

# Quality Manual

# Capacity Building

## Foreword

To fulfil its mandate, the ETC needs personnel to be competent and confident in delivering the range of activities described in the ETC Service Catalogue. Central to achieving this are well-designed and effectively delivered capacity building activities which provide the knowledge, skills, and attitude required for selected personnel to deliver success in their role.

Whether operating within, or alongside the ETC, the Global ETC team is committed to ensuring that its policies and processes support respective learning pathways which are fit for purpose and professionally managed. Its dedication to evaluation also promotes fully transparent management of its capacity building portfolio.

Striving to maintain the quality standard of all ETC deliverables is rightly prioritised in this document to ensure that all participants undertaking ETC-related activities receive the most appropriate and efficient individual or collective learning and/or training experience possible.

The ETC's capacity building portfolio has been designed to support the ETC2025 strategy which positions the Global ETC as a provider of communication services in humanitarian settings for the period 2021 to 2025. Within the five pillars of the strategy, relatable goals to capacity building are included in Pillar 1: Emergency Response and Pillar 2: Regional & Country Preparedness.



The relevant ETC strategic pillars and subordinate goals are shown in the table below:

PILLAR 1: EMERGENCY RESPONSE	PILLAR 2: REGIONAL AND COUNTRY PREPAREDNESS
Goal 1.3: Capacity is in place to support sudden-onset and protracted crises.	Goal 2.1: Build capacity and develop the skill base of stakeholders through training and knowledge exchange, including access to remote learning opportunities.
Goal 1.4: Responders are trained to provide ETC services.	



In addition to WFP's efforts to build a world with zero hunger, the achievement of the above ETC goals (and the remaining pillar goals), contributes to UN Sustainable Development Goal (SDG) 17: 'Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development' which includes related 'Capacity Development' targets.

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## Section 1: ETC's Quality Manual

### 1.1 Introduction

This manual ensures that the quality of the ETC's systematic approach to training (SAT) process is governed effectively. Successful management reinforces the high standards required for the ETC to meet evidence-based capacity building needs across the partnership. In the context of this manual, capacity building 'activities' encompass any training, education, learning or development deliverable, both individual and collective, designed to meet ETC requirements.

The cyclical process for governance reviews, management, and assurance of ETC capacity building activities is collectively known as the 'quality management system' (QMS). This mechanism ensures that any capacity building activities are meaningful and contribute to the realization of ETC strategic goals 1.3, 1.4 and 2.1. For the system to be effective, leadership and working groups must be engaged to ensure that the SAT process is on track and the QMS remains appropriate to ETC needs.

Key documents must also be produced as a primary component of the QMS to contribute to the quality criteria within each course or module. The QMS mostly draws its products from the SAT process to record and demonstrate that the quality system is achieved. All stakeholders named in the system will have some involvement for individual and collective capacity building activities within the ETC portfolio.

The governance, management and assurance activities outlined in this document are to ensure that the training of ETC and partner personnel contributes directly to humanitarian objectives. When the analysis, design, delivery, and assurance elements of SAT are combined with a robust QMS, the result is a management system that delivers fit for purpose capacity building activities that:

- Meet the required quality standard.
- Achieve the operational training need.
- Are cost-effective.
- Ensure accountability.
- Promote impact-focussed evaluation.

### 1.2 Capacity Building Mission

The mission of Global ETC through its capacity building team, is to analyse, develop, deliver, and evaluate cost effective, high-quality courses, modules, and activities to underpin the ETC's mandate through:

#### Process

- Support, planning and coordination.
- Needs Analysis.
- Training Design (to include methods and media analysis and technology enhanced learning).
- Delivery of capacity building activities.
- Evaluation and impact assessment.
- Research and development.

#### Activity Management

- Provision of enough resources to meet the ETC's portfolio.
- Delivery, design, development, and support work to the highest quality standard.
- Efficient and effective use of any facilities, resources and materials required.
- Facilitating the knowledge and skill for selected personnel to fulfil ETC role-related tasks.

### 1.3 Quality Management

Quality is the entirety of features and characteristics of a service or product that makes it fit for purpose and conforms to specific requirements. This quality manual sets the requirements, both in process and output terms, necessary to set and maintain the ETC's quality system for capacity building activities. The manual and associated QMS is endorsed by Global ETC management and the ETC Strategic Advisory Group (SAG) as represented by partners.

### 1.4 Systematic Approach to Training (SAT) Overview

All ETC capacity building activities are to be managed and controlled using hierarchical documentation which is:

- Current.
- Fit for purpose.
- Readily accessible.
- Maintained as a quality record.

The procedure covering the management of quality records, including documentation reviews and retention, can be found in *Section 2: The Quality Management System (QMS)*. The ETC SAT quality standard requires a system of documentation to define and communicate the training requirement. It also ensures that appropriate controls and procedures exist to guarantee that any deliverable satisfies the operational need.

### 1.5 The SAT Process

The ETC's SAT provides direction for internal processes, outputs, and deliverables. The SAT process is composed of inputs and outputs relating to the analysis, design, delivery, implementation and evaluation of all ETC capacity building activities, both individual and collective. The SAT process should be applied pragmatically with enough flexibility to achieve effective and efficient activities capable of delivering relevant competencies. It should also facilitate safe, capable, motivated, and deployable human resources, now and into the future.

### 1.6 SAT Documentation

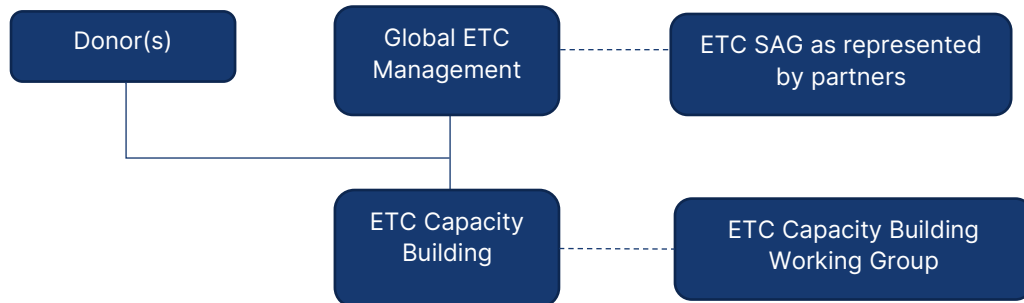
The SAT documentation system is designed to support the management and delivery of ETC individual and collective training. The following list details the minimum required documentation and resources for each ETC deliverable.

- Training Performance Statement (TPS) or Competence Framework (CF).
- Assessment criteria.
- Implementation Plan/Overview.
- Instructional/Facilitation Guide.
- Delivery resources.
- Evaluation documents.

## Section 2: The Quality Management System (QMS)

### 2.1 Management Framework

ETC's capacity building governance and management framework is in accordance with the below figure and comprises the ETC Strategic Advisory Group (SAG) as represented by partners, the ETC Capacity Building Working Group, Donor(s), Global ETC management and Global ETC capacity building personnel.



### 2.2 Responsibilities

Details for the functionality and purpose of these groups can be found in *Section 3: ETC Capacity Building Governance*.

### 2.3 Training Capabilities

As the training requirement authority, Global ETC management is accountable for delivering human resource capability to operations. Global ETC capacity building staff have delegated responsibility for compliance with all guidelines and processes to maintain the quality standard of the relevant ETC portfolio.

Capacity building personnel provide the necessary support for training governance and are central to addressing issues raised through course feedback and lessons identified within related project. These processes support the evaluation stage of the systematic approach to ETC capacity building activities.

### 2.4 Emerging Requirements

Global ETC capacity building personnel are responsible for the design and development of emergent courses, modules, and activities to meet ETC operational needs. They also hold responsibility for quality assuring the associated lines of development for new requirements over the medium to long term. Reporting to Global ETC management, capacity building staff work closely with all ETC functional areas to ensure that any evidence-based requirements to deliver capacity building activities are resourced effectively.

### 2.5 Review Cycle

A review of this quality manual is to be conducted annually with eventual endorsement by Global ETC management in accordance with self-evaluation processes. The purpose and outcome of reviews should stimulate continuous improvement. Reviews of policies and processes should assess the continued suitability, adequacy, effectiveness, and alignment with the strategic direction of the ETC and:

- Determine and evaluate the performance of quality manual and associated processes.
- Determine the need for change and improvement.
- Seek endorsement for suggested changes to policies and associated objectives.

## 2.6 Governance Review Inputs

The training governance review process must ensure that the necessary information is collected ahead of time to allow the process to be performed effectively. The review process should focus on the following inputs:

- Risks and opportunities.
- Possible changes that might affect the training requirement.
- Partner opinions and perception.
- Evaluation results.
- Examples of non-conformity and mitigating actions taken.

