

Education Resilience Approaches (ERA) Program

A complement to the Systems Approach for Better Education Results (SABER)

77687

RES-Research Manual

RESILIENCE IN EDUCATION SYSTEMS: RESEARCH METHODS



RES-Research Manual

RESILIENCE IN EDUCATION SYSTEMS: RESEARCH METHODS



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About this Manual

This manual presents the objectives and procedures for application of a research framework using a mixed-methods approach from the Education Resilience Approaches (ERA) Program to collect evidence on the opportunities, support and process that help children and youth succeed in school in spite of overwhelmingly difficult contexts. We call this guide RES-Research or Resilience in Education Settings Research. The RES-Research manual provides guidance across the research process—positioning and conceptualizing, designing, data collection and analysis—for resilience-focused studies. It emphasizes a mixed-methods approach to sampling, data collection and analysis to tap into the benefits of integrating diverse research approaches. The RES-Research guide supports studies to inform discussion across education actors—such as policy makers¹, ministry officials, other service providers, and education institutions—on how schools, higher education institutions and education systems can contribute to understand adversity, recognize the assets and opportunities for personal, group and social transformations, and inform policy makers, program designers, and service providers on context- and situation-relevant approaches to foster resilience as well as mitigate the sources of adversity.

The main audience for the RES-Research manual is local researchers and higher education institutions in fragile, conflict and/or violence affected situations. The goal of the RES-Research approach is to guide researchers in building the education resilience evidence in their own countries (RES-Research). However, it is hoped that the manual can be useful in many settings and for other work analytical work, including that conducted by other humanitarian and development agencies, NGOs, foundations, etc.

In addition to the RES-Research, ERA is developing tools to conduct rapid assessments of risks, assets and education system supports to foster resilience in education communities (RES-360°) and to assess opportunities to foster resilience in students at the school level through management, instruction and community relations (RES-School). As the application of these diagnostic and research tools expands, ERA hopes to systematically collect and disseminate the growing global evidence regarding the resilience of education systems in difficult contexts and their contributions to mitigating the sources of such adversity.

1 Although the present version of the RES-Research manual does not expand on the technical specifications of how to prepare and disseminate study findings aimed at policy makers and practitioners, this is intended for the future and will be developed in planned upgraded RES-Research versions.

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About the Series

Building strong education systems that promote learning, life skills and social cohesion is essential in any country. However, contexts of adversity (including natural disasters, political crisis, health epidemics, pervasive violence and armed conflict) can negatively impact the ability of education systems to deliver such services. At the same time, paradoxically, education can help mitigate the risks of such adversity, and enhance the capabilities of children and youth to succeed in spite of the adversities they face. It is precisely this which is captured by the concept of “resilience”: the ability of human beings (and their communities and the institutions that serve them) to recover, succeed, and undergo positive transformations in the face of adversity.

Forty years of research on human resilience has shown that children, adolescents, youth and adults can recover from crises and perform in spite of adverse situations and contexts. In the field of education, evidence on resilience and school effectiveness has identified several factors that correlate with learning and school success even when learners are exposed to risks. Emerging empirical evidence points to the opportunities for change that contexts of adversity can facilitate: improving education systems, (re)-building back better, and finding a space to introduce reforms that can improve the relevance of an education system as per the needs of some of the most vulnerable learners.

In 2011, the World Bank Group launched its Education Sector Strategy 2020: Learning for All. The strategy defines the Bank’s collaborative agenda with developing countries for the next decade, notably through supporting learning and strengthening education systems. To support the implementation of the strategy, The World Bank commenced a multi-year program to support countries in systematically examining and strengthening the performance of their education systems. This evidence-based initiative, called SABER (Systems Approach for Better Education Results), is building a tool kit of diagnostics for examining education systems and their component policy domains against global standards and best practices around the world. By leveraging this global knowledge, SABER fills a gap in the availability of data and evidence on what matters most to improve the quality of education and achievement of better results. The SABER tools are being developed across education levels (Early Childhood Development, Workforce Development, Tertiary Education) and with a focus on important quality resources and system support (Teachers, Learning Standards, Student Assessment, Education Technology/ICT and School Health and Nutrition) and governance and finance elements (School Autonomy and Accountability, School Finance, Information Systems/EMIS and Engaging the Private Sector). Also, other quality education system support issues in schools and broader societal contexts are addressed by SABER, mainly Equity and Inclusion and Resilience in the face of fragility, conflict and violence.

For education systems and settings in contexts of extreme adversity, The World Bank has developed a complementary set of tools to SABER, the Education Resilience Approaches (ERA) program. ERA complements SABER’s evidence-based diagnostics through strategies and instruments to identify the risks faced by students, teachers, and educational institutions operating in difficult circumstances. Moreover, ERA also helps education systems identify the assets and positive engagement among the education communities (students, parents, teachers and school

administrators) that if supported systematically can harness a more effective response towards the safety, socioemotional well-being and learning of children, adolescents and youth. ERA opens an opportunity to conceive and develop appropriate ways in which education systems can encourage and support their positive performance and transformation beyond the adversity they face.

Through a set of tools that attempt to capture the complexity in fragile, conflict, and/or violence affected situations, the ERA Program seeks, as SABER, to provide a systematic process to collect evidence that can support local efforts to improve academic and non-academic services in contexts of adversity. In this way, the ERA model is founded on the premise that individuals, organizations and societies possess inherent assets and engagement capacities that—if recognized and fostered—can not only support the recovery of education systems after crisis, but can also contribute to positive student performance and learning outcomes.

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Introduction

RES-Research is an education resilience research training module for higher education institutions, local researchers and agencies conducting research in fragile, conflict and violence-affected contexts. It has been developed within the broader framework of the Education Resilience Approaches (ERA) Program, a policy domain under the Systems Approach for Better Education Results (SABER-ERA).

Violence, conflict and other contexts of adversity present a significant challenge to the pursuit of the Millennium Development Goals (MDGs). Moreover, as highlighted in the World Development Report 2011, countries affected by violence and conflict often face severe development challenges and many are characterized by weak institutional capacity and political instability. The impacts of pervasive violence and conflict are especially felt by the poor and traditionally excluded communities not least because such contexts often exacerbate existing inequity in social service delivery, including education services (World Development Report, World Bank 2011). However, research and practice in situations of adversity have also highlighted how education can protect vulnerable children and youth providing them with an appropriate environment within which to nurture their psychosocial well-being and better protect them.²

Responding to the “Learning for All” objective of the World Bank’s Education Strategy 2020, the ERA program builds upon and complements the body of work on protection and emotional well-being in difficult contexts by focusing on the education system level features that can also support the pursuit of positive learning outcomes in adversity. Also, ERA addresses the New Deal for Engagement in Fragile States and its focus on resilience within country-led fragility assessments agreed in Busan (Korea). Learning and competence in contexts of adversity have been identified as resilience factors in individuals, along with other non-cognitive skills such as purpose, empathy, perseverance, etc.³

For more than 40 years, resilience studies have tried to understand the capacity of human beings (and their communities and organizations) to recover from crises, to continue to perform in spite of adversities and to transform positively in the midst of difficulties.⁴ We now know that resilience is neither a special, super-human gift nor a trait in only a few individuals. Resilience occurs ordinarily in the interactions between people, as adversity triggers the need to understand our problems, to express our emotions and to develop competence and skills to overcome them—including academic and productive skills. Certainly, many studies identify schools and teachers as important contributors to resilience in children, adolescents and youth. What is more, in education systems resilience can be promoted through the provision of relevant and quality services that foster the interactions among students, teachers and parents to address both learning and well-being.

2 See for example, Nicolai and Triplehorn (2003); INEE, *Minimum Standards for Education* (2010).

3 See for example, Gamerzy, Masten and Tellegen (1984); Werner and Smith (1992); Gizir and Aydin (2009) on education resilience in spite of adverse economic situations; Masten et al. (2008) on education resilience in spite of homelessness and transitory situations; Boyden (2003) education resilience in conflict-affected settings and; Borma and Overman (2004) on education resilience in spite of social exclusion.

4 See for example, Garmezy (1985); Rutter (1987); Masten and Coatsworth (1998); Luthar (1991); Luthar et. al. (2000); Masten (2001); Benard (2004); Ungar and Liebenberg (2005); Ungar (2011;2012).

While the roots and forms of adversities—especially of violence and conflict—differ greatly from one country to the next, by applying resilience theory, the ERA Program has been able to develop an overarching framework through which to focus on learning outcomes and questions of relevance and quality even in times of pervasive adversity across varied contexts. As an approach, ERA does not provide rigid methods or formulas, rather it offers a lens to understand learning in spite of adversity. It does so through offering flexible diagnostic and research tools firstly to gather evidence of this process within a particular context and then to furnish general lessons learned. In so doing, ERA does not advocate for a specific intervention or stand-alone program. Instead, it employs a resilience lens to understand learning in contexts of adversity and identify the risks as well as assets present in education communities, with the aim of aligning those assets with existing education services and supports.

Thus unlike the other SABER domains, ERA does not benchmark nor provide regional and international comparisons. Instead, ERA complements them by offering lessons discerned from a process of collecting and analyzing data at a local level on the relevance of education services in difficult country contexts.

The ERA conceptual framework

The ERA Program forms part of the wider Systems Approach for Better Education Results (or SABER), and shares its system-wide focus and ultimate outcome of interest—learning and school success. However, the ERA conceptual framework methodologically differs from other domains in three important ways (see also ERA framework figure, below):

- i. ERA uses an inductive approach to define the specifics of the general policy goals provided, building from the collection of locally relevant and contextualized data to contexts of fragility, conflict and violence;
- ii. The four resilience components and their corresponding levers provide the guiding questions to collect locally relevant data at multiple levels of analysis (student, the school, the community and the institutional environment), and;
- iii. Given the complexity of issues and multiple levels of analysis in the study of resilience, ERA serves as guide to prepare various case reports in a country, which can be aggregated as one general Country Report, in line with those prepared by other SABER domains.

This manual has been designed to be reflective of the complex interactions that are required from a systems approach intended to foster resilience, and in order to manage the more operational challenges of assessments in contexts of acute or chronic crises. The research approach highlighted is based on mixed-methods. The particular mixed-methods approach presented by ERA rests on the importance of qualitative and quantitative approaches that complement each other in an integrated manner. Studies can be grounded in initial qualitative data collection to better capture the complexity and dynamism of risks, assets and resilience responses, followed by an integrated quantitative phase. Similarly, initial quantitative studies can be complemented by qualitative data collection and assessment to probe deeper into the relations found among the pre-selected variables. This dual approach is presented in the two tables below.

Table 1: From Qualitative to Quantitative Methods Integration

Qualitative	Quantitative
<ul style="list-style-type: none"> To gather information on the context and to ensure contextualized information 	<ul style="list-style-type: none"> In order to collect quantifiable information on the main issues (risks, assets) identified in the qualitative process
<ul style="list-style-type: none"> To understand the dynamic aspects of resilience in a particular context (such as school – community interactions) 	<ul style="list-style-type: none"> To generalize identified variables of the dynamic aspects in other in-country contexts (other schools, communities, regions).
<ul style="list-style-type: none"> To identify the causal factors as per the perspective of the affected population (what do they consider to be the main reasons for the adversity, for their assets, for relevant services?) 	<ul style="list-style-type: none"> To statistically test whether the identified causal factors are significant (through correlations and other analysis) when statistically relevant samples sizes are possible

Table 1: From Quantitative to Qualitative Methods Integration

Quantitative	Qualitative
<ul style="list-style-type: none"> To collect quantifiable information on pre-identified variables (risks, assets, socioeconomic indicators) 	<ul style="list-style-type: none"> To gather information on the context of the population under study
<ul style="list-style-type: none"> To generalize and compare pre-defined variables at different units of analysis (individual, family, school, community) 	<ul style="list-style-type: none"> To understand the dynamic aspects of resilience in each particular context studied (such as school–community, individual-family, student-teacher interactions)
<ul style="list-style-type: none"> To statistically test correlations or causality between pre-identified variables when statistically relevant sample sizes or randomized research designs are possible. 	<ul style="list-style-type: none"> To identify the proposed causal factors as per the perspective of the affected population (what do they consider to be the main reasons for the adversity, for their assets, for relevant services?)

This approach—which is as once flexible, rigorous and locally relevant—allows for the generation of multiple case studies in contexts of adversity. This can then help to fill empirical evidence gaps at the global level on how adversities affect learning outcomes (and other indicators of school success) and can identify tangible ways forward for the students, teachers, communities and societies affected by it.

Finally, ERA has designed two assessment tools which can support research designs related to education resilience, called RES-360° and RES-School. However, these are but two tools in a large pool of other available assessment instruments to measure risk, resilience, schools core functions (such as climate) and other psycho-social elements. RES-Research does not pre-select or recommend a specific assessment tool to use, rather it guides a process by which research

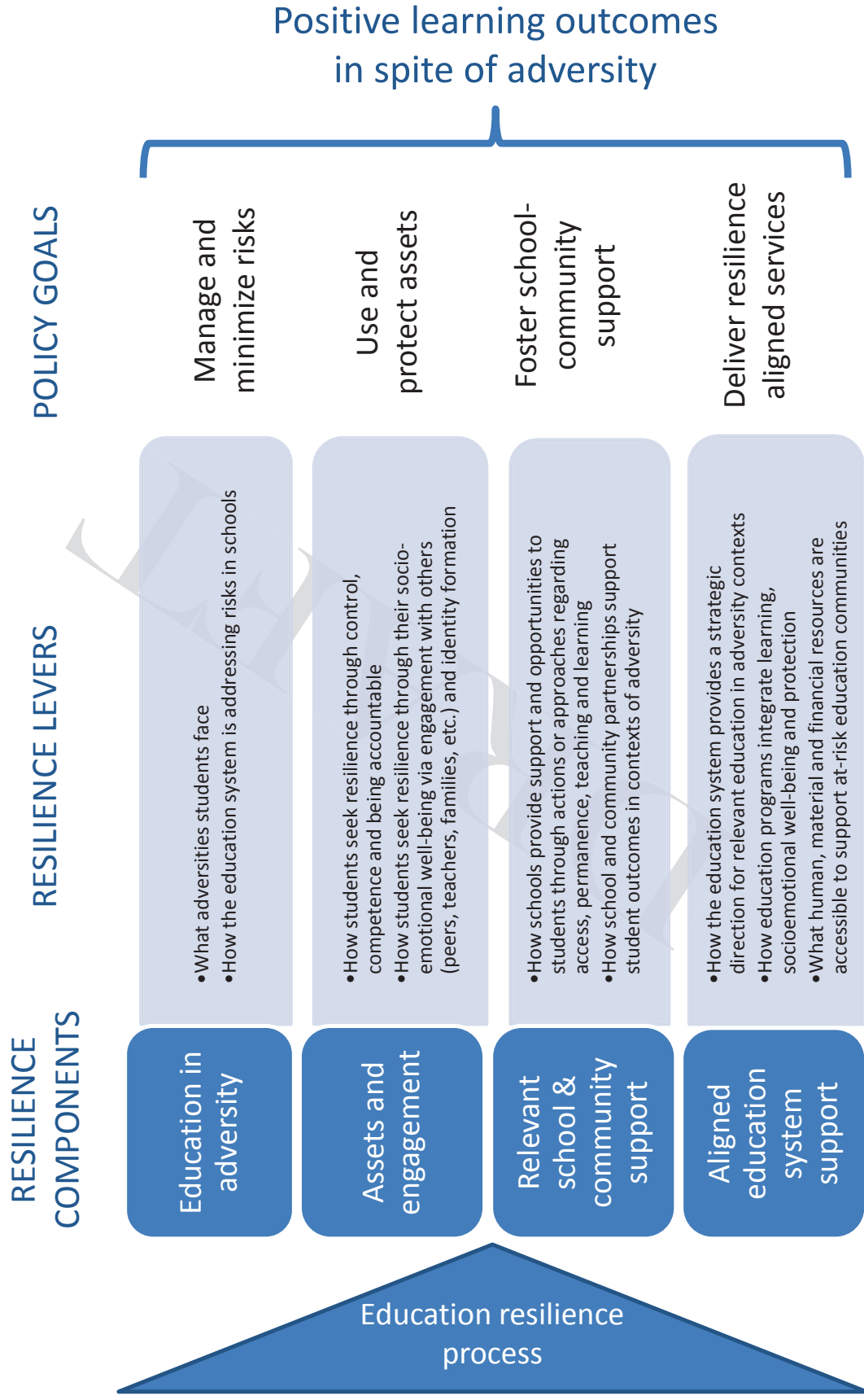
design teams can select, combine and adapt the more relevant instruments to help in answering their research questions. A sample of list of instruments to measure risks, resilience and other school processes relevant for contexts of adversity, are included in the list of Relevant Literature at the back of this manual. The RES-Research Manual itself is a step-by-step guide intended for researchers (or researchers in training) at higher education institutions or other agencies conducting research in contexts of adversity who are new to mixed-methods approaches or resilience-based studies.

The ERA framework, which has guided the development of this tool, recognizes that in spite of the challenges they face on many fronts education systems can play a vital role in supporting the resilience process of vulnerable children and youth through ensuring their protection and providing them with an appropriate environment to nurture their socioemotional well-being and cognitive capacities. The program framework, figure 1 below, shows the four main analytical levels involved in an education resilience process.

The RES-Research focuses on components 1 to 4.

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Figure 1: The Education Resilience Approaches (ERA) Framework



The three primary tools offered by the ERA program (of which RES-Research is one) facilitate the connection of data for all four analytical levels. These tools are:

- (i) **Resilience in Education Systems (RES-360°):** A process for a rapid 360° diagnosis of the risks, education community assets and potentially relevant education programs in a country;
- (ii) **Resilience in Schools (RES-School):** An assessment of how resilience can be fostered through the core school functions (access and permanence, teaching and learning, school management, school climate and community relations); and
- (iii) **Resilience in Education Settings Research (RES-Research):** An education resilience research training module for higher education institutions, local researchers and agencies working in fragile, conflict and violence-affected contexts.

Within the wider framework, the RES-Research module is specifically designed to support researchers, program designers and evaluators in fragile, conflict and violence-affected situations (FCS) to harness the benefits of collecting education resilience evidence in their own countries through mixed-methods approaches. It can also guide the design of resilience research training in higher education institutions and other research centers in contexts of adversity.

Taken together, the design of training modules and this manual comprise a comprehensive approach to build on existing analytical capacities to sustain the research, evidence building, advocacy, policy feedback and program design in countries affected by acute or chronic adversities. RES-Research not only systematically runs through the standard step-by-step research design process but also places it within a broader mixed-methods framework methodology that encompasses the strategic formulation of resilience-focused research questions, selection of appropriate data collection tools, and purposeful sampling, among others. These steps provide practical and theoretical information on how to develop rigorous mixed-methods research on resilience in educational settings and associated best practices for better ensuring relevant and meaningful research into the research question.

The RES-Research foundational pillars

The RES-Research training module was developed with three foundational pillars in mind. These pillars, elaborated below, consist of critical fundamental principles and practices that are especially relevant and deemed essential for rigorous, high quality research into resilience processes in contexts of adversity. They could also be applicable to other research settings, but these in particular formed the basis around which RES-Research was built.

1. Local, context-based research conducted with local actors

The inherent value of mobilizing indigenous capacities and skills is well recognized in international development work. The importance of working with local actors is however especially relevant to resilience research. This is because a critical focus of resilience research is on local assets, opportunities and actors that can support the fostering of resilience.

Resilience is a social construct that needs to be culturally embedded and take into consideration the particular cultural, community, political and economic factors that influence the learning environment of children, youth and adults living in adversity. Working with local institutions to develop a research agenda allows for a greater level of local relevance as the context of the research will be better understood and captured. In addition, the in-country presence of local researchers supports the eventual uptake and application of such approaches in a way that external consultancies cannot always guarantee. In this way, the sustainability of research findings (dissemination of research results and informing in-country policy debates) may be better ensured.

Moreover, working with local researchers exemplifies a capacity building or building on local capacities approach. Local researchers have a key role to play in supporting national stability, contributing to policy debates and generating local evidence and knowledge to feed back into the political, social and cultural systems within the country. Thus working with local researchers helps establish stronger foundations for national level policy dialogue, relevant program design, and program implementation. In the area of international development, building on local analytical capacities can help close the gaps between research, policy and practice. This approach recognizes that building the social, institutional, political and economic fabric of FCS requires the intellect, effort, and motivation of all people living there: including the intellectual elites.

In opting to work with local researchers, however, one should have an awareness of their broader role in the humanitarian context of FCS. When considering the best ways to work with local researchers, higher education institutions are an obvious point of departure. Working with higher education institutions to conduct resilience research supports the sub-sector and mobilizes an often overlooked component of their mandate—to promote academia’s community engagement and responsibility to the economic and social needs of the country. Some support to higher education institutions has begun in FCS; however, while it is often focused on university contribution to the labor markets through imparting relevant knowledge and skills, it is important not to ignore the other roles related to social cohesion, to advocacy and a critical stance and to knowledge generation and innovation. Thus while working with local researchers may raise some immediate resource considerations (time, personnel and financial), these need to be weighed up against the longer-term sustainable and more transformative benefits that working with local researchers and the tertiary education sector results in.

2. Mixed-methods approaches

A key premise of resilience research is the need to understand resilience as a broader process that reflects not only on individuals but their wider social dynamic, their interactions with context and the implications for state and social services. To effectively capture this complexity ERA relies on the collection of mixed-methods data.

Mixed-methods approaches have been described as the third research paradigm that incorporate and synthesize both qualitative and quantitative research approaches to address a particular research line of inquiry. A well designed and well implemented mixed-methods approach offers the advantages of combining the strengths of qualitative and quantitative data approaches while offsetting their associated weaknesses, thereby providing more comprehensive and

contextualized evidence. Notably, qualitative elements can help researchers to understand the context and setting within which the research takes place; probe into the complexity of factors, processes and inter-relations; and give voice to the participants. Quantitative components can allow for larger generalizable samples and identifying, isolating and correlating factors and determinants related to a particular phenomenon.⁵

While quantitative indicators point to the scale and scope of a particular risk, qualitative data—such as the feedback gained through the students’ participation in workshops and interviews—allows for a more comprehensive understanding of what hinders and helps them related to these issues. Crucially for contexts of violence and conflict, qualitative data also allows policy makers and technical advisors to account for the adversity faced by the population rather than treat it as an exogenous factor. Johnson et al. (2007) provide the following comprehensive definition of mixed-methods research;

...it is the third methodological or research paradigm (along with qualitative and quantitative research). It recognizes the importance of traditional quantitative and qualitative research but also offers a powerful third paradigm choice that often will provide the most informative, complete, balanced, and useful research results. Mixed methods research is the research paradigm that (a) partners with the philosophy of pragmatism in one of its forms (left, right, middle); (b) follows the logic of mixed methods research (including the logic of the fundamental principle and any other useful logics imported from qualitative or quantitative research that are helpful for producing defensible and usable research findings); (c) relies on qualitative and quantitative viewpoints, data collection, analysis, and inference techniques combined according to the logic of mixed methods research to address one’s research question(s); and (d) is cognizant, appreciative, and inclusive of local and broader sociopolitical realities, resources, and needs...

In light of the particular challenges in FCS and the varied and often hidden ways in which violence and conflict affect individuals and communities, mixed-methods is especially appropriate as it allows for multiple sources of evidence to be brought together to inform an understanding of the context and provide purposeful policy options to address them.

3. Resilience-based human, social and world view

The world view that RES-Research proposes is that individuals, groups and communities can recover, perform and even transform positively in the face of adversity. These agency, empowerment and transformative premises do not preclude or negate the challenges faced by individuals and communities, nor the responsibility of society and its public institutions to promote the welfare of its populations, especially the most disadvantaged. Yet, resilience theory does view the world as based on inherent human strengths and inter-actions; and promotes the belief that through these interactions, supports and negotiated meanings, communities, societies and systems can change and transform themselves and their world. Adopting a resilience approach provides a means for systems—such as the education system—to understand both the risks and assets in communities in order to align their institutional policies, programs and available resources to better address the needs of at-risk populations. Thus, a resilience-based view of the

⁵ See for example, Cresswell (2005); Creswell and Clark (2006).

world includes hope and optimism in a social world that can transform.⁶

Development of the RES-Research Manual

The RES-Research manual has passed through a prototype application at the University of Juba, in South Sudan, and two main pilot phases conducted in the Middle East and then the Central America and Colombia region. All of the ERA tools have been developed in partnership with the Resilience Research Centre (RRC, see www.resilienceresearch.org). The work of World Bank staff and consultants, and RRC experts in resilience theory and mixed-methods approaches to researching resilience, have been greatly complemented by the pilot phase user feedback from local researchers and experts.

In partnership with the University of Juba's College of Education and the Center for Peace and Development Studies, a first research training workshop on education resilience was conducted in December 2011. The RES-Research manual had not been designed at this stage, but the general ERA framework was available and guided the design and application of this first research training prototype on education resilience. Priority to participate in the training was given to lecturers and teaching assistants as some of them were already involved in research design and fieldwork related to the opportunities and remaining tension in the newly independent South Sudan. The senior professors and assistant professors from both the College of Education and the Center for Peace and Development Studies were co-trainers along with staff from the World Bank and researchers contracted from the Open University, UK. This initial research training workshop—which led to the design of the RES-Research approach—confirmed the foundation for this work: (i) the possibility of building in existing analytical country capacities in a country (even one still as fragile as post-independent South Sudan); (ii) the demand for research methodological training from local higher education institutions and researchers; and (iii) the value added of a resilience lens to foster hope and empowerment to approach the myriad of adversities in FCS.

The first piloting of a more evolved RES-Research methodology was conducted in the West Bank, Gaza and Jordan in late 2011, and aimed at a specific study on education resilience. This initial approach was qualitative and focused on collecting narrative-based data from Palestine refugee students on the adversities they face, on the meaning and purpose they placed on education, and in the support that they receive from the school, families and community. The qualitative research design incorporated elements of action research, phenomenological approaches, and the construction of a grounded theory. Resilience research training with local Palestine counterparts helped develop a more systematic process and tools (especially qualitative) for data collection and analysis. The qualitative resilience component was also integrated to a larger mixed-methods research study including econometric analysis, structured classroom observations, and system assessments. As with the University of Juba, the pilot confirmed the interest and local analytical resources present in the higher education institutions and intellec-

6 For example, Paulo Freire defines “hope” not as vague words of resignation—especially uttered by those from the most powerful to the weakest, even if well intended—but as “hope, as an ontological need, demands and anchoring in practice” (1994, 9). He proceeds to explain that “The idea that hope alone will transform the world, and action undertaken in that kind of naïveté, is an excellent route to hopelessness, pessimism and fatalism. But the attempt to do without hope, in the struggle to improve the world, as if that struggle could be reduced to calculated acts alone, or a purely scientific approach, is a frivolous illusion” (1994, 8).

tual leadership in FCS.

The second RES-Research formal pilot was conducted with representatives from Colombia, El Salvador, Guatemala, Honduras and Nicaragua. Three workshops were held over the course of 2012 during which local researchers, many of whom were university-affiliated, and Ministry officials were trained on the conceptual and theoretical background of resilience and operational and practical aspects of conducting resilience focused research. The content of the workshops walked the participants through the conceptual framework for resilience and the process of developing a resilience research question (Workshop 1 held in Guatemala), varied aspects concerning data collection and the implementation of the research (Workshop 2 held in Nicaragua), and a final presentation by participants of their preliminary results and pointers on data analysis (Workshop 3 and final conference held in Honduras). A secondary goal of the second pilot was to support the creation of a regional alliance to support education resilience related work and the application of the findings.

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The Organization of the RES-Research Manual

This manual is designed to assist researchers to design studies on education resilience in contexts affected by acute or chronic adversities. The RES-Research manual comprises the following sections:

- I. **Positioning a study:** an introduction to the conceptual background (transformative and pragmatic paradigms and rigor) that underpin resilience research, understanding the problem to be addressed, the purpose of the research, considerations related to community participation and ethics
- II. **Designing a study:** developing a central research question and operational sub-questions, considering different inquiry strategies and questions of sampling
- III. **Choosing tools:** what data collection tools to choose, points at which data should be collected, analyzing the data collected and interpreting the results
- IV. **Consideration of the feasibility of the design:** how to conduct a feasibility assessment
- V. **Dissemination of the findings:** ensuring that multiple audiences and sectors are targeted with the data findings in order to maximize impact

The detailed sections of the manual, in a manual format, follow next.

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INTRODUCTION

Welcome to the Education Resilience Approaches (ERA) Program. The RES-Research manual is designed to walk you and your team through the design process step-by-step, as an accompaniment to resilience research training, especially in education settings. Each step involves a description of the stage, guiding questions, important points to consider, and exercises designed to facilitate the planning process. Specifically, this manual will help you define what your research is about; identify the best research approaches to answer your research question; identify best practice for involving local communities, ensuring buy-in and uptake of results; facilitate inter-disciplinary teamwork, and; ensure that your research process will result in a research product that can speak to all your target audiences.

Because the focus of ERA is on children, youth and communities living in adversity, this manual makes use of a risk-resilience model to frame the research process. It also integrates the transformative paradigm and social constructionism with an emphasis on the use of mixed-methods.

Transformative Paradigm

Resilience theory (see *Education Resilience Approaches: A framework paper*) has become increasingly aligned with the transformative paradigm. The transformative paradigm focuses on the promotion and facilitation of research and evidence to forward social justice and cohesion. In this way, it has an explicit goal to contribute to the improvement of the lives of at-risk, vulnerable and marginalized communities. Thus, research using this framework is aimed at contributing to decisions, actions and public and social services that will improve the life of the population of interest. Research conducted within this framework emphasizes the use or integration of local, indigenous knowledge. The transformative paradigm promotes the use of social constructivism or stand point theory, allowing for an understanding of phenomena directly from the perspective of those living within contexts of that phenomenon. The paradigm also promotes the use of research methods that facilitate social change through the exploration of social and institutional structures.

Social Constructionism⁷

Much of what we know, what we consider to be every-day or formal knowledge, is constructed or made up, and reflects a particular way of looking at the world, often to achieve specific ends. This view of seeing the world is called social constructionism. Also social constructionism is engaged in a critical review of the status quo with a view to social critique or change.

⁷ Both social constructionism and social constructivism refer to the social interactions of a group; however, the former refers to the artifacts or discourses that are created while the latter to the learning that occurs through such social interactions.

We all have our own interpretations and constructions within our broader contexts. Social constructionists argue that how people choose to construct their realities reflects their understanding of their experiences and the contexts within which these experiences occur. Thus, constructed meanings and classifications impact society, its institutions, allocation of resources, practices and so on. Within this framework, we are required to ask what it is exactly that has been socially constructed? Whose meaning should be considered and whose voice should be heard? What is it that we are challenging, critiquing or trying to change? For example, are teenage pregnancies something that we as a society have constructed? Or, is it the meaning of these pregnancies that we have constructed? Or the value labels that we attach to these young women? And, what is the role of teenage girls in defining and helping society and institutions understand this social issue? What, therefore, is the role of the beneficiaries and targeted populations in the process of defining state and public services to address and to support the mitigation of social problems? All these questions are especially important when approaching the myriad of issues that affect fragile, conflict and violence affected situations (FCS). All these questions are also important in collecting evidence about the causes, responses and solutions to social problems (Charmaz 1990; Hacking 1999).

RISK AND RESILIENCE THEORY

Resilience Theory and Definition

Based on work conducted by researchers affiliated with the Resilience Research Centre, as well as other researchers and studies over the last 40 years, we now understand resilience to be processes that occur in the context of adversity (such as extreme poverty, pervasive violence, and so forth). We also understand that these processes are socially and ecologically based—i.e. resilience happens through complex individual, inter-personal, group, community, institutional and societal interactions. A social ecological perspective implicates those mandated to help (social workers, child and youth care workers, psychologists, nurses, educators, etc.) as well as those expected to provide support (communities, family, and peer groups) in the process of intervening to provide a child with opportunities to realize his or her potential. A social ecological perspective also forces our attention to availability of resources (state, social, community); the accessibility of these resources to the target population, and; relevance of these resources to the target population given the realities of their context (i.e., the risks faced). However, related to a social constructionism paradigm (previously discussed), services and resources in order to be meaningful need to be aligned to the meaning beneficiaries give to the risks that they face and the local assets they possess.

8 Michael Ungar, *Resilience across cultures* (2008).

Resilience as an integrated individual, institutional and social process, can be defined as:

1. *The capacity of individuals to navigate their way to resources that sustain well-being;*
2. *The capacity of individuals' physical and social ecologies to provide those resources; and*
3. *The capacity of individuals, their families and communities to negotiate culturally meaningful ways for resources to be shared.*

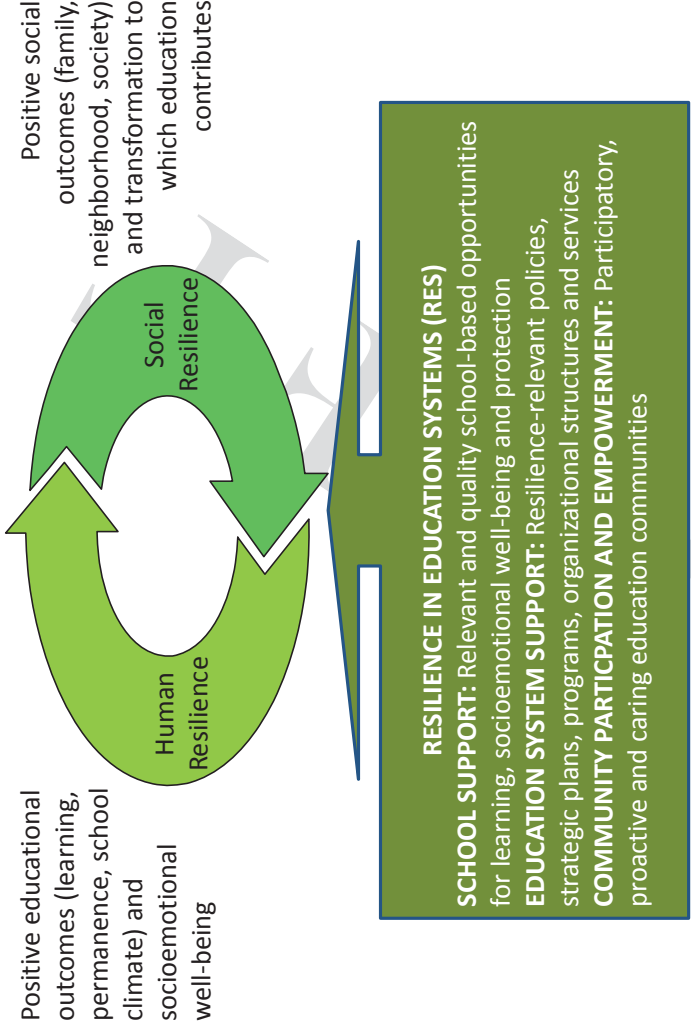
How do risk and resilience fit together?

Based on this definition of resilience, we see that risk and resilience are organically linked: without understanding the one, we cannot truly understand the other. In particular, without understanding the causes or roots of violence, and its characteristics on multiple levels, our understanding of how resilience mechanisms operate will remain disconnected to the actual realities of contexts. As such, research on resilience processes necessitates the concurrent research and review of national and local risk processes and mechanisms. Doing so ensures we highlight and promote relevant and accurate protective mechanisms given the local context. Here researchers would explore the participants' exposure to violence, their understanding of this (informing national and local information available regarding violence), and how they manage their exposure (resilience processes).

What is the initial conceptual framework that ERA and RES-Research provide to guide resilience research?

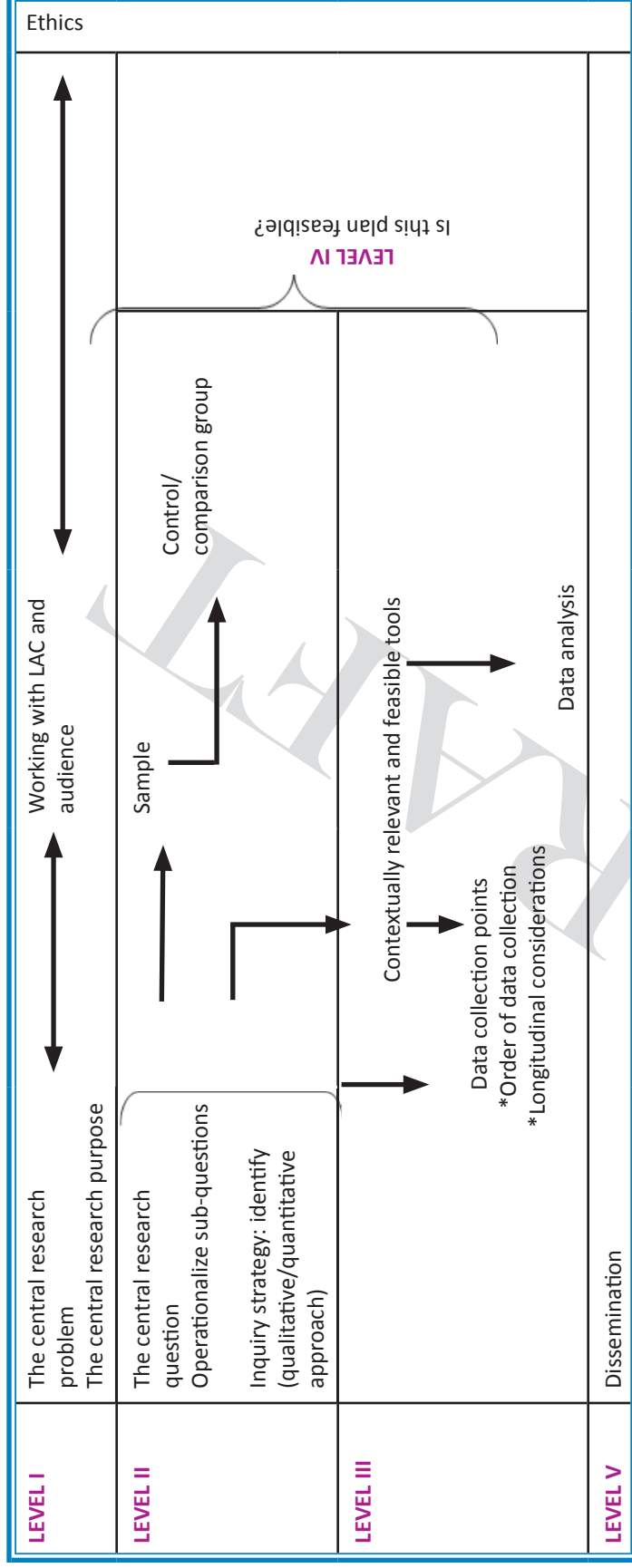
As mentioned in the introduction about the ERA series, RES-Research is one of the tools made accessible to guide the collection of evidence on the risks, assets, and resilience-fostering services in contexts of adversity, such as institutional fragility, conflict and violence. Specifically, RES-Research does not propose any ex-ante research questions or data collection tools, rather it proposes a step-by-step guide for local researchers to design their own research to address their own research questions. Nonetheless, a very broad conceptual framework is proposed to guide decisions on how to address questions related to risks, assets and education services.

RES-Research Conceptual Framework



The RES-Research framework (see figure above) is broad enough to encompass many different research topics, including studies on individual resilience determinants (such as non-cognitive skills and community support); institutional resilience (such as the school level, system level and community supports to foster resilience in education settings) and even social resilience and transformation (such as the possible education sector contributions to social cohesion). In each of these dimensions (see figure, next page), evidence levers related to risks, assets and education services are foundational. RES-Research, as its primary intention, seeks to guide the collection of evidence that can be useful to policy makers, program designers, service providers and education institution actors living and working in contexts of adversity.

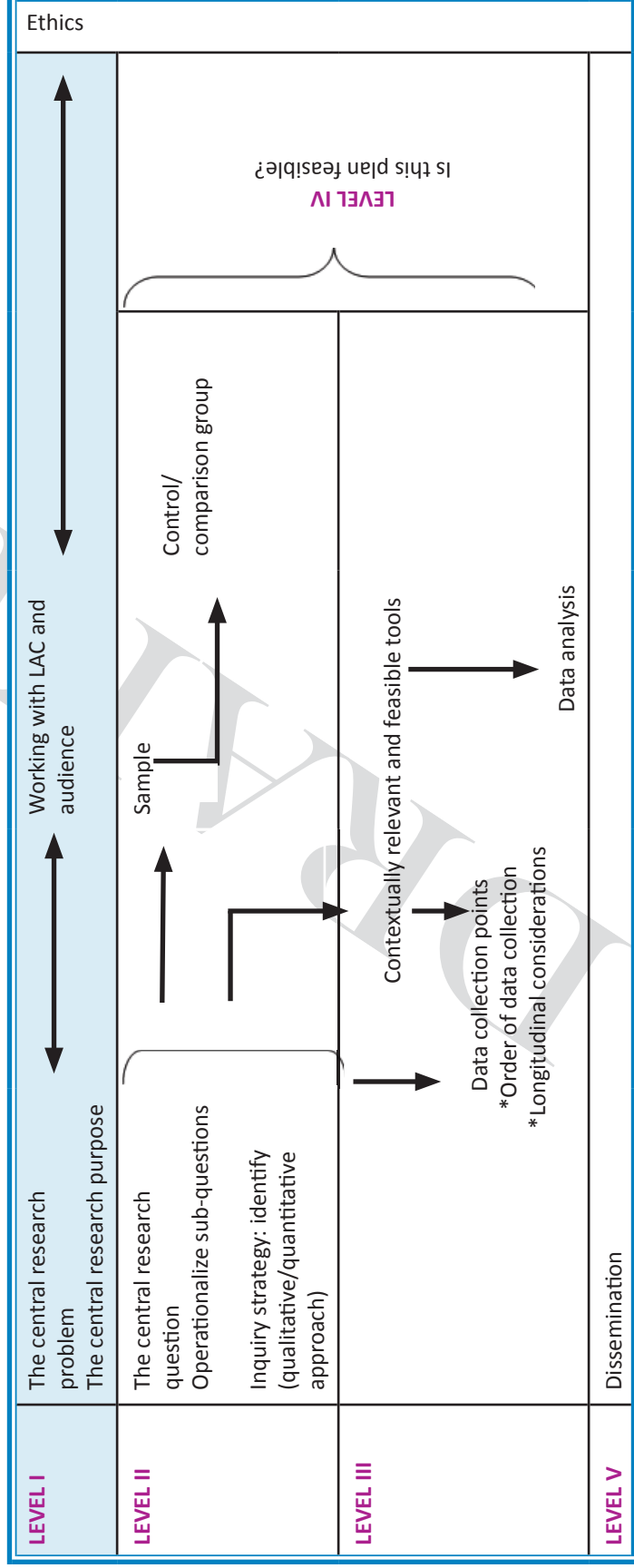
The table below outlines the contents of the following chapters and the procedures that will be detailed.



DRAFT

LEVEL I Positioning Your Study

This section, Level I, will discuss: (i) the process to define a central research problem for which a resilience-based study is useful, (ii) defining the central research purpose and resilience focus; and (iii) forming partnership with local advisory committees (LAC) to guide the research process, ethical approaches, and gatekeepers to participants.



1.1 Transformative and pragmatic paradigms and rigour

We are ethically bound to give critical consideration to how we design our research, and who we involve in the research process. We are also ethically bound to be rigorous in our research and evaluation efforts. Being transparent (open and explicit) in how you designed your study, when publishing your results, will demonstrate this rigor.



RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Explore the interrelation between transformative paradigm, mixed-methods, ethics and issues of validity and rigor</p>	<p>Resilience research focuses on inherently marginalized and/or vulnerable communities.</p> <p>Resilience research focuses on protective processes.</p> <p>Resilience research is always applied research.</p> <p>Interventions, programs and policy based on a strengths-based knowledge base are more likely to achieve change.</p> <p>The transformative paradigm is focused on the promotion and facilitation of the human rights and social justice vulnerable and marginalized communities.</p> <p>Change occurs by empowering communities; not imposing on communities.</p> <p>Application requires learning about the named and unnamed, necessitating qualitative and quantitative approaches</p>	<p>Who is informing the design of the study?</p> <p>What existing knowledge is informing the focus of the study and the research question?</p> <p>How is constant community contact encouraged in the study?</p>	<p>Who is informing the design of the evaluation?</p> <p>What knowledge exists regarding the program theory of change and how is this informing the focus of the evaluation and the evaluation questions?</p> <p>How is constant community contact and input encouraged in the evaluation?</p>

1.1 Transformative and pragmatic paradigms and rigor			
RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
	<p>The transformative paradigm places emphasis on indigenous knowledge (qualitative).</p> <p>To manage and deliver services we need to measure (quantitative).</p>		

1.2 Understanding the problem

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>The problem: What is your:</p> <ul style="list-style-type: none"> • Phenomenon of interest? • Risk and population of interest? • Outcome of interest? • Protective process (what do you want to know, what do we need, what knowledge exists of protective factors, how best to intervene/ support)? 	<p>Risks include: Violence, armed conflict, homelessness, extreme poverty, drug addiction, mass trauma, catastrophes, etc.</p> <p>The resilience phenomenon involves: Individuals and their communities navigating and negotiating through risks to attain meaningful resources required to achieve positive outcomes.</p> <p>Protective processes include:</p> <ul style="list-style-type: none"> • individual factors • relational factors • environmental factors • individual-environment engagement (navigation and negotiation) • available, accessible and relevant services <p>Outcomes include: Child development, educational effectiveness, mental health and well-being, etc.</p> <p>Populations of interest: Vulnerable and marginalized populations living in adversity.</p> <ul style="list-style-type: none"> • Specific cultural groups, in specific locations, at a specific time 	<p>The problem:</p> <ul style="list-style-type: none"> • What is the risk under consideration? • What outcomes are you interested in? • What specific population are you focused on? • How much do you know or want to know of the protective process – what to do -- in the specific population, under a specific risk, to achieve a specific outcome? 	<p>The problem:</p> <ul style="list-style-type: none"> • Is there a policy or strategic goal already in place? • Are you diagnosing needs, gaps and goals? • Are there activities, projects, programs or any other type of interventions already in place? • Are there indicators in place: <ul style="list-style-type: none"> • of the predictors of change? • of the outcomes of change? • of the protective process?

Human/individual resilience		
RISK FACTOR	PROTECTIVE PROCESSES	OUTCOMES
What are the risk factors under consideration?	What are your questions around protective processes?	What outcomes are you interested in?
↑	↑	↑
Are these factors • Named? • Un-named?	Are these factors • Named? • Un-named?	Are these factors • Named? • Un-named?



System resilience		
RISK FACTOR	PROTECTIVE PROCESSES	OUTCOMES
What are the risk factors under consideration?	What are your questions around protective processes?	What outcomes are you interested in?

Social resilience		
RISK FACTOR	PROTECTIVE PROCESSES	OUTCOMES
What are the risk factors under consideration?	What are your questions around protective processes?	What outcomes are you interested in?

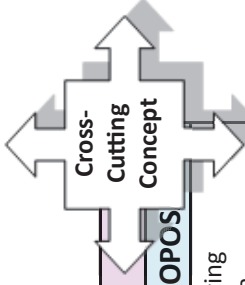
1.3 The research purpose			
RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>From The Problem – of risk, outcome, protective process, and population of interest - one can define what the purpose of the study could be.</p> <p>Is the purpose to Explore, Understand, Propose Theories or Relations:</p> <ul style="list-style-type: none"> Understand the (phenomenon/problem identified) Establish the meaning a population gives to the (phenomenon) Identify the constituencies/categories of a phenomenon Construct a theory of the relation between the categories of a phenomenon (e.g., cause, intervening, effect and consequences) <p>Is the purpose to identify relations or cause-effect and measure them:</p> <ul style="list-style-type: none"> Identify factors that influence or predict an outcome Establish the existence of known factors in a large population Link predicting factors and outcomes Determine/show cause and effect between predicting factors and outcome of interest <p>Is the purpose to Explore, Understand, Propose Theories or Relations AND Identify Relations or Cause-Effect and Measure them:</p>	<p>There are named and unnamed risks, protective processes and outcomes.</p> <p>If unnamed, the research can propose to discover or uncover them.</p> <p>If named – from a prior study, theory, already identified variable - a researcher can propose to:</p> <ul style="list-style-type: none"> Measure them Expand them to other populations To measure them in a different cultural or temporal context Identify relations and their direction Identify the interventions that can influence outcomes (cause and effect) <p>The researcher can also set out to:</p> <ul style="list-style-type: none"> Compare or determine congruencies, similarities, and differences Discover unnamed processes and then measure these processes: Uncover a hidden or unnamed risk, protective factor and outcome; operationalize new category or theoretical relations; and Measure it as new variable. Measure named processes and then explore emerging unnamed processes in more detail: Measure existing risk protective 	<p>Has the literature been reviewed to identify a gap in knowledge?</p> <ul style="list-style-type: none"> In general? For the population of interest? <p>Do you, as a researcher or the research team, have the skills and interest to answer these questions (<i>qualitative skills</i>: interviewing, analyzing, community field experience, etc.; <i>quantitative skills</i>: statistical analysis, construction of surveys, large database management, etc.)?</p>	<p>If there is a concrete program, project or service what specific knowledge or evidence is needed?</p> <p>What part of the program cycle are you focusing on: needs assessment, strategic planning, services design, implementation, or evaluation (process, mid-term, impact)?</p> <p>Does this research purpose contribute to the program’s operational need? How?</p>

1.3 The research purpose

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<ul style="list-style-type: none"> Why is there a need to answer questions from both sets in same study? <p>Is the purpose to Identify Relations or Cause-Effect and Measure them AND to Explore, Understand, Propose Theories or Relations:</p> <ul style="list-style-type: none"> Why is there a need to answer questions from both sets in same study? 	<p>factor and outcomes (drawn from literature review, existing theory, previous studies); identify variance and uncover meaning, leading to new issues, categories, factors, etc; and operationalize new variable</p>		

What are the named and/or un-named risk factors under consideration?	What are your questions around named and/or un-named protective processes?	What named and/or un-named outcomes are you interested in?
Who is your population of interest? 	What is your research purpose? <ul style="list-style-type: none"> • Explore; Understand; Propose Theories or Relations • Identify relations; cause-effect; and measure 	What are your research questions? 

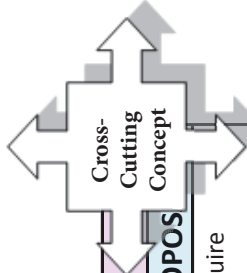
<p>What are the named and/or un-named risk factors under consideration?</p>	<p>What are your questions around named and/or un-named protective processes?</p>	<p>What named and/or un-named outcomes are you interested in?</p>
<p>Who is your population of interest?</p>	<p>What is your research purpose?</p>	<p>What are your research questions?</p>
<p>Who is your audience?</p>	<p>Who are your stakeholders?</p>	



1.4 Community participation: Owership, leaders and guidance

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOS
<p>Community input can increase:</p> <ul style="list-style-type: none"> • Relevance of the research, ensuring that key issues related to the research question are focused on • Appropriateness of research design • Appropriateness of sample selection • Broader community buy-in to the research, which will facilitate successful sampling and updating of results <p>Local Advisory Committee (LAC):</p> <ul style="list-style-type: none"> • Can make suggestions and help guide the work as it progresses • Includes four to six local people (adults and youth) who have something important to say about children and families in their community • Members can be youth, parents, professionals, care-givers or elders/adults who themselves have overcome challenges while growing up <p>Regular meetings with LACs will allow for community input on:</p> <ul style="list-style-type: none"> • Contextually relevant ways of conducting the study 	<p>Transformative research means that it is not up to the researcher alone to define the research parameters.</p> <p>Communities should have a say in how researchers position, design and conduct studies.</p> <p>Community input can provide input on how research connects with policy makers and service providers; government; donors (resilience is the responsibility of the broader macro community)</p> <p>Community input ensures that the research or evaluation focuses on and/or includes culturally grounded phenomena. Because the meaning of cultural phenomena continuously changes, community input also ensures that the focus is current/relevant.</p> <p>Culturally grounded focus facilitates exploration and understanding of unnamed, unconscious, hidden, etc. components of the phenomena under investigation.</p> <p>If our research is going to change lives who needs to be involved and why?</p>	<p>Can you think of four to six people in the community in which you are conducting the research that you could invite to participate on the LAC?</p> <p>What are the key areas you would like the LAC to help you with?</p> <ul style="list-style-type: none"> • Who should we study? • What should we ask them? • What should we look at to learn about resilience? • What are the biggest challenges youth in this community face? • What are some of the common things that help youth cope with the challenges they face? • What do people in this community think helps children cope with challenges? • How do we get participants interested in the project? • Where, when and how should we go about collecting information from people (youth and adults) in the community? 	<p>Is this population receiving services already or has a population been identified to receive them? How is this population involved in the evaluation planning?</p> <p>How are program staff involved in the program planning?</p> <p>What is the stage of the program cycle: needs assessment, strategic planning (gaps, goals, indicators), implementation, process or mid-term evaluations, or impact evaluation?</p> <p>Who is the decision-making agency? Who is the funding agency? Do they have specific needs or requirements for the different stages of the program cycle?</p>

1.4 Community participation: Owership, leaders and guidance			
RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<ul style="list-style-type: none"> • Review of qualitative and quantitative methods. LACs can help define local markers of risk and resilience • Questions included in questionnaires and/or interview guides, reviewing if items are worded appropriately and if any should be omitted, ensuring instruments fit with the worldview of people locally • Key areas related to the research question that are perhaps being overlooked and suggest how to include this in the study, including local experiences of risk and violence • Translation needs and how best to deal with these • Contextual safety and ethics issues of your research project/evaluation • Findings, ensuring that interpretation of data are contextualised locally • Dissemination and community uptake of results <p><i>Documenting these ideas contribute to the evidence of rigor in your work as well as research across cultures and contexts.</i></p>			



1.5 Ethics

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOS
<p>Institutional approval Before beginning with the field work at your site it will be necessary to obtain ethics approval from your university's ethics or institutional review board (IRB). Most IRBs have clear guidelines and requirements of what should be contained in the application, and adhered to throughout the research process.</p>		<p>Does your institution require ethics approval?</p> <p>Are there any requirements you should be aware of at this stage of your planning?</p> <p>What are your country's legal requirements surrounding research, with regards to consent, reporting harm, etc.?</p>	<p>Does your institution require ethics approval?</p> <p>Are there any requirements you should be aware of at this stage of your planning?</p> <p>What are your country's legal requirements surrounding research, with regards to consent, reporting harm, etc.?</p>
<p>Community input There are important considerations for researchers to keep in mind when conducting research with marginalized groups, and youth in particular, that may not align with university IRBs.</p> <p>Discussions with LACs can highlight more contextually relevant ethical issues and concerns. These concerns and suggestions should be presented to your institution's IRB and integrated into the agreed-upon ethics protocol.</p>		<p>Are there concerns regarding obtaining parental or legal guardian consent? Is this a realistic expectation? How best should this consent be obtained? Is there anyone else from whom consent for this study should be obtained (for example community leaders, other participating institutions such as school boards)?</p> <p>What is the safest way of obtaining consent from the various parties identified?</p> <p>How will you know that people have really understood the research as explained to them and that they are really agreeing to the research? That they fully understand what they are agreeing to do and what happens to the information that they provide? Do they understand what the information will be used for?</p>	<p>Are there concerns regarding obtaining parental or legal guardian consent? Is this a realistic expectation? How best should this consent be obtained? Is there anyone else from whom consent for this study should be obtained (for example community leaders, other participating institutions such as school boards)?</p> <p>What is the safest way of obtaining consent from the various parties identified?</p> <p>How will you know that people have really understood the research as explained to them and that they are really agreeing to the research? That they fully understand what they are agreeing to do and what happens to the information that they provide? Do they understand what the information will be used for?</p>

1.5 Ethics

		<p>Can people be hurt in any way from taking part in this research? Are there steps that can be taken to avoid this?</p> <p>If it becomes known