakeholders can be tasked to do this research and to present the ALESBA stakeholder group with alternative options. Universities can play an important role in this area.
- Focus on the importance of multi-sector and integrated service delivery. The ALE target groups' interests and needs will most probably span a diverse range of sectors. This requires the integration of policies, strategies, programmes and service delivery mechanisms, and institutional arrangements.
- Consider the governance system of the country and that the alternative options for building blocks may have to cater for each implementation level.
- Ensure all ALESBA stakeholders play a role in the system building process. Form follows function, and the focus should be on redesigning the system and how it should function first before deciding on the roles of stakeholders which will be covered in Section Six of this booklet.

Therefore, it is suggested that stakeholders prepare a flipchart for each prioritised ALESBA building block and start a process of brainstorming and/or researching alternative options for each prioritised system building block. These options can be written on cards and pasted on the flipcharts for the respective building blocks. At this stage, all suggestions count, are valid and respected. Section Five of this booklet presents alternative system design options and considerations from the literature that may be helpful in the process.

The purpose of the alternatives analysis is to identify possible alternative options and to agree on one option or strategy for action. Alternative options should be discussed in light of the target groups that would be affected by them and the existing identified challenges within the system (DFID, 2002). The objective of the decision-making process is to come up with options that are:

- Desirable and what the target group and ALESBA stakeholders want.
- Realistically achievable.
- Able to facilitate ALE system delivery optimisation.

There are different methods and tools that stakeholders can use to decide on the best alternative option for each system building block. One of the most applicable and versatile tools remains the alternatives analysis matrix. It matches different alternatives to be assessed with specified criteria. Working in small groups and sharing the responsibility for building blocks, stakeholders can rank each alternative with a set of criteria per building block. The group can use common criteria for all building blocks such as:

- Cost-effectiveness.
- Availability of physical resources.
- Availability of staff.
- Skills and capacity available for implementation.
- Extent of ability to address existing system challenges.
- Direct or indirect benefits regarding target groups' needs, etc.

Agreeing on the criteria is as important as brainstorming and researching alternative options for redesigning and improving system building blocks. The criteria will determine what is ultimately selected or not (Lohmeier, 1994). Stakeholders may also choose to use different criteria for each system element based on the specific nature of that element, e.g., the five building blocks in the enabling environment may require different criteria to the building blocks in technical processes. These are the decisions the facilitators of the process and ALESBA stakeholders have to make. The matrix below is an example of the different options for analysing the redesign of one building block. Note that the matrix can either be completed by using scores and ranking the options against the criteria and/or writing descriptive notes about the advantages or disadvantages of each option in each cell of the matrix to stimulate debate and decision-making. Scores or concluding statements should be listed in the last row of the matrix.

Building Block: Localised curricula that takes into consideration the needs and interests of the learners

Alternative design options → Criteria ↓	Adapting national curriculum framework at local level	Designing curricula at decentralised levels	Translating and contextualising existing localised curricula	Flexible and regular curricula design and update at local levels
Cost-effectiveness				
Staff capacity				
Time				
Addressing target group needs				
Score/Conclusion				

By the end of step two, a decision on the redesign for each of the prioritised building blocks would have been made and documented. It is important to describe the selected option and how the building block is supposed to function as clearly as possible. The decision will be documented in the ALE system design response framework (step four), during which time more details can be added.

4.3 Step Three: Assess the impact of the redesign on the whole system

Each building block and element in the ALE system has to play its role and fulfil its function to ensure the system can deliver quality ALE services. Addressing the challenging, prioritised building blocks in steps one and two is not sufficient to ensure the whole system functions well. The impact of the changes in the prioritised building blocks and elements on the remaining building blocks/elements also has to be assessed and addressed. For example, the decision to implement a new national qualifications framework as one of the prioritised entry points/building blocks to improve the system, has repercussions for the way learner assessments are conducted, materials are developed, and how building the capacity of staff to manage the new building block will occur, etc. Therefore, step three deals with:

- Assessing the impact the changes in the redesigned building blocks (step two) have on the other remaining building blocks and functioning of the system as a whole.
- Repeating step two to find the best way/means/modalities to redesign and improve the functioning of the affected building blocks/elements.

To assess the impact of the changes on the remaining building blocks and functioning of the system, three tools may be useful in this regard, namely process maps, objective trees and scenario sketching.

Process maps

During Phase Two, process maps were used to identify system blockages and root causes of system challenges. See the appendices for an example. The process map indicates the flow of the system between the enabling environment and the point services reach the target group. During Phase Two, the existing process was mapped and another analytical activity was added, namely identifying the blockages and challenges within the flow of the system towards service delivery. Similarly, process maps can be used to show how the newly redesigned building blocks will flow with existing (not prioritised and redesigned) building blocks to deliver services. ALESBA stakeholders should write a description of how each building block functions on cards (one block per card)– including both the redesigned and existing building blocks, to create a process map or service delivery chain to show the flow of processes.

During the construction of the process map, attempts should be made to avoid merely creating a linear flow diagram but to truly focus on the flow of processes within the system. This may require repeating certain building blocks that may be used more than once, e.g., coordination processes. The process map will assist stakeholders to identify whether or not the existing building blocks and the way they function may still accommodate the changes made in the design and function of the prioritised building blocks. If it seems that an existing building block will hamper the flow because of the changes, the affected building blocks will have to be listed and the same process as step two should be repeated, namely to come up with alternative design options, weighing the best option against the criteria and making a decision about how to redesign the affected building blocks. Refer to the booklet on Phase Two for more details on process maps.

Objective trees

During the diagnostic part of Phase Two, ALESBA stakeholders would have completed problem trees (also called cause and effect diagrams/analysis). These problem trees show the cause and effect relationship between the system challenges across system elements and building blocks. Turning these trees into objectives trees allows stakeholders to see how the potential future situation of an improved system may look. It entails:

- Working from the top of the tree downwards and rewording all problem statements into positives (objectives).
- If a statement makes no sense after rewording, rather formulate a replacement objective.
- Stick to the colour coding of cards used in the problem tree to indicate system elements (see the appendices section for an example of a cause and effect diagram).
- The objectives tree should be checked to determine whether or not the objectives at one level will be sufficient to achieve the objectives at the next level (DFID, 2002).

When ‘reading’ a problem tree, one would understand that if the cause is A, the effect will be B. When reading and interpreting an objectives tree, the understanding is ‘the means of X to achieve Y’. When reading the tree from the bottom up, the means-end relationship is visible and the system linkages between building blocks and elements can be observed. This tool does not necessarily assist in selecting the best design options for each building block, but rather shows that if a change is made to address one challenge, another ‘means’ may be needed to reach the end. Therefore, this exercise is useful for assessing the impact that changes within one building block will have on another.

Scenario sketching

It may be useful for ALESBA stakeholders to sketch different scenarios and weigh them against each other to determine how a new system may function and what it may require to operationalise, in terms of costs, resources, and human capacity, etc. The process maps and objectives tree explained above are useful tools to show the means-end relationships within the system and the arrangements of the building blocks to create an efficient service delivery chain. Scenario sketching can be used as a complementary tool or on its own to test different scenarios.
It can show how:

- The same building blocks (redesigned and existing) can be arranged in different formations for a better service flow.
- How different design options for building blocks can create alternative system functioning options.

The simplest way to do scenario sketching is to ask the question, 'if this, then what?', while building the ALE system from the bottom up, for example:

- Start with the technical processes and arrange the newly redesigned and existing building blocks in the way they will work together – and ask the question whether or not all concerns have been addressed, are there any gaps, or do any building blocks need further adjustments?
- Continue with institutional arrangements and management processes and ask the same question. Relate these building blocks to technical processes, e.g., if material development will be done by a multi-sectoral stakeholder group, do we have a partnership structure and coordination process in place?
- Conclude with the enabling environment and cross-check what needs to be in place to make the other three elements and building blocks function well?

All scenarios have to be discussed against criteria such as:

- Will this system address the target groups' needs?
- Is it cost-effective to implement across multiple sectors and spheres of governance?
- Are the capacity and skills available to operationalise the system, etc.?

Scenario sketching will assist to determine the impact of the redesigned building blocks on the existing building blocks, but also (as is the case with process maps) whether or not the system can function as a whole.

Step three concludes with redesigning any affected existing system building blocks due to changes made in the prioritised building blocks (repeating step two).

4.4 Step Four: Consolidate the redesign of the system into a cohesive ALE system design response framework

Steps one, two and three provide all the information for redesigning an improved ALE system. This involves finding entry points, considering alternatives, assessing the impact on the system and, most importantly making, decisions about how the new system will look and function. The design of the new ALE system needs to be captured in a document called the 'ALE system design response framework'. The response framework is a key document to record all the processes and the way the decisions have been reached as well as the actual decisions and design of the new ALE system during Phase Three. It is also the link to Phase Four, namely implementing and testing the newly designed system in selected pilot areas and with pilot groups. The documentation of the response framework provides a good opportunity to revisit the vision and goals for the ALE system that were defined during Phase One, Consensus Building.

Revisit the vision and goals for the ALE system

The ALESBA stakeholders formulated a preliminary vision statement for the system building process during Phase One (Consensus Building) and also had the option to formulate a mission statement. Since then, much has changed. Phase Three has taken the results of Phase Two on board and designed an improved ALE system. The new system design is based on assessments from the demand and supply side as well as considering different options to address system challenges. This information and the decisions made may have an impact on the original vision statement and goals for the system formulated during Phase One. Therefore, ALESBA stakeholders should revisit the vision and decide whether or not it still holds true and make the necessary changes if needed. The vision statement and goals the system has to achieve guides the functioning of the newly designed system and should be captured in the system design response framework.

Visioning is a technique that is used to assist a group of stakeholders to develop a shared vision for the future. It involves asking the group to assess where they are now and where they expect to be in the future (DFID, 2002). Having a vision for the ALE system and how it will change the lives of the target group acts as a benchmark and helps in the process of weighing alternative options against each other and making the best decisions. The tools in the booklet of Phase One (Consensus Building) provide a detailed description of how to facilitate a visioning exercise and formulate a mission statement.

The vision can refer to statements and goals captured in national development plans, policies and strategy documents from the various sectors that will be involved in ALE service delivery. It can also relate to the Sustainable Development Goals (SDGs). The vision can act as a common denominator among all ALESBA stakeholders and a statement they feel comfortable adhering to.

Suggested contents of the ALE system design response framework

The ALE system design response framework is a document that captures all processes and decisions during Phase Three of the ALESBA. It is the foundation and description of the new ALE system design and is called a 'response framework' because it is also the document that will guide Phase Four regarding how to implement and test the new system design. For example, workshop reports for steps two and three will show how alternatives were ranked and analysed and why certain decisions were made. However, this information may have to be revisited during Phase Four when implementation starts. These workshop reports, minutes of meetings and other events can be annexed to the main ALE system design response framework document. Ideally, the document should contain the following information.

ALE System Design Response Framework: Table of Contents

Topic	Details
Executive Summary	A brief overview of what follows in the document
Introduction	Purpose of the document, and overview of ALESBA, etc.
Background	Overview of previous ALESBA phases and major outcomes with references to annexes, acknowledgement of ALESBA stakeholders and partnership, etc.
Vision and underlying/driving principles	Agreed upon revisited vision, driving principles agreed on between ALESBA stakeholders during Phase One
Summary of ALE system challenges as identified during Phase Two	E.g., ALESBA scoring table, results from the diagnostic study, and demand assessment, etc. Short summarised contents to show what the new system design responds to
Entry points for ALE system improvement	Description of selected and prioritised building blocks with a brief reference to the process of selection and reference to workshop reports in the annex. (Outcomes of step one)
Redesigned system elements	Description of each redesigned system element – for both prioritised system building blocks from step one and other affected building blocks from step three. A detailed description of how the building block will function, which modalities, methodologies, structures, and policies, etc., will be in place
Stakeholder roles and responsibilities	As agreed upon - see section six of this booklet
Operational plan for implementation	The plan describes how the response framework will be operationalised and implemented during Phase Four. It shows which redesigned building blocks will be addressed first and how others will phase in over time, etc. The first draft of the plan can be formulated during Phase Three, but the details will be elaborated during Phase Four. See the booklet on Phase Four for details on how to conduct the planning exercise and formulate a plan
Conclusion	Concluding statements and next steps
Annexes	Workshop reports from previous phases and other supporting documents

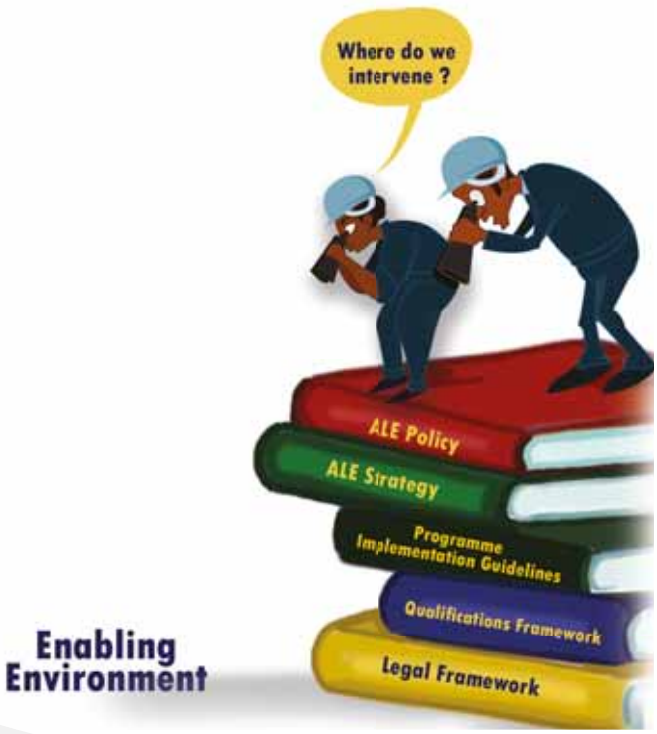
It is useful to start the documentation process of the ALE system design response framework during step one so that the document can be ready at the end of Phase Three. Each ALESBA stakeholder should have a copy and a workshop or meeting can be conducted to share the design with senior management for validation and approval. The document should be officially approved by all ALESBA stakeholders to become the official response framework that guides the testing and implementation phase of a new system design.

5. CONSIDERING ALTERNATIVE ALE SYSTEM DESIGN OPTIONS

Section four, steps two and three elaborates the process of brainstorming and researching alternative design options for the system building blocks and elements. ALESBA stakeholders are encouraged to make use of their own lessons and best practice experiences and also to rely on existing studies or commission new research if needed. The literature on ALE and education systems also provides many suggestions and unpacks the advantages and disadvantages of each by using examples from different countries. Ultimately ALESBA stakeholders are confronted with many options to make decisions. This section of the booklet captures some options and choices available across the four system elements as well as considerations that should be taken into account, as recommended by different literature sources.

5.1 Enabling Environment

The enabling environment building blocks include an ALE policy, strategy, programme implementation guidelines for all stakeholders, qualifications framework and a legal framework. Strong governance and an enabling environment are conditions for an effective adult learning and education system (OECD, 2018). Government and ALE stakeholders should work together to develop an **ALE policy** if this does not already exist. A policy can be defined as a 'broad statement that sets out the government's main goals and priorities and which defines a particular stance, aiming to explore solutions to an issue' (UNESCO, 2018). This is particularly important when considering the multi-dimensional nature of ALE. Different sector ministries are involved in various aspects and much adult learning may take place outside the formal system, which actively involves social partners. Diversity can generate gaps and misalignment (OECD, 2018). Therefore, the policy formulation process should be participatory and transparent. It is useful to consider different existing projects and programmes that can produce evidence to influence the policy formulation process. Participation of all ALE stakeholders in the phases of ALESBA can result in a participatory policy formulation or revision process.



Policies should be translated into **strategies** that will roll out the implementation of the policy. Each of the policy document priorities has to be unpacked and strategic solutions have to be formulated. This exercise aligns well with the response framework mentioned in section 4 of this booklet. The response framework or ALE system design document can provide substantial input for developing an ALE strategy, showing how each system priority/ building block may be implemented. However, strategies have to translate into action and programme implementation guidelines need to be developed that address all implementation modalities, benchmarks and standards (UNESCO, 2018).

Programme implementation guidelines for all ALESBA stakeholders are essential to ensure that whatever the roles of the stakeholders are in ALE service delivery, the necessary programme quality standards are met and the projects and programmes implemented contribute to a comprehensive national ALE system with its own vision and goals. These guidelines take their cue from the ALE policy and strategy documents and should spell out the following aspects: (African Development Bank, 2003)

- The vision and objectives of the ALE system and the target groups to be addressed.
- Reference not only to ALE policy and strategy documents but also to the policies and strategies of related sectors. This promotes integration, ownership and commitment.
- The ALE stakeholders and their role in implementing the policy, strategy and system. This implies that when new NGO stakeholders or development partners come on board, they can find their role and contribution within the system for a well-coordinated and joint effort.
- A description of the different methodologies for all components of ALE, e.g., literacy methodologies used in the country (e.g., REFLECT, FAL, Family Literacy, etc.) and how other non-formal skills training and components of ALE are integrated into one comprehensive ALE service.
- The implementation modalities, e.g., are classes offered in groups, how are groups formed and arranged? Are classes offered at community learning centres (CLCs), which kind of classes and offered by whom?
- What is the time duration of courses and is there any certification, is it linked to a qualifications framework in the country? (e.g., 2-year programme, and 3-month courses, etc.)
- What are the benchmarks for training, staffing (qualifications and experience, etc.)? E.g., a minimum of two-week training for literacy facilitators with annual refresher courses.
- What are the implementation stages, e.g., needs assessment, baseline studies, implementation, and monitoring and evaluation?
- Description of the M&E and MIS system, etc.

Therefore, the programme implementation guidelines take the policy and strategy a step further into a comprehensive description and handbook for all ALE stakeholders and service providers in the country. This creates opportunities to maximise coordination and link all stakeholders to one M&E system and MIS. Giving proper attention to this building block implies translating the new system design/response framework into a useful official guideline to implement the system.

The programme implementation guideline will also address matters of a qualifications framework. Developing a national qualifications framework is a substantial endeavour and cannot be facilitated by the ALE sub-sector on its own. It requires the involvement of a country's full education system, including TVET, and higher education, etc. During the system design process, ALE stakeholders will analyse different options regarding how they can integrate the ALE sector into the existing qualifications framework (if one exists) or which interim or alternative measures can be used to acknowledge prior learning, certify learning and training, etc. They may consider options of transfer directives that allow learners to move to the next qualification after receiving a prior qualification. Other options include a credit system or qualifications passport.

A legal framework is one of the strongest mechanisms to govern any system, including an ALE system. It can ensure clear responsibilities and provision of the necessary resources. The legislation defines some of the key features of the ALE system for example the role of the state versus other service providers such as NGOs. The process of registration and certifying training providers is another example. If a legal framework for ALE is not available, stakeholders may resort to memorandums of understanding and contractual agreements to regulate relationships and responsibilities (OECD, 2018). A legal framework for ALE will strengthen the rights-based approach, giving ALE learners a right to services and hold duty bearers accountable to deliver these services.

5.2 Institutional Arrangements

The system building blocks under institutional arrangements include ALE implementation structures, human resources, leadership and management, accountability mechanisms, and partnership structures between state and non-state actors. Institutional arrangement options should be considered only after the ALESBA stakeholders considered the design elements of technical processes, and the kinds of services the system should deliver. There is a tendency to design structures and recruit staff before knowing what kinds of services the system will deliver with what type of modalities and methodologies. The design of services with the building blocks under technical processes will inform the kind of implementation structures that are needed. For example, if a decision was made to deliver integrated ALE services involving different sectors and stakeholders, a different structure will be needed rather than one that only delivers a pure literacy programme.

The other consideration under institutional arrangements is the spheres or levels of governance. The ALE system and structure have to ensure that services are delivered from the national to the local level with the necessary resource and information flow, and feedback loops, etc. Both vertical (across spheres) and horizontal (across sectors) arrangements have to be considered as well as the involvement of non-state actors.

Therefore, the ALE implementation structure should consist of organograms or hierarchies with sufficient qualified personnel within the **primary ALE service provider,** e.g., the government ministry responsible for ALE services or a non-state actor as per the system of a particular country. This implies an ALE unit, directorate or agency at the national level, with relevant staff having the responsibility, capacity and mandates to implement ALE at regional/provincial and local government levels.

When considering multiple sector involvement in ALE, the design of implementation structures become even more complicated and stakeholders have to consider technical coordination teams, working groups and similar structures to plan, budget, and implement programmes jointly. This coordinated effort and structures have to be mirrored at the senior management level with structures such as ALE boards to oversee the implementation of ALE services. The ALESBA process may even lead to decisions to form ALE agencies or restructure the sector as a whole.

The involvement of non-state actors in the ALE implementation structure should not come as an afterthought, but as a purposefully planned integration in the structure based on the roles and responsibilities of each stakeholder. The next section of this booklet explores these options in further detail.

The building block of human resources needs serious thought and is closely linked to the building block of capacity building under technical processes. The system design should include decisions concerning the kind of staff needed at each level of ALE service delivery, their qualifications, profile and experience. This should start at the facilitator level and include trainers/supervisors, technical experts, planners, and system managers, etc. It also should include how staff are recruited, deployed, and paid, etc. (World Bank Group Education Strategy 2020, 2011).

The building blocks of leadership and management, and accountability mechanisms are closely related. Stakeholders should consider different accountability and performance measurement options to ensure leaders fulfil their duties and can be held accountable. Performance measures should be collaboratively designed, with clearly expressed comprehensive objectives and built with the end-users in mind (OECD, 2018). This remains one of the most complicated, yet crucial system building blocks and thus there is a need for substantial consensus and commitment among all ALESBA stakeholders.

5.3 Management Processes

The building blocks under management processes include participatory planning processes, appropriate budget and resource allocation, having an M&E system, a Management Information System (MIS), and effective coordination and cooperation processes within and between ALE implementation structures (within one institution) and across sectors and stakeholders and levels of implementation.

ALE stakeholders will have to consider how the planning process for the ALE system will take place, e.g., will it include joint planning on annual basis involving all key stakeholders, and will it include regular joint planning sessions within technical teams and coordination committees/tasks teams at local implementation levels, etc.? Whatever is decided, the planning option chosen should mirror the kind of ALE system design and what it requires, e.g., vertical and horizontal integration and it should be participatory.

Budget and resource allocation is one of the ALE sector's biggest challenges with constant cries for more funding and resources whether human or infrastructure related, etc. Therefore, the alternatives analysis and design phase require ALE stakeholders to think innovatively and make what is available work better. They may consider options such as:

- Integrated budgeting – where every sector and stakeholder contributes a share of the ALE budget depending on their roles and responsibilities within the system.
- Using integrated service delivery modalities, such as community learning centres where government sectors offices and other stakeholders can deliver a range of services with already existing budget allocations.
- Avoiding duplication and overlap by streamlining processes and business re-engineering.
- Partnerships with the private sector.
- Advocacy for more resources and funding from the national budget for ALE, etc.

Management Processes

One of the biggest accusations against the ALE sector is the lack of data to substantiate successes, impact and objectives achieved. Therefore, investing in a comprehensive M&E system is a worthwhile investment, coupled with a MIS that can store and make data available for decision-making, and budgeting, etc. Putting a national M&E and MIS in place requires resources, skills and time. ALE stakeholders may consider more low-key options as a start and build these systems over time, starting with more manual systems at local implementation levels and coordinating data and information between stakeholders.

Coordination and cooperation is a key process that holds the ALE system together. It cannot be taken for granted or assumed it will happen. Having a coordination structure (see institutional arrangements) is not a guarantee that the structure will be functional and that the process will happen. Not only should the structure be designed, but the coordination process as well, e.g., determining how often the coordination structures will meet, and what the objectives of these meetings/workshops will be (e.g., planning, budgeting, and monitoring, etc.), etc. Apart from meetings and workshops, coordination can take a stronger form namely co-operation, such as joint monitoring and training missions conducted by stakeholders.

5.4 Technical Processes

The technical processes building blocks include having localised curricula for all ALE components (literacy, and non-formal skills training, etc.), clear ALE programme design and learning methodologies, capacity development at all implementation levels, material development and learner assessments. The building blocks under technical processes lie at the heart of the ALE system design since these building blocks are at the interface of ALE service delivery and closest to the users of ALE services. It is also the system element where most of the ALE stakeholders (both state and non-state) could share experiences and best practices and have the opportunity to design unique and cost-effective ALE services that meet the needs of the target group.

ALE stakeholders will have to consider:

- What kind of curricula to develop or is already available for ALL the ALE components – and most importantly consider options that will ensure the curricula remain relevant to the ALE target groups' needs and interests as expressed in the demand assessment. This implies considering mechanisms to build the capacity at local government levels (also with non-state actors) to develop contextualised curricula. Consideration may be given to having a national curricula framework and to align the local curricula to this framework.

- Having a clear ALE programme design and learning methodologies should not be confused with the national-level programme implementation guidelines discussed under the enabling environment. Reference is made to practical learning methodologies and approaches for literacy, non-formal skills training, etc., such as REFLECT, FAL, family literacy, and integrated approaches, etc., as well as methodologies to facilitate non-formal livelihoods skills training, and life skills, etc. It also considers the design of the implementation or delivery modality, e.g., in groups, at CLCs, with local facilitators, and supervisor roles, etc. Therefore, this building block also links with the enabling environment because its description will be captured in the national programme implementation guidelines. It also affects the other building blocks under technical processes, such as material development and capacity development. It would include choices about languages, etc.
- Capacity development options should be discussed under the umbrella of designing a comprehensive ALE capacity building strategy to support the system. Under this building block, stakeholders will have to consider the kinds of training needed at each level of intervention starting from local facilitators and including system managers and senior managers, as well as what is the duration and contents of this training/education and which institution will provide it.
- Material development considers all materials needed to implement the ALE system. Therefore, it would include materials for all ALE components and guidelines for managing the system, and the M&E system, etc. The stakeholders have to consider what materials are already available, do they have to be redesigned, and translated, etc. Keep in mind that the programme design and methodology building block discussed above will also influence the type of material development needed. Stakeholders cannot plan for a new methodology without considerable change in the materials.
- The building block of learner assessments requires decisions and design options regarding what type of measurement will be used (e.g., LAMP and Numeracy scales) for all ALE components, how they will be administered, how often, and how the results will feed into the M&E system and MIS, etc.

The technical processes element and its building blocks can be best handled when designing the ALE service delivery from the bottom up and making sure the detailed contents of all building blocks are addressed.

Technical Processes

6. ASSIGNING ROLES TO STAKEHOLDERS FOR THE NEXT PHASES OF SYSTEM BUILDING

Looking at a system in its entirety rather than as comprising individual parts, allows for better insights into where the greatest impact of a given change can be achieved. It also requires a sharper focus on how institutions, actors and processes are organised as well as needing greater alignment between stakeholder actors both within and across sectors to achieve desired outcomes (Magrath B, 2019). Participating in the analysis of alternative options and designing a new improved system will naturally affect the roles, responsibilities, relationships and structural arrangements between the ALESBA stakeholders. As mentioned on several occasions 'form follows function' and stakeholders should refrain from designing structural arrangements or assigning roles and responsibilities before finalising the design of the technical processes and enabling environment. The design of the system elements related to management processes and institutional arrangements are affected by the building blocks in the enabling environment and technical processes. Note this applies to the design process only, when it comes to the implementation and testing of the new system in Phase Four, any system building block or element can be a starting point depending on the status of the existing system, priorities identified and entry points that may provide leverage for system reform.

During the design phase, the ALESBA stakeholders have to consider which institutional arrangements and management processes will they put in place as far as the following is concerned:

- The vertical structures, relationships and integration across the spheres of governance.
- The horizontal structures, relationships and integration between sectors that are part of the ALE system.
- The coordination and responsibility structures between state and non-state actors.

Vertical arrangements

The constitution and governance structure of each country determines how the political and administrative arrangements in a country are organised. This also has an impact on the design of any service delivery system. From the perspective of the state, each sphere of governance has its own mandate and responsibilities which are captured in official documents and regulations. The national or federal level usually takes the responsibility for most building blocks in the enabling environment, while the lower levels would interpret policies and strategies and take responsibility for the delivery of services. Although these structures and relationships are regulated, the details for designing and implementing an ALE system still can and should be elaborated within this context, taking direction from the official mandates and responsibilities. Across these spheres of governance and structures are multiple government sector offices and also other stakeholders which have to be taken into consideration.

When considering the level at which ALE service delivery takes place, the local governance level becomes a focal point in the design of services (Dijk, n.d.). Differentiation can be made between:

- The local government administration, which includes the local agencies and staff of central government ministries/ departments that are usually accountable to supervisors at provincial or regional levels. These local sector representatives usually carry the main responsibility for service delivery.
- Non-governmental organisations, such as local NGOs or international NGOs with locally assigned staff that usually implement a wide range of projects parallel to the government or on behalf of the government (See Phase One on roles of stakeholders).
- Community-based organisations and religious organisations, cooperatives, etc.

Local government, in reference to its area of jurisdiction, is responsible for uniform service delivery to all people and therefore operates differently from an NGO working with a well-defined target group. Local government also operates within a bureaucratic decision-making structure according to pre-defined procedures, whereas NGOs may have a more flexible decision-making structure. (Dijk, n.d.)

Horizontal arrangements

ALE as a sector invites multiple sectors to deliver services. This could include ministries of education, health, natural resources, agriculture, gender and labour, social development, youth, and cooperatives, etc. NGOs may also function with special expertise within one or more of these sectors, while development partners and donors have their own priorities and focus areas. To bring all of this together in a coherent structure with healthy communication and coordination processes is by no means a simple task.

Different tools, as described below, may assist to facilitate an understanding of each other's context, mandates and capacities and the processes of cooperation/coordination, accountability mechanisms and structures that are needed within and between stakeholders for the functioning of an effective ALE system. The tools should be used iteratively to deepen understanding and facilitate the design process.

Stakeholders participation and involvement matrix (Dijk, n.d.)

The matrix relates the different tasks within each system building block to specific stakeholders. The matrix only indicates where each stakeholder is involved and not necessarily whether or not they take the main responsibility for driving a specific task. All the tasks related to the functioning of the ALE system can be listed on the left of the matrix and the different stakeholders can be listed at the top. The system design for each building block will inform the kinds of tasks that need to be carried out. The idea is not to only list the building blocks, but also the actual tasks or functions within the building blocks.

Considering that the participation and involvement of stakeholders may vary in different spheres/levels of governance or even geographical areas (e.g., some NGOs may not operate throughout the country), separate matrices may have to be constructed to create a better overview, e.g., within each level of governance indicating the main stakeholders, and including sectors. Once the matrices have been completed, a comprehensive analysis and discussion can be conducted and stakeholders may agree on the main responsible parties and the roles of other stakeholders; the kind of structures and processes that are needed at each level of intervention as well as how it will play out vertically across the spheres. The matrix has more value when completed with descriptions of the actual roles and involvement of stakeholders. Additional rows should be added for each task/function. See the simplified example below:

Stakeholders participation and involvement matrix (example)

Stakeholder → / Task/Function ↓	Central Govt.	Regional Govt.	Local Govt.	NGO X	University	Donor Y
Enabling Environment						
Formulate ALE policy	X					
Implement programme implementation Guideline	X	X	X	X	X	
Institutional Arrangements						
Management Processes						
Technical Processes						
Develop TOT and TOF manuals		X	X	X	X	
Conduct ToT			Collaborate to conduct ToT			
Supervise facilitators			Collaborate to appoint and pay supervisors			

Stakeholder Collaboration – Force Field Analysis

The force field analysis tool can also be used to assess which factors bind stakeholders together around a common objective, interest, or value system etc., as far as the system elements and building blocks are concerned, and which factors hinder collaboration. This may be based on previous relationships, conflict, disappointments and misunderstanding each other's roles, responsibilities and mandates. The facilitator can place all the system building blocks (to gain a comprehensive impression) or a selected number that experience challenges among stakeholders, by writing the name of the building blocks on cards and placing them in the middle column. Stakeholders then can work in their individual organisational groups or be grouped together thematically, as government, or NGOs, etc., to complete the table by filling in their perceptions of the binding and hindering factors on cards and placing them on either side of the building blocks. For example, binding factors may include acceptance of national goals and the ALE strategy document by all or a group of stakeholders, while hindering factors could include disagreement about the ALE implementation structures, unhappiness about the partnership structures with non-state actors, or weak coordination processes, etc. Once completed the facilitator should facilitate a constructive discussion aimed at creating a better understanding between stakeholders and coming up with suggestions to move forward. See the example below:

Stakeholder	Binding factors	System Building Block	Hindering factors	Suggestions for change
	→		→	
	→		→	
	→		→	
	→		→	
	→		→	

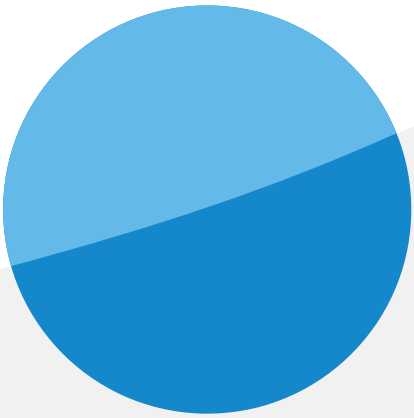
(Adopted and adapted from the Inventory of Analysis Instruments for Local Governance (Dijk, n.d.).

Users of the ALESBA toolkit can explore several participatory and visual tools to generate understanding and common interest among ALE stakeholders to come up with workable implementation structures and coordination processes. Formerly explained tools in the ALESBA toolkit such as Venn Diagrams and the other tools in Phase One, Consensus Building, may be useful during the process of redefining stakeholder relationships and responsibilities within the ALE system building process. Keep in mind that stakeholders may take up new roles and responsibilities within a new or improved system design. This may require building relationships with other stakeholders with whom they don't feel comfortable. As explained in Phase One of the booklets, the process of consensus building remains important throughout this process. The detailed roles and responsibilities of stakeholders will be further elaborated in Phase Four, when linked to implementation and testing of the ALE system design response framework.

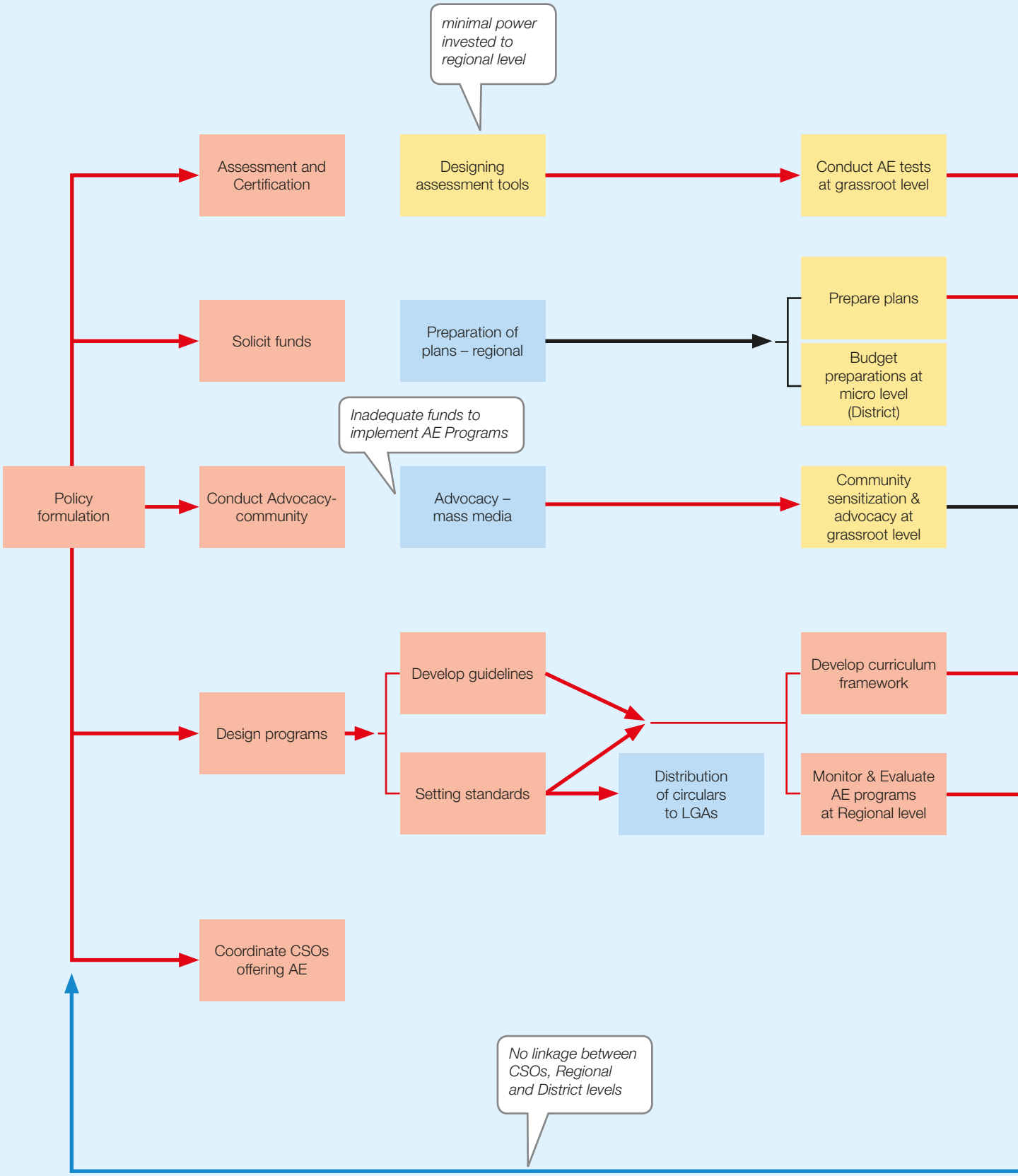
7. CONCLUSION AND NEXT STEPS

The alternatives analysis and design process should be driven and conducted by a core selected representative group from all ALESBA stakeholders. This should involve all sectors (as per the scope of ALE) as well as representatives across the spheres of governance (e.g., representatives from both national and local government should be present), including different non-state actors. It is difficult to facilitate this process with too many participants. However, at key points during the process, this core group of experts should share, validate and request input from the wider ALESBA stakeholder group and senior management.

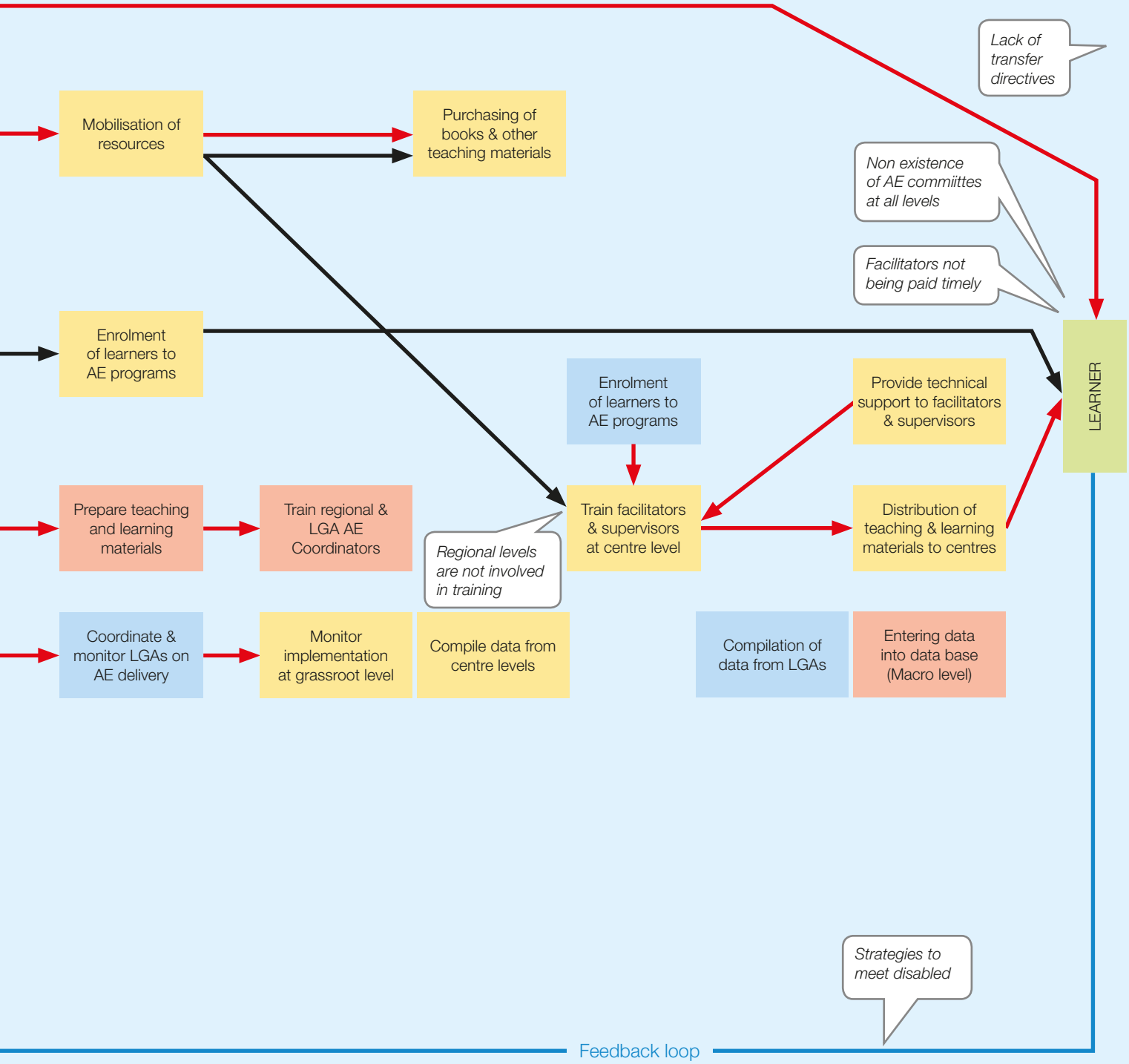
Ultimately the new system design should be approved by senior management from all ALESBA stakeholder representatives. Whether the decision is made to redesign the whole ALE system, or only to improve selected building blocks and elements, the impact of these changes on other building blocks should be traced and considered in the design. The alternatives analysis and design process cannot be completed during one workshop, but will most probably take place during several workshops, meetings and it will take some months to complete a final design and response framework for a new ALE system. The resulting document will be the main output informing Phase Four of the ALESBA, namely implementing and testing the new system design.



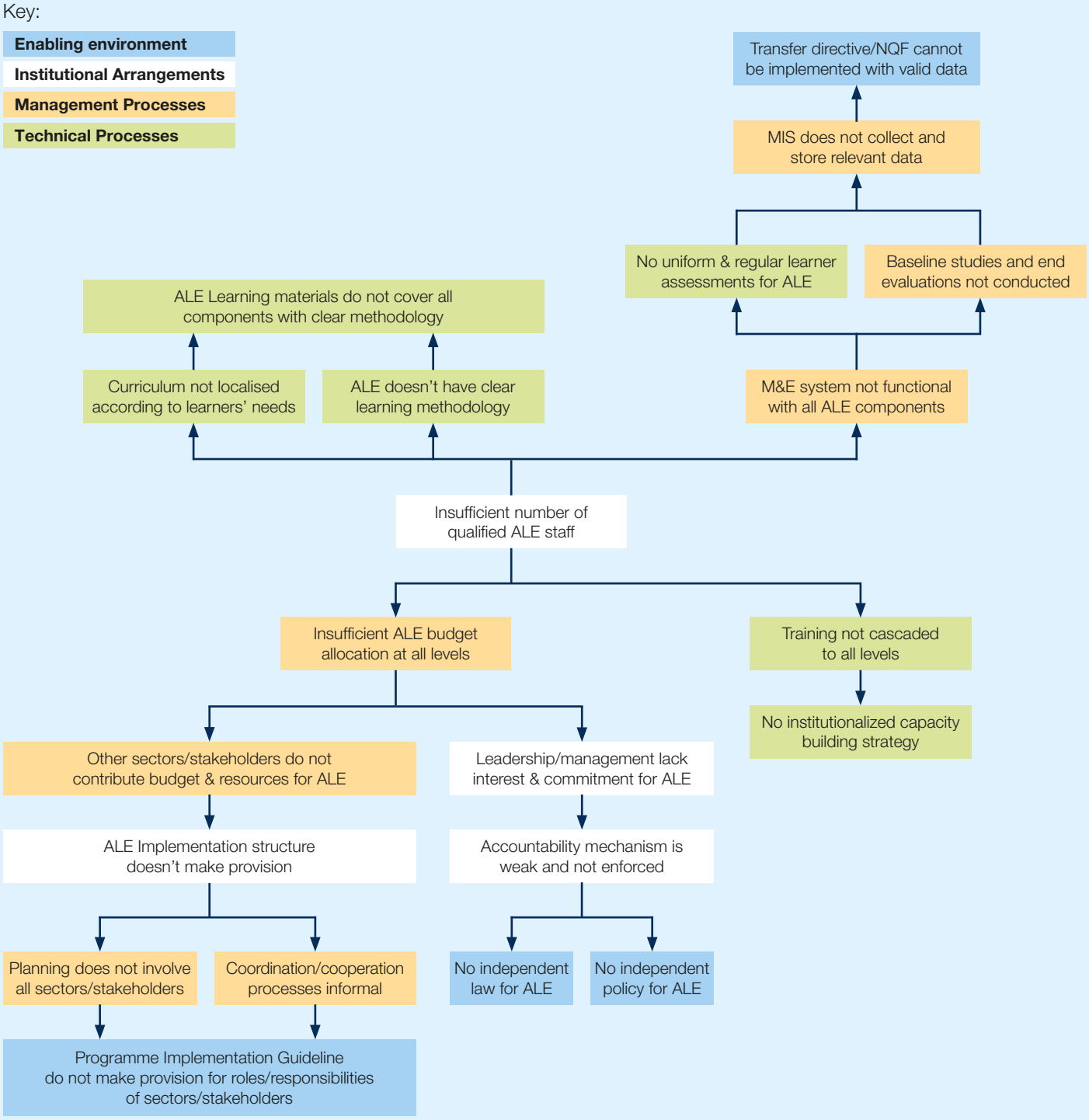
Example of a Process Map/Service Delivery Chain



Adult Education Service Delivery Process Map – Example


Lack of transfer directives
Mobilisation of resources
Purchasing of books & other teaching materials
Non existence of AE commiittes at all levels
Facilitators not being paid timely
Enrolment of learners to AE programs
LEARNER
Enrolment of learners to AE programs
Provide technical support to facilitators & supervisors
Prepare teaching and learning materials
Train regional & LGA AE Coordinators
Regional levels are not involved in training
Train facilitators & supervisors at centre level
Distribution of teaching & learning materials to centres
Coordinate & monitor LGAs on AE delivery
Monitor implementation at grassroot level
Compile data from centre levels
Compilation of data from LGAs
Entering data into data base (Macro level)
Strategies to meet disabled
Feedback loop

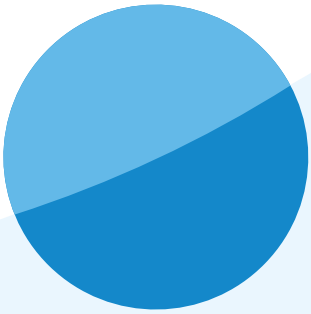
Example of a Cause and Effect Diagram



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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The Adult Learning and Education System Building Approach (ALESBA) is a product of DVV 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:

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