## 2.7 Governance Review Outputs

All training governance reviews must be documented and observations, conclusions, and recommendations for further action must be recorded. If any change is needed, Global ETC capacity building staff will provide the administrative function and ensure that all actions are implemented. Typical outputs might include:

- Process improvement actions.
- QMS improvement actions and changes to objectives and policies.
- Improvement actions for ETC courseware.
- Resource (human and material) provision actions.
- Revised work plans and budgets.

## 2.8 Control of Quality Records and Management Documents

ETC courseware consists of e-modules, learning pathways, classroom-based delivery resources, scenarios, and immersive simulation material. Hierarchical documentation exists for both capacity building portfolio management and individual activities. The ETC QMS contains the review procedure for individual activities contained within ETC courseware.

## 2.9 SAT Documentation Review

A SAT documentation review includes examination of all SAT documentation held for Global ETC capacity building. It is conducted to ensure that the documentation correctly describes activities that will meet the operational requirement and that it complies with the ETC quality standard as described in this manual. The review is scheduled to ensure that SAT documentation is examined at regular intervals.

The review should address the following aspects:

- Course title and objectives.
- Date for commencement of the review.
- Version number of each part of the documentation.
- QMS directed assurance stages.
- Status of supporting documentation.
- Original and current target dates for completion of the review.
- The projected date for the next review.

## 2.10 Review Cycle

Once initiated, progress of the review is to be monitored weekly at scheduled Global ETC capacity building meetings. The following procedure sets out the frequency of review for controls on the identification criteria, storage, security, functionality, retrieval, retention, and disposal of training records and associated delivery material. In addition to any quality records identified in SAT (such as those used for training needs analysis), the documents contained in the table below are to be reviewed and retained for the following specified periods:



QUALITY RECORD	REVIEW PERIOD	RETENTION PERIOD
<b>Operational Training Need</b>	Annual or major change	Archive
<b>Training Performance Statements</b>	Annual or major change	5 years after change
<b>Quality Manual</b>	Annual or major change	5 years after change
<b>Work Plan</b>	Annual	Archive
<b>Records of Staff Training</b>	Annual	Duration of staff appointment
<b>Quality Management System</b>	2 years	5 years after change
<b>Facilitation Guides</b>	2 Years	5 years after change
<b>Assessment Strategies</b>	2 Years	5 years after change
<b>e-Module content</b>	2 years from publishing	Archive (SCORM zip folder)
<b>Assessment questionnaires</b>	2 years	5 years after change
<b>Evaluation surveys</b>	2 years	5 years after change
<b>Evaluation data spreadsheet</b>	2 years	5 years after change
<b>Monitoring and Evaluation Framework</b>	3 years	Archive previous versions
<b>Online Learning Pathways</b>	Following each delivery	Archive (within LMS)
<b>Evaluation Reports</b>	Following each delivery	Archive
<b>Scenario material</b>	Following each delivery	2 years after change
<b>Presentation material</b>	Following each delivery	2 years after change

## Section 3: ETC Capacity Building Governance

### 3.1 Training Governance Introduction

This section will describe the high-level responsibilities of key groups that hold stakeholder status in ETC capacity building programmes. Detailed responsibilities and outputs will be described under *paragraph 3.8 Functional Relationships* and relevant ToRs are located at Annex A. Governance does not only include direction and guidance received from relevant stakeholders but also encompasses the conditions which indicate any gaps in capacity which ETC deliverables aim to address.

### 3.2 ETC Requirements Authority

Global ETC management direct the requirement for all ETC capacity building activities. As such, the Global ETC coordinator and deputy Global ETC coordinator take inputs and identify gaps to better support ETC field operations. When needed, relevant capacity building direction and guidance is disseminated to the delivery authority (Global ETC capacity building staff). The requirements authority provides direction for stakeholders to develop the scale and content of activities to match requirements within the resources available. The process should promote accountability for stakeholders in relation to the quantity, quality, timeliness, and effectiveness of the ETC portfolio.

The requirements authority also serves as the overarching support mechanism for capacity building governance. Additionally, this function governs current and emergent technical and non-technical activities. This includes any variation to an existing activity, the endorsement of capacity building processes, procedures and documents that align with the SAT, as well as endorsement of higher-level training needs and design work.

### 3.3 ETC Delivery Authority

Responsibility for aspects of ETC capacity building governance has been devolved to selected staff within Global ETC (see *paragraph 3.6*) as the delivery authority. High-level responsibilities will be conducted on behalf of Global ETC management (in its capacity as the requirements authority) as follows:

- Development and maintenance of the operational training need as described in *paragraph 3.9*.
- Maintaining training performance statements.
- Evaluation and impact analysis for the ETC capacity building portfolio.
- Training needs analysis of emergent ETC requirements.
- Coordination and delivery of all activities within the ETC capacity building portfolio.
- Development and maintenance of the ETC trained directory.

### 3.4 The ETC Strategic Advisory Group

The overall objective of the Strategic Advisory Group (SAG) as represented by partners is to promote and drive the implementation of the ETC strategy, ensuring that the decisions taken, and the pursuing actions, represent the diversity of the cluster partners. Specific objectives include:

- Provision of strategic guidance to the Global ETC.
- Monitoring performance.
- Overseeing the implementation of the extant strategy.
- Support to the Global ETC unit as appropriate.

### **3.5 The ETC Capacity Building Working Group**

This working group serves as a forum to enhance collaboration and engagement amongst ETC partner organisations in the field of capacity building. More specifically, the [working group TORs](#) specify that the group activities and interaction should focus on:

- Exploring opportunities for collaboration to support each other on content development and delivery expertise.
- Exchanging knowledge, information, and ideas on best practices and innovations in delivery methodologies.
- Developing a proposal for building ETC 'training standards' or equivalent across Global ETC and partner products.

### **3.6 Capacity Building Roles and Functions**

Global ETC capacity building is resourced to manage training for existing and emergent training requirements. Staffing consists of experienced learning & development specialists, a business support function, and a project officer acting as supervisor. These roles also provide supporting activities within the ETC QMS and they are responsible for liaison with ETC Subject Matter Experts (SMEs) for lines of activity within the annual capacity building work plan.

### **3.7 Internal Responsibilities**

Global ETC capacity building staff have delegated responsibility for the implementation of the quality system within the organisation. This responsibility is communicated through individual ToRs associated with each role. The project officer is to act as chair for internal forums which routinely include quality associated topics. This role must also ensure communication channels are open and clear to maintain the quality standard.

### **3.8 Functional Relationships**

#### **Requirements Authority**

The requirements authority is responsible for determining any discrepancy between the demand (the operational training need) and the annual activities delivered. Should a gap be identified, that cannot be resolved, the requirements authority must provide a clear problem statement with which suitable actions can be investigated. Any unresolved issues and risks should be raised to the requirements authority for the management of risk and must be tracked accordingly.

#### **Delivery Authority**

Global ETC capacity building provides individual and collective training and/or education, to agreed standards and in accordance with extant and funded programmes. Relevant activities are led, resourced, and administered by capacity building staff who should be viewed as the SMEs for the delivery of the ETC learning portfolio. They are empowered to oversee the management of approved learning, teaching and training materials. Additionally, support is also provided to the coordination of shared resources, activities, and facilities.

#### **ETC Strategic Advisory Group as represented by partners**

Within the SAG responsibilities lies the endorsement and support for the implementation work conducted by ETC working groups which includes the capacity building working group. The group also 'assists with identifying and addressing gaps and trends in policy and practice that impact ICT service delivery in emergencies' and this responsibility can have implicit capacity building considerations.

### **ETC Capacity Building Working Group**

To ensure transparency, any changes to the existing ETC capacity building portfolio or investigation to emergent requirements yielding a needs analysis, will be discussed in the working group before potential endorsement by the wider ETC partnership. When engaged with the ETC capacity building working group, Global ETC capacity building staff are responsible to act as chair and assume ownership of any endorsement sought from such partnership forums.

### **3.9 Operational Training Need**

The ETC capacity building planning and coordination process is to be based on requirements and the annual delivery schedule. The project officer is responsible for ensuring that the planning and coordination of in-person training events and on-line learning solutions covers the operational training need in close coordination with the requirements authority. This includes analysis of any gap in competence that lies across the ETC partnership identified and endorsed, for further investigation through working groups.

### **3.10 Planning Process**

A 12-month capacity building work plan is used as a project management tool that combines the operational need and resource planning over the calendar year. The tool aims to ensure the ability to deliver a set number of outputs within the expected timeframe and allocated funding. It contributes to the effectiveness of in-year planning (e.g. for short notice tasks) and is also used for monitoring purposes. The work plan should:

- Contain the annual output-based requirement and associated inputs.
- Be used as the basis for communication related to scheduling for external and internal stakeholders.
- Be used as a source document for course communication, application timelines, delivery, and scheduling.
- Direct the courses and modules to be reviewed in the next 12-month period in accordance with the QMS.
- Consider the number of courses and trainees in a training year.
- Be used as an activity monitoring tool throughout the year.
- Attract a post-delivery review for the performance of the work plan.
- Inform the work plan for the following year.
- Be endorsed annually by the requirements authority.

### **3.11 Inputs**

The governing input standard for applications to any scheduled activity within the ETC portfolio will be described within the event description advertised on [www.ETCluster.org](http://www.ETCluster.org). Selection criteria are shared for both prerequisite and desirable competencies which must be validated in participant applications. Should a scheduled course require specific completion of a previous ETC deliverable, this must be evidenced by a successful course completion certificate. Course input standards for participants' prerequisite knowledge, skills and attitude will be reviewed as part of the evaluation process immediately following all delivery periods to assure selection criteria.

### **3.12 Outputs**

The individual records of completion held across the ETC partnership is captured within the trained directory. This facility contains course completion data associated with all participants that have undertaken ETC scheduled courses. Responsibility for day-to-day management of the database is devolved to the capacity building business support function. The management of this system is described in *Section 4: ETC Capacity Building Internal Processes*.

### **3.13 Qualification Management**

The opportunity to gain ETC partnership endorsed qualifications is an important component of the capacity building output standard. The annual delivery schedule provides consistent staff development and quality

assurance periods. Qualifications obtained through ETC courseware allows personnel to contribute more effectively to the organisation and competently deal with situations which the field environment presents for their selected role.

To ensure that the quality standard of qualifications is maintained, the currency of competence gained from an ETC deliverable must be governed. To inform the currency of individual qualifications gained through the ETC portfolio, the delivery authority is responsible to:

- Provide course refreshers where applicable to extend the validity of existing qualifications held by successful participants on scheduled ETC courses.
- Advise the requirements authority on the impact of any major revision of learning/training objectives and/or redesign of an existing course.
- Investigate the existence of residual gaps and provide mitigation following any major change to content within delivery material and/or assessment strategies.
- Provide effective record-keeping of learner progress towards qualifications – these must be updated with learner contact details to enable competence framework progress to be tracked.
- Provide support and mentorship to all staff pursuing continual professional development activities.

The following table describes currency of ETC qualifications from point of course completion and, where relevant, the refresher options (list reflects portfolio for QM version 1.2-Jun 23 and **does not** include collective exercises).

QUALIFICATION	CATEGORY	CURRENCY	REFRESHER
<b>1. Context of HRO<sup>1</sup></b> <b>2. ETC Induction</b>	Self-Paced / Foundational	Until e-module versions are superseded	Must be completed before attendance on any scheduled ETC courses
<b>3. Teamwork</b> <b>4. Service Mindset</b>	Self-Paced / Core Competence	Until e-module versions are superseded	Must be completed before attendance on any scheduled ETC courses
<b>ETC Country Preparedness</b>	Self-Paced / Foundational	Until e-module version is superseded	N/A
<b>ETC Services to Affected Populations</b>	Self-Paced / Foundational	Until e-module version is superseded	Must be completed within 12 months of attendance on Let's Connect Communities
<b>SCS Basics</b>	Self-Paced / Technical	Until e-module version is superseded	Must be completed within 12 months of attendance on Let's Comm and Let's Comm ToT
<b>Let's Comm</b>	Blended / Technical	3 years or sooner in the case of major change to syllabus	Extended by 2 years with completion of Security Communications Systems refresher or with relevant experience
<b>Let's Comm ToT</b>	Blended / Technical	Maintained through Let's Comm syllabus delivery	Extended through CPD following course completion
<b>Let's Net</b>	Blended / Technical	3 years or sooner in the case of major change to syllabus	Extended through experience of solution deployment during emergency response
<b>ETC Operations Course</b>	Blended / Management	5 years or sooner in the case of major change to syllabus	Extended through experience on emergency response
<b>Let's Connect Communities</b>	Online / Management	5 years or sooner in the case of major change to syllabus	Extended through experience on emergency response

<sup>1</sup> Humanitarian Response Operations

### 3.14 Donor Reporting

Annual reports are compiled by the ETC for submission to predominant donors. The project officer acting as supervisor has overall responsibility for the necessary contributions to donor reports in conjunction with the end of Q2 reporting period. Although these reports address a range of donor funded activities, capacity building must provide the following insertions:

- A high-level summary of capacity building work undertaken in the previous 12-month period.
- Description of any new developments or deliverables.
- Any departure from what was planned vs what was delivered and the reason for change.
- Summaries of specific courses and/or exercises delivered which is to include at a minimum-
  - The overall aim
  - Format of delivery
  - Dates of delivery
  - Number of participants
- Where possible, the impact of the activities.
- Proposed activities for a future funding allocation if applicable.

In addition to above, evaluation reports for each deliverable are to be compiled by the nominated learning & development specialist supporting the course. These reports follow a set format which identifies trends and makes recommendations based on the qualitative and quantitative data gained through associated evaluation surveys and assessment questionnaires as described in *Section 6: Evaluation*. Report drafts are to be shared with the project officer and the TRA before distribution to the relevant donor associated with the activity.

## Section 4: ETC Capacity Building Internal Processes

### 4.1 ETC Delivery Authority

Global ETC capacity building personnel perform this function and own the processes to effectively manage activities which support the required delivery standard. The SAT process directs that this management includes the following:

- Needs analysis to determine new or revised role competency requirements.
- Training, learning, and instructional design.
- Technology Enhanced Learning (TEL)<sup>2</sup> development and management.
- In-person delivery of individual and collective training in accordance with the associated training performance statement.
- Quality assurance which includes evaluation, validation, and impact assessment.
- Management of the SAT cycle for all training documents.
- Management of the ETC trained directory reflecting individual competencies achieved by individuals.
- Planning and coordination of ETC related scheduled courses and exercise simulations.
- Monitoring the operational training need in close collaboration with the requirements authority.
- Identify and manage relationships with ETC training facilities, resource, and material holders in global locations.
- Manage external service providers when engaged with support to ETC deliverables.

### 4.2 Material Resource Management

#### Equipment

For technical ETC deliverables (Let's Comm, Let's Net and gear.UP) there is an associated equipment requirement which supports hands-on activities within respective syllabi. Any equipment which has been purchased by the predominant donor (the Government of Luxembourg) remains in storage at the donor's location. The ETC commits to a full stock inspection following each delivery with any deficiencies to be replenished before next delivery. Consumables will be procured and shipped as required in accordance with the material needs of each deliverable. Equipment lists are held in the relevant course/exercise folder within the capacity building MS Teams workspace.

#### Visibility Items

All visibility items which are distributed during ETC capacity building activities are ordered and stored in the Dubai office. Any replenishment must have sufficient budget allocated and order times should take into account any shipping required from Dubai. In addition to clothing, visibility items such as folders, branded paper, pens and drinking vessels will have a stock inspection at the start of Q1 and following each deliverable when items have been distributed.

### 4.3 Human Resources Management

The ETC is committed to ensuring that all personnel involved in the management of SAT activities are competent based on their requisite education, training, skills, and experience. The required job competencies and Performance and Competency Enhancement (PACE) objectives are to be agreed at role commencement and responsibilities documented in the individual's ToR. CPD of capacity building staff is actively encouraged and personally identified opportunities are to be discussed with the project officer in the first instance.

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<sup>2</sup> In this context, TEL is used as an all-encompassing term for the production and maintenance of capacity building material which uses learning software or hardware. Examples include eLearning, online collaboration tools, learning management systems etc.

## 4.4 Work Planning and Coordination

Responsibility for development, delivery, and continuous improvement the ETC's annual programme of courses, exercises and non-training activities sits with Global ETC capacity building staff. The work plan is based on ETC competence requirements reflected by the operational training need. The plan is drafted for each month over a one-year period and considers availability of partner support, course and exercise sequencing, in addition to ETC personnel availability (including SMEs). The work plan is drafted in-person within the Q1-2 period annually. As part of this process, the previous work plan should be reviewed to assess timelines, sequencing, and course management. Responsibility for endorsing the work plan is ultimately with the requirements authority but informed by dialogue with relevant stakeholders (for example hosting organisations).

## 4.5 Budgeting

The current predominant donor for capacity building initiatives is the Government of Luxembourg. The budgeting and reporting period in line with this donor's requirements is July to June. In accordance with work plan generation (*paragraph 4.4*), once the plan for the upcoming year is set and endorsed, a budget is prepared. This budget is then shared with the donor whereby capacity building is one of the activities in the overall proposal.

Key components of the capacity building budget include:

- **Staffing:** Includes staff salaries, own capacity building, travel for meetings, and any other cost to host office.
- **Delivery:** Includes direct operational costs relating to implementing an activity such as travel, DSA, equipment and other procurement, cost of hotels, training venues etcetera.
- **Other:** Includes cost of software, e-learning licenses, and any other miscellaneous cost that cannot be directly attributed to an activity.

To align with the Government of Luxembourg, a budget is prepared and submitted at the beginning of Q2 annually. This budget is closely monitored at regular intervals throughout the year to investigate deviations, if any, and identify appropriate actions. The project officer has responsibility for compilation of the annual budget.

## 4.6 Monitoring

Functionally placed within WFP's TEC-F (Technology Division – Emergency Preparedness & Response), Global ETC sub-departments contribute to TECF-F reporting protocols. These are predominantly activity driven and submissions are retrospective. The project officer, as supervisor, has overall responsibility for timely submission of WFP reporting requirements submitted on a weekly, monthly and quarterly basis. In the absence of this role, internal activities will be collated by the deputy Global ETC coordinator. The project officer also holds monitoring responsibility for the capacity building budget prepared annually in Q2 as described in *paragraph 4.5 Budgeting*.

To conduct internal monitoring of both individual and collective activities, capacity building personnel are to hold a weekly meeting with the aim of monitoring progress of administrative and SAT activities relating to specific deliverables. This is done in conjunction with the annual work plan which reflects task allocation and individual lines of effort on a week-to-week basis. The work plan resides within the capacity building MS Teams workspace. Personnel are responsible for their own inputs and providing an update on their dedicated lines of effort during the weekly meeting.

## 4.7 Key Performance Indicators

As part of the ETC's evaluation processes, Global ETC capacity building personnel are to identify suitable input and output-based Key Performance Indicators (KPIs) in the annual work-plan. These are to be used as a measure of ETC activity related productivity, efficiency, and effectiveness.

For course effectiveness, evaluation reports include Kirkpatrick level 1 and 2 analysis which will be shared with all relevant stakeholders following a scheduled course or exercise delivery. Level 3 evaluation is conducted in accordance with post-completion timelines for each ETC deliverable and evaluation guidance is contained in *Section 6: Evaluation*.



## 4.8 Communication

### Capacity Building Website

Capacity building is contained as a specific activity on [www.ETCluster.org](http://www.ETCluster.org). Within this online resource are descriptions of ETC training courses, exercises, and self-paced online learning opportunities. Dedicated events pages also provide selection criteria and application information for scheduled courses. It is imperative that the information which resides for both activity descriptions and dedicated events have parity. The business support function will liaise with the nominated course facilitator to ensure the accuracy of any descriptive text. As standard, the capacity building presence on [www.ETCluster.org](http://www.ETCluster.org) should be reviewed every 6 months or in the case of any change to deliverables which may impact the aim, objectives, participants numbers or topics included.

### The ETC Learning Channel

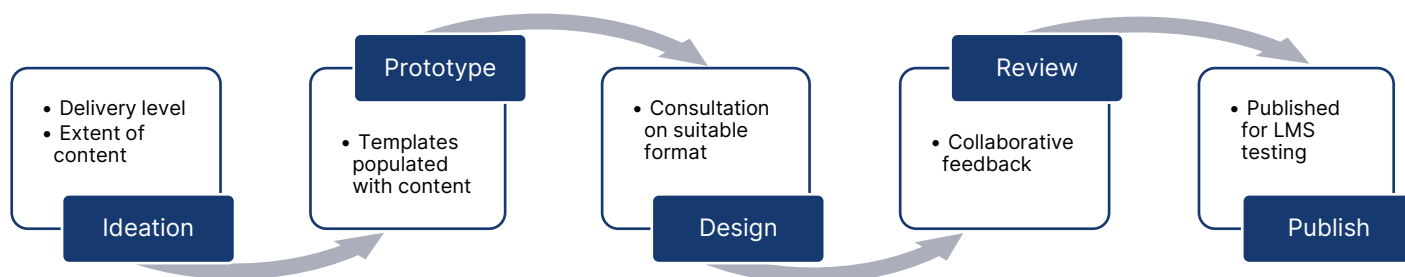
The ETC uses the WFP Learning Management System (LMS) WeLearn to host online learning resources. The ETC Learning Channel provides learners with access to all material which has been optimised for online learning<sup>3</sup>. The channel is visible and accessible to all WFP personnel; non-WFP learners must be registered or have legacy access from a previous registration. Learning pathways are used to structure courseware for a blended deliverable. Training in the use of the system is available to the Global ETC which will allow staff to create and manage learning pathways.

The ETC learning channel is a critical resource to support a blended delivery methodology. As such, it is imperative that the learner interface is intuitive and up to date. The channel is reviewed annually with all descriptive elements assured by nominated course facilitators. Any modification required will be conducted by WeLearn trained capacity building staff, or in their absence, the WFP WeLearn team can assist with updates and changes. The annual channel review should also remove any out-of-date courses or e-modules from the learner view.

## 4.9 Individual e-Module Management

During a traditional, or vendor associated e-module design process, scripting is used for an eLearning interface to suggest content and format for eventual publication. Scripts are predominantly shared in word format and track changes/comments are used by nominated personnel to provide inputs to the design process. Once a script has reached a satisfactory level of agreement from all contributors, authoring will commence whereby the e-module author will begin adding content to the authoring software to be used for the project. Scripts should be retained in the design folder associated with the module under development. The review process will then commence with authored content shared for further collaborative feedback.

The process for the internal development of an e-module differs slightly from above in that e-module templates are utilised earlier in the process. This means that content is introduced to the authoring tool sooner in the overall development process. The below flow chart describes the individual steps:



On publishing, an e-module is saved in a SCORM compliant format for eventual integration with WeLearn or another approved LMS (this includes non-eLearning interfaces such as instructional videos, micro-learning or video-based learning). Throughout the life cycle of an e-module, any feedback is to be collated in the allocated

<sup>3</sup> ETC online learning is not limited to an eLearning interface. It also includes instructional videos, micro-learning or video-based learning and webinars in addition to self-paced e-modules such as the ETC core competencies and foundational resources.

folder within the capacity building MS Teams storage facility as described in *paragraph 4.11 Information Management*. This feedback will be used in conjunction with the biennial review cycle for all ETC e-modules. Additionally, any reference document which has superseded the extracted content in a previous e-module version should be retained as the extant source.

## 4.10 WeLearn Administration

Any new course or e-module requires an assurance period in conjunction with WeLearn staff to ensure that progression, tracking and interaction within the resource are working as planned. For scheduled courses, a new learning pathway is created for each deliverable with individual steps allowing access to learning content. For standalone e-modules, learners can access the material through the ETC learning channel. Since all courses must be SCORM compliant, learner tracking and completion rates can be reviewed.

Non-WFP staff can also access the ETC learning channel (at an additional cost to be covered by Global ETC budget) but personal details such as name and email address must be shared with WeLearn staff in order to provide a one-time registration. In the case of a scheduled course, non-WFP participants are provided with an aide memoire in advance of the course which explains access to the LMS in a step-by-step format. WFP staff have full access to WeLearn during their contractual period. If a scheduled course coincides with a break in service, WeLearn staff can assist with a daily log on using personal contact details however this should be avoided wherever possible.

During the preparation phase for any blended deliverable, selected participants will be enrolled on their chosen course thereby gaining access to the dedicated learning pathway for that iteration. The pathway will direct the sequence of surveys, questionnaires, e-modules and live online sessions. Completion and attendance rates are tracked in the pathway and manual capture of attendance is required by course facilitators following each live online delivery. Course resources remain available to all learners (WFP and non-WFP) after a specific e-module, or course of learning, has been completed.

## 4.11 Information Management

MS Teams and Sharepoint work symbiotically to store all capacity building material in a dedicated TEC-F area. The highest level of folder structure contains management relating to the day-to-day administration of Global ETC capacity building with a separate folder for generic course development and deliverables broken down by ETC service and activity type (see Annex B). The folders relating to specific deliverables use the same folder hierarchy and follow the ADDIE structure:

0. **Archive:** Legacy material relating to the course.
1. **Administration:** Personnel admin, correspondence, travel & visas, communications & visibility, budget and task trackers, equipment (where necessary). This is captured by year of delivery.
2. **Analysis:** All documents and files used for needs analysis or review. Also, to include any initial reference material used.
3. **Design:** Course structure & flow, timetable, performance statements, design reports.
4. **Development:** Extant material in use during the deliverable in editable format.
5. **Implementation:** The actual material used on the course and shared with participants. This is captured by year of delivery.
6. **Evaluation:** Data sets (qualitative and quantitative) and analysis in tabular format in addition to evaluation reports. This is captured by year of delivery.

In contrast with the generic structure for courseware above, the subordinate folders located in the management area (includes the training calendar plus ancillary/foundation activities) can be seen at Annex B.

## 4.12 ETC Trained Directory

A database serves as the ETC trained directory and includes information on the activities delivered each year, personnel trained and their profile/details. The directory is held in Salesforce with restricted access to preserve the profile data which lies within. The database is updated after each scheduled course so that an individual

record of the competence achieved on behalf of participants and source organisation(s) has been retained as quality record.

The information which lies in the repository underpins reporting and provides the means to segregate data based on:

- Individuals trained.
- Individuals trained by year.
- Type of training received.
- Country/region.
- Organisation.
- Organisation type.

Primary responsibility to maintain and update the database sits with the capacity building business support function with information provision, as required, from Global ETC staff.

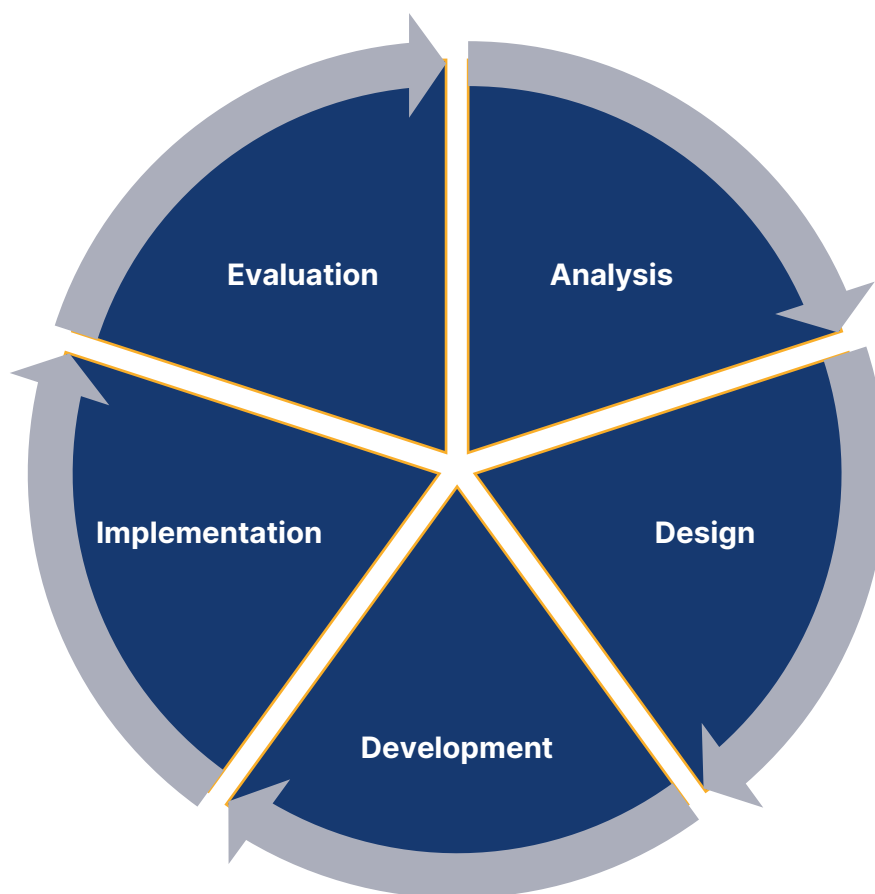
## Section 5: Management of Capacity Building Activities

### 5.1 Management of Activities

All ETC capacity building activities are to be managed and controlled using appropriate training documentation. This documentation is to be current, fit for purpose and readily accessible. The procedure for management of quality records, including documentation control, can be found in *Section 2: The Quality Management System*. Selected documentation is to be maintained as quality records in the timeframes described in *paragraph 2.11*.

### 5.2 The ADDIE Cycle

The ADDIE model is a recognised methodology that ETC instructional designers and content developers can use to create training course materials. The model has been adopted as the standard method for the ETC and individual course materials are stored in folder structures which follows the ADDIE process. An outline of the model can be seen below:



Below summarises the activities within each step:

- **Analysis:** A systematic exploration of the way things are and the way they should be; the difference is the performance gap.
- **Design:** If the analysis identifies a performance gap, the design phase will outline the performance objectives which need to be captured and refined.
- **Development:** Using the information gathered in the analysis and design phase, the performance solution is created to achieve the objectives.
- **Implementation:** This includes delivery of the performance solution. This could be a training course, or another capacity building activity deemed suitable to achieve the objectives.
- **Evaluation:** Measurement of how well the performance solution achieved the objectives by analysing trends in qualitative and quantitative data.

### 5.3 Outreach

All outreach processes and associated timelines are planned during the scheduling phase which occurs post endorsement of the ETC capacity building work plan. Each scheduled course will have a dedicated series of actions required within a defined proximity of course commencement. According to scheduled delivery periods, dates will be allocated for the following actions to take place:

- Open applications
- Close applications
- Screening/Selection
- Communication to participants
- Confirmed participant list
- Standby participant list captured

Applications will be advertised on the [www.ETCluster.org](http://www.ETCluster.org) capacity building area using a dedicated event page as described in *paragraph 4.8 Communication*. This will be followed by proactive advertisement across the partnership in conjunction with the channels and methods recommended by ETC communications representatives. These channels aim to ensure both Cluster Lead Agency and partner audience receipt of scheduled course notification.

Specific outreach timelines are below for blended (online and in-person) and fully virtual scheduled courses:

ACTION	DURATION OF ACTION	BLENDED COURSE (ONLINE & IN-PERSON)	FULLY VIRTUAL COURSE
<b>Applications open</b>	4 weeks	15 weeks to course commencement	11 weeks to course commencement
<b>Screening and Selection</b>	2 weeks	11 weeks to course commencement	7 weeks to course commencement
<b>Participant acknowledgement</b>	1 week	9 weeks to course commencement	5 weeks to course commencement
<b>Final list distribution</b>	8 weeks for in-person (visas etc.) 4 weeks for fully virtual	8 weeks to course commencement	4 weeks to course commencement

### 5.4 Screening and Selection

Selection of participants is to align with the extant ETC partnership model. Applicants are prioritised based on the level of source organisation engagement with the ETC and 'deployability'. Those deployed, or expected to deploy, to an ETC operation in addition to 'surge capacity' will receive priority status.

Selection of applicants from regions and Country Offices will consider:

- Gaps in the regions based on active or potential ETC operations.
- Ability to readily deploy at the regional or country-level.
- Local champions who may have greater reach at country-level.

The integrity of the ETC selection process is maintained using an impartial inter-agency selection committee nominated from Global ETC partner organisations. The committee consists of a representative from a UN agency, an NGO representative and finally, a representative from the private sector. These personnel are encouraged to volunteer for the role according to their suitability. The screening process takes place in the following sequence:

1. Applications undertake 'scoring' based on prerequisites required and selection criteria for each course.
2. In addition to individual application strength, diversity of organisation/s, gender, and geographic location are taken into consideration.
3. Deployability and surge capacity are prioritised
4. ETC field operations, country offices, in addition to partners' priorities are taken into consideration.

5. Global ETC facilitates the screening and selection process however final decision on applications is taken by the selection committee.

The list of applicants for respective scheduled courses now evolves into the initial participant list. At this stage, aspirant participants are engaged to confirm their successful selection and to acknowledge whether they remain available to undertake the scheduled course. Standby lists for scheduled courses follow a similar process in that potential participants are contacted to confirm their status as standby and to acknowledge their willingness to continue with the possibility of joining the course at a later date.

## **5.5 Participant Management**

### **Fully Virtual Courses**

In the case of fully virtual scheduled courses, the management of participants is limited to ensuring access to the course learning pathway in WeLearn (as described in *paragraph 4.10 WeLearn Administration*) and advance communication to manage the expectations of those balancing the course with their employed role. Advance notification of the commitment required for self-paced modules and attendance for live online sessions is vital to promote successful course completion. Where possible, an indication of live online delivery times should be shared with participants as early as practicable in the application process to enable them to decide if they can commit fully to the syllabus.

### **Blended Courses (includes in-person)**

In addition to the requirements described above which also apply to any virtual phase of a blended course, an in-person element will require additional administrative and logistical tasks. Once the final list is prepared for a course, participants are encouraged to commence any visa application process which might be required of them to enter the training location. Additionally, an admin note will be shared with participants which describes visa requirements, travel arrangements at the destination, food and accommodation descriptions and guidance regarding clothing and what to bring. In all cases, flight tickets to the training location are arranged by the source department/organisation from which the participant originates.

## **5.6 Course Compliance**

This process describes the actions which may be taken by the ETC when participants do not achieve the required course progress due to non-completion of modules within a specific syllabus. The ETC capacity building portfolio consists of eLearning, virtually delivered material, in-person classroom resources, and immersive simulation. Successful achievement of any ETC deliverable requires 100% completion levels to attain the competence offered through achievement of associated training and/or learning objectives. The ETC course compliance policy can be found at Annex C.

## **5.7 Assessment**

The ETC has adopted formative assessment as the preferred methodology in use across all course deliverables. In contrast with summative assessment, the formative strategy aims to identify any issues with understanding and/or comprehension of material at the earliest possible opportunity. Through observation, and regular periods of interaction with facilitators, participants are encouraged to raise any challenges they are facing with content received in order to gain clarity.

ETC capacity building courses do not include a pass or fail criteria. However, course performance will indicate an individual's suitability for future deployment and/or future learning paths in their continual professional development. In the case where a participant cannot achieve the level of understanding required by course completion, they will be afforded the opportunity to continue their development through a period of post-course development once they return to the workplace. This is only in extremis and will be managed on a case-by-case basis.

## 5.8 Training Documentation

The documentation which must be held in support of each ETC capacity building deliverable are listed in *paragraph 1.6 SAT Documentation*. These documents are summarised as follows:

### Training Performance Statement (TPS) or Competence Framework

The TPS or competence framework provides a detailed statement of the learning/training objectives, enabling objectives and key learning points required to be undertaken by an individual to achieve the performance required. The TPS or competence framework is to contain reference to the course or role for which it is designed and the version number in addition to the version date.

### Assessment Criteria

Each course is to have documented criteria describing the formative assessment methodology. The document must clearly state the assessment policy for the training course or module, the rationale for that policy and the process for any participant to be 'brought up to speed' should they show signs that their development is not progressing at a pace appropriate to the syllabus. It should also help to ensure any associated assessments are reliable, valid, and administered correctly.

### Implementation Plan / Overview

A finalised implementation plan will usually be the product of a conceptual process which graphically describes how a course or learning pathway will be sequenced. The plan or overview should give rise to a structured breakdown of each deliverable within a course or learning pathway. Course overviews can eventually be shared with participants and this late stage of development and is known as the 'course flow'.

### Instructional / Facilitation Guide

This document provides the detailed and information management direction necessary to deliver a specific live session whether in a classroom or live online. The structure of the guide will provide an overview of the session, the objectives that it aims to achieve and guidance for the expected content to be delivered for the introduction, main body, and consolidation of a live session.

### Delivery resources

These will be dependent upon the nature of the syllabus (technical or non-technical, training or exercise) but will likely contain material in PowerPoint, handouts in Word format, online collaboration tools, group work templates and any other ancillary reading or reference material to be used during delivery which includes scenario-related resources.

### Evaluation documents

Each scheduled course will generate qualitative and quantitative data from the course assessment and evaluation process. Raw data will be analysed to ensure that any trends identified are captured in the course evaluation report. All data files relating to a specific course delivery must be retained in the evaluation folder relevant to the year of delivery. The evaluation process is explained in detail in *Section 6: Evaluation*.

## 5.9 Course Changes

Authorisation of any course changes may involve the delivery authority, the requirements authority and/or other governance fora depending upon the level of the change. Proposals for changes to training courses or modules are to be categorised as either major or minor changes:

- **Major Change:** A major change is a change that affects any part of the extant learning/training objectives held in the TPS or in the assessment methodology in use on the course. In this event, the change(s) are to be approved by the ETC requirements authority in conjunction with the wider ETC partnership when necessary.
- **Minor Change:** A minor change is a change that affects only the facilitator guide or delivery material without any impact on the learning/training objectives. This will be managed by the delivery authority. Any change proposals resulting from reviews or feedback recommendations should be conducted under a controlled change procedure which should allow the recording of the implications of change and whether it is related to delivery content only or, whether there is any potential impact on associated objectives.

## 5.10 Needs Analysis

Although not a routine undertaking, a needs analysis will be necessary for any requirement which undergoes a major revision or, in the case of generating a wholly new requirement. At the highest level, a needs analysis process within capacity building aims to identify the performance requirements and the knowledge, skills and attitude needed for personnel to competently fulfil the role. Starting with a scoping phase, there are multiple steps within a robust needs analysis. This section will only describe an outline of activities which will help to ensure a coherent progression:

- Identify the owner of the changed or emergent requirement.
- Clarify the initial size and complexity of the needs analysis to ensure it is appropriate to meet the need.
- Define the new or revised operational training need where possible.
- Agree the personnel or function to provide management oversight of the needs analysis methodology.
- Identify additional stakeholders and SMEs as required.
- Review the findings from the scoping phase via the scoping report.
- Liaise with the solution provider if not represented by the ETC.
- Communicate progress to relevant hierarchical entities and partners.
- Develop the implementation plan and associated timescales.
- Quality assure all needs analysis activities.
- Coordinate the activities of all contributors to the needs analysis.
- Review and coordinate amendments to outputs.
- Endorse the most cost-effective performance solution recommendation.
- Assist with the design and delivery of the chosen performance solution.



## Section 6: Evaluation

### 6.1 Evaluation

Evaluation and impact assessment both contribute to making a judgement as to the worth or value of capacity building activities. These processes examine the outcomes and impacts of the ETC portfolio and assess what has been achieved. The effectiveness of related capacity building policies should also be assessed to determine how they have contributed to the achievement of strategic goals and objectives.

Evaluation of learning activities is essential for several reasons:

- It helps to identify areas that need improvement.
- It helps determine whether the training achieved its objectives or not.
- It ensures that training activities align with the overall ETC strategy by providing supporting data to take decisions on programme continuation, discontinuation, frequency, etc.
- It helps assess and demonstrate the value of training programs to key stakeholders (donors, management).
- It supports training programme advocacy to donors, management, partners, and potential participants.

### 6.2 Monitoring & Evaluation Framework

Global ETC published a [monitoring and evaluation document for training activities](#) in November 2020. The guidance within the document remains extant and outlines a framework for Global ETC to follow for evaluation of capacity building activities. The framework adopts the [Kirkpatrick evaluation model](#) for learning activities and divides training evaluation into four levels where each subsequent level is a more comprehensive analysis of the impact of a learning activity.

### 6.3 Levels, Process and Frequency

For ETC evaluation, in conjunction with the Kirkpatrick model, each successive level represents a more precise measurement of the effectiveness of the training programme. This also infers a more rigorous and time-consuming data-collection and subsequent analysis.

LEVEL	DESCRIPTION OF PROCESS	FREQUENCY
<b>Level 1 (Reaction)</b>	Evaluation of a learning activity is conducted at the 'reaction' level through feedback surveys.	Post every course.
<b>Level 2 (Learning)</b>	Evaluation is done at the 'learning' level through participant assessment methods and tools.	Before and after every course (pre and post assessment).
<b>Level 3 (Behaviour)</b>	Evaluation is done at the 'behaviour and application' level through observation, interview, surveys etc. with trainees and their immediate environment.	Survey 6 months from course completion (supplemented by interviews).
<b>Level 4 (Results)</b>	Evaluation is done at the 'impact' level where a direct return on investment for training activities is calculated through different evaluation methods.	Resource constrained at time of writing. See note*

Note\* - Capacity building work planning is guided by the impact of activities delivered. A review of KPIs in the form of outputs informs how the calendar of training events is compiled and forecasted during an annual work planning event.

## 6.4 Evaluation Methods

Level 1 and 2 evaluation is the process of determining how effectively and efficiently a capacity building activity has enabled learners to achieve the specified training or learning objectives. A level 1, evaluation helps us gather data to make immediate improvements to the programme, either mid-course or for future deliveries. Building on this data, level 2 aims to assess the increase in knowledge and skills of the learners as a direct result of the activity. Participant assessment undertaken during ETC courses is solely for the purpose of evaluation of ETC learning activities, and to provide guidance and feedback. The following methods may be employed to obtain respective data sets:

LEVEL	METHODS
<b>Level 1</b>	<ul style="list-style-type: none"> <li>• Daily feedback sessions with participants.</li> <li>• Daily facilitators debrief.</li> <li>• Informal/one-on-one discussions between participants and facilitators.</li> <li>• End of training survey to participants (standardised).</li> <li>• End of training facilitators debrief.</li> </ul>
<b>Level 2</b>	<ul style="list-style-type: none"> <li>• Pre/Post objective multiple-choice assessment using a question bank.</li> <li>• Pre/Post self-assessment by participants relating to learning/training objectives.</li> <li>• Live observation of participants' performance.</li> </ul>

Level 3 evaluation attempts to ascertain the impact that training has had upon individual performance in the workplace and in relation to the associated performance statement. This process uses both qualitative and quantitative data to determine the degree to which training prepares individuals for their role. In addition, it should establish whether the trainees that have completed an activity have had the opportunity to apply what they have learnt in the workplace. The process focuses on:

- Changes in learner behaviour attributable to the training and how well the knowledge, skill, and attitude have prepared trainees for their role; also, whether the performance statement (the requirement) remains valid.
- When possible, the contribution of the capacity building activity to the achievement of organisational/operational goals.

The following methods may be employed to obtain level 3 data:

LEVEL	METHODS
<b>Level 3</b>	<ul style="list-style-type: none"> <li>• On the job observation.</li> <li>• Surveys focused on behaviour changes.</li> <li>• Repeat completion of level 2 self-assessment relating to learning/training objectives.</li> <li>• Semi-structured interviews.</li> </ul>

## 6.5 Analysis of data

The evaluation process can generate considerable qualitative and quantitative feedback, some of which may be contradictory. To ensure that any changes made to training are evidence-based and necessary, a robust analysis of feedback data must be implemented. When analyzing data, it is important to be familiar with the concepts of validity, reliability, and triangulation.

- **Validity.** A measuring instrument is valid if it measures what it is intended to measure. For example, in training the most valid measuring instrument for a practical skill is a practical test. A written test may test whether the trainee knows what to do in a practical task but not whether they can actually do it.

- **Reliability.** A measuring instrument is reliable if it gives consistent results. For example, a test or questionnaire, when administered to two very similar groups, would not be reliable unless it gave similar results. If it is a reliable measuring instrument it should also give similar results when it is administered twice to the same group at different times.
- **Triangulation.** The term triangulation describes the use of two or more data gathering techniques to investigate the same phenomenon. Confidence in the findings is enhanced when the techniques yield similar results. For example, if the outcomes of a questionnaire-based survey correspond to the findings of an observational study of the same phenomena, the more confidence exists in the findings.

## 6.6 Presentation of data

Level 1 and level 2 data is exported from SCORM compliant questionnaires and Microsoft Forms surveys respectively. Resultant data is released in Excel after which it is converted to a standardised format using an Excel evaluation data spreadsheet. This spreadsheet collates and organises the data to automatically produce spark lines, bar charts, and graphs for incorporation in associated evaluation reports. Once course data is in the standardised spreadsheet, it is held in the evaluation folder as a quality record for the year of course delivery.

## 6.7 Evaluation Reports

The key utility and purpose of evaluation reports is to make necessary recommendations for course improvement prior to the next delivery as part of the continuous improvement process. Evaluation reports are produced for every scheduled course and are primarily internal documents. Reports can also be distributed to donors as a key stakeholder in a specific course delivery, facilitators and other supporting personnel. All participant data relating to evaluation and assessment is anonymised in every report.

The ETC follows a standard template for evaluation reports and includes the following sections and annexes:

- Executive Summary
- Recommendations
- Aims and Objectives
- Methodology
- Participant Profiles and Selection
- Assessment and Evaluation
- Annexes:
  - Course Structure
  - Timetable (for in-person phase)
  - List of Participants
  - List of Facilitators
  - List of Applicants and Participants by Organisation
  - Quantitative and Qualitative Evaluation Data from Participants
  - Results of Participant Assessment (anonymised)

When constructing an evaluation report, every effort should be made to ensure the feedback mechanisms which contribute the data are both reliable and valid. However, it should be noted that a range of external factors may influence the content of learner feedback. These considerations should be taken into account when including the analysis in evaluation reports. For example, feedback and reactions to training can be influenced by:

- Relationship with their trainer(s).
- Attitude towards attendance on the training.
- Influence of peers.
- How hard or easy learners found the training.
- The perceived relevance of the training.
- The quality of the delivery of the training.

In summary, the evaluation report should be used as a management document to identify where, or if, changes to syllabi should take place. Reports may also form useful evidence for any major changes to courses and modules and should be discussed with the requirements authority in the first instance.

## Section 7: Occupational Health and Safety

### 7.1 Welfare in Training

ETC staff are responsible for participants' occupational welfare during in-person activities and, albeit to a lesser extent, live online training. Facilitation staff are to:

- Create safe, sensible, and progressive learning opportunities.
- Use relevant training methods and media.
- Stretch trainees intellectually to allow them to grow.
- Use appropriate humour.
- Ensure good practice in equality and diversity.
- Create an environment of mutual support and respect, where all contributions are valued.
- Be accountable for the capacity building activity.
- Provide relaxation in training.

### 7.2 Delivery Ethos

In all deliverables, ETC capacity building efforts promote dialogue, engagement, and participation by respective audiences. Whenever possible, key learning points should be drawn from the audience using facilitative techniques rather than using default presentation tools which do not promote interaction. This ethos extends to ETC eLearning courseware where interactions are prioritised during the design and authoring stages of e-module development. Where didactic delivery methods are unavoidable in, for example, webinar-based format, regular periods of engagement should be planned for questions, polling, quizzes etc.

### 7.3 Safety

Before any training commences, a set of safety instructions are to be shared via a safety briefing which must be given based on instructions relative to the deliverable. Repetitive training may be covered by these instructions if these are briefed at regular intervals. Safety instructions should include any actions to be taken in the event of an emergency.

In particular, the efficacy of technical training and scenario-based exercises rely on exposure to conditions that will be present in humanitarian emergency response operations. This will often incorporate some level of risk. The duty of the lead ETC facilitator is to manage risks to deliver activities as safely as possible. Should an ETC facilitator see that the training benefit is outweighed by real risks, there is a duty to step in. This may include ceasing the activity until such time that the risk is dealt with appropriately.

### 7.4 Risk Assessments

Prior to conducting an activity, a risk assessment is to be completed by a competent (qualified, experienced and current) individual for the situation and location. For specific activities, the lead ETC facilitator must always conduct their own assessment prior to the start of a training serial and, if applicable, record any deviations from the delivery plan. All facilitation staff should continue to review the initial assessment during an activity and adapt to changing conditions (weather, tiredness etc) as required. If appropriate, trainees should be briefed on any changes in the delivery plan resulting from a dynamic risk assessment.

### 7.5 Instructor to Participant ratios

For specific ETC capacity building activities, there will be a recommended ratio of instructors to participants. This will vary according to the nature of the course element. Classroom-based group work will usually be a maximum of six participants to one facilitator whereas centrally delivered presentations or webinars are unrestricted. ETC facilitators are to liaise with Global ETC capacity building staff in advance of delivery to become fully aware of the ratio guidelines and associated delivery plan.

## 7.6 GDPR

Owing to the nature of course application, selection, screening, and attendance, there is a requirement to hold personal contact details for those personnel that have applied to attend ETC courses. Following attendance on an ETC capacity building deliverable, personal contact details are held in a 'trained directory' which is currently located in Salesforce as described in *paragraph 4.1's Trained Directory*. Access to this facility is restricted to the capacity building business support function and all applicants and participants are to be advised in advance as to the record that will be maintained following their attendance. Records include application data, assessment data and any imagery gathered during the course.

Should a former participant wish to see their profile and request that any data is removed, it will be actioned on receipt of written confirmation. No automation is used in the processing and storage of personal data nor does any automated profiling activity take place with data held within the directory.

## Section 8: Continuous Improvement

### 8.1 Continuous Improvement Goals

The continuous improvement process is one of ongoing incremental improvements as ETC capacity building conducts 'business as usual' activities, while constantly seeking out new opportunities to add value to the ETC portfolio of products, services, and processes. Continuous quality improvement can accomplish major change over time. The ETC strives to learn organisationally, work in an efficient manner, identify opportunities, and make changes accordingly. Efforts should be made to identify areas where value is added, where value is lacking, and how to limit areas where effort exceeds the value return.

### 8.2 Management of Continuous Improvement

Global ETC capacity building is committed to ensuring that overall quality management continuously improves. This is not a function that takes place at a specific point but should (as the name suggests) be continuous. Continuous improvement should not only be applied to a specific activity to improve the deliverable (both in terms of cost efficiency and quality of delivery) but also to the management of capacity building in the ETC.

Continuous improvement can result from self-assessment reports, recommendations contained within reviews, and evaluations, the results of which should be studied to identify and then implement improvements. It may be that the appropriate governance body authorises any continuous improvement recommendations. It may also be acceptable for capacity building staff to implement improvements that are obviously beneficial. The implementation of any improvement should consider:

- Making capacity building efforts more resource efficient (resource savings).
- Making capacity building efforts more cost efficient (financial savings).
- Making capacity building activities easier for the ETC to deliver.
- Making the activities easier for the trainee to assimilate.
- Reducing bureaucracy without reducing the output of the quality standard.
- Increasing the quality and standard of activities without increasing costs or resources.
- Increasing the desire to learn, through imaginative and innovative approaches.

### 8.3 Engagement with stakeholders

Key stakeholders in specific scheduled courses may include donors, host organisations and/or partners providing facilitation support. Stakeholders will have individual perceptions following a scheduled course delivery and they may seek a bilateral continuous improvement forum with ETC capacity building staff involved with delivery. Whilst such forums are useful to explore possible continuous improvement suggestions from a third-party perspective, they must be informed by the evidence provided from learners in attendance. It is therefore recommended that any such forum takes place following the final draft of the associated evaluation report to ensure that any actions are also evidence-based from the learners' point of view.

### 8.4 Partner Collaboration

Continuous improvement is not limited to the efforts of Global ETC staff to fulfil existing and future requirements. Whilst the recurring assurance processes described in this manual should provide confidence of SAT processes and products, continuous improvement also entails the exploitation of outputs across the ETC partnership to make improvements and seek efficiencies to meet operational requirements. This can include, but not be limited to:

- Cross accreditation of existing courseware.
- Support with needs analysis.
- Design and development.
- Leveraging partner capacity building activities.
- Sharing of virtual and classroom-based delivery resources.

## **8.5 Capacity Building Network**

The ETC partnership presents opportunities to collaborate within a network of partners that share the vision described within the ETC2025 strategy. However, capacity building is a ubiquitous concept and outside of this immediate network, forums exist to investigate innovative approaches to learning. One such forum is the Humanitarian Network Partnership annual meeting where attendees can participate in thematic forums and share knowledge. Capacity building personnel in attendance at such forums should seek to assess the utility of new concepts for relevance with existing and future ETC capacity building requirements.

## **Annexes**

Annex A: ETC Capacity Building Working Group Terms of Reference

Annex B: Capacity Building Folder Network (Management)

Annex C: Capacity Building Non-Compliance Policy

## Annex A: ETC Capacity Building Working Group Terms of Reference

### **TERMS OF REFERENCE (TOR)**

The Global ETC Capacity Building Working Group will be:

1. Exploring opportunities for collaboration to support each other on content development and delivery expertise
2. Exchanging knowledge, information, and ideas on best practices and innovations in delivery methodologies
3. Develop a proposal for building ETC 'training standards' or equivalent across Global ETC and partner products

### **EXPECTED OUTCOMES**

- Mapped Content across partner products is categorized based on learning outcomes with support from training focal points
- Sharing and exchange of content and delivery experts across Global ETC and relevant partner capacity building activities
- Support and input to the ETC competencies and learning pathways
- Partner products included in the identified learning pathways for different ETC responder profiles

### **MEMBERSHIP COMPOSITION AND REPORTING**

The membership of the Capacity Building Working Group shall comprise the following:

- Global ETC unit representative/s, to coordinate the activities of the Working Group.
- Group members, consisting of a minimum of five to eight (5-8) representatives from different ETC partners, ideally representing UN Agencies, NGOs, Government, and Private sector.

The Working Group will report and provide regular progress status of its work in accordance with the TORs to the Global ETC partners.

The Global ETC team:

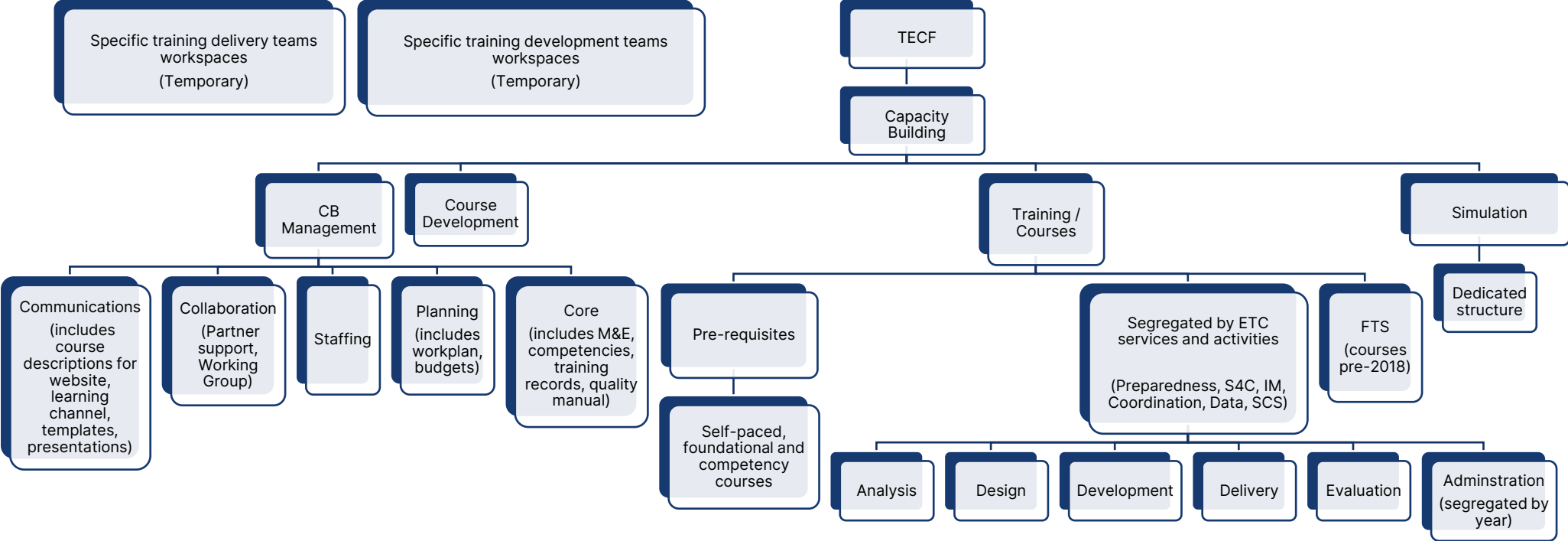
- Chairs all the Working group meetings
- Facilitates the execution of the TOR and expected outcomes.
- Coordinates meetings and related logistical aspects, including minute taking and distribution, preparation and dissemination of relevant documents, video conferencing, etc., and
- Provides administrative and/or technical support for the Training Working Group to discharge its duties.

The Working Group members:

- Attend quarterly working group meetings,
- Contribute and provide necessary inputs via meetings, calls, emails,
- Actively engage in execution/implementation of agreed action points as per distribution of responsibilities



# Annex B: Capacity Building Folder Network (Management)



## Annex C: Capacity Building Non-Compliance Policy

### Introduction

This policy describes the actions which may be taken by the ETC when participants do not achieve the required course progress due to non-completion of modules within a specific syllabus; this is known as course compliance. The ETC capacity building portfolio consists of eLearning, virtually delivered material, in-person classroom resources, and immersive simulation. Successful achievement of any ETC deliverable requires 100% completion levels, to attain the competence offered through attainment of associated training and/or learning objectives.

### Background

Following the development of blended courseware, the ETC Capacity Building team have managed course non-compliance on a case-by-case basis. Overall compliance rates for ETC courses are traditionally high with circa 80% to 90% of participants progressing at the rate expected. Module completion deadlines and dates for live delivery attendance are shared with participants in advance of all ETC courses to ensure they can manage their time effectively. This also aims to provide advance notice of the active learning time within each week of course delivery.

### Impact of non-compliance

ETC courses are designed to achieve a learning progression which adheres to established learning models such as Bloom's Taxonomy. This progression aims to provide underpinning theory in the early stages of the course before participants are afforded opportunities to apply their knowledge using group work, practical sessions and/or scenarios. Participants that do not follow the expected learning progression do not complete modules in the optimum order to achieve most benefit from sequencing of modules within respective syllabi.

### Examples of non-compliance

eLearning	Live online	Classroom
Non-completion of course prerequisite e-modules.	Lack of attendance due to unavailability.	Lack of in-person attendance during any stage.
Non-completion of e-modules by specified deadline within syllabus.	Late attendance resulting in partial exposure to learning objectives.	
Non-completion of e-modules ahead of associated live consolidation.	Early departure resulting in partial exposure to learning objectives.	

### Thresholds

The ETC has adopted a three-tiered warnings system to discourage repeated non-compliance. This policy is in recognition that when balancing course attendance with work commitments for remote phases, there may be unavoidable instances when e-modules cannot be completed by the stipulated deadline, or a work commitment precludes attendance at a live online session. The following table describes the warnings system.

1 <sup>st</sup> Warning	2 <sup>nd</sup> Warning	3 <sup>rd</sup> Warning
Participant does not complete prerequisite e-modules.	Participant does not complete an e-module by the specified deadline (repeat).	Participant does not complete an e-module by the specified deadline (repeat).
Participant does not complete a course e-module by the specified deadline.	Participant does not complete an already late e-module by the agreed date with course management.	Participant does not complete an already late e-module by the agreed date with course management (repeat).
Participant does not attend a full live online session.	Participant does not attend a full live online session for the second time.	Participant does not attend a full live online session for the third time.

The above system is cumulative and escalating warnings will be issued for repeated non-compliance irrespective of the previous situation. For example, any participant that does not complete an e-module by the stated deadline will receive a warning, this will be escalated to a second warning if a live online session is not attended.

## Line Management

For first warnings, a bilateral communication will take place between course management and the participant. In the case of a second warning, Line Managers of participants will be advised. This communication will describe any previous example of non-compliance on the course and the reduction in certificate level should a third warning be received in accordance with the conditions described in the table above.

## Course Certificates

Successful course completion certificates will be issued to participants that complete the entirety of a course syllabus having undertaken all modules within the expected deadlines. For those participants that complete all modules but receive a second warning, they will also be awarded course completion. For any participant that receives a third warning, a certificate of participation will be awarded (as per the table below) as long as a minimum of 75% of the syllabus is completed by course end.

Completion Certificate	Participation Certificate	No Award of Certificate
All modules completed in specified timeframe and all live online sessions attended.	Receipt of a third warning for any combination of non-compliance.	Lack of in-person attendance during any stage of classroom sessions.
Maximum of a second warning received for any course element.		Less than 75% attendance across the entirety of the course syllabus.

## Exceptions

Participants that demonstrate a lack of compliance with individual course module completion (including classroom attendance) may have justifiable cause. Extenuating circumstances will be considered by course management only if the cause of potential non-compliance is brought to the attention of course management in advance of deadlines or scheduled dates for live delivery (which includes classroom-based deliverables). These cases will be raised with Global ETC management as the overall requirement authority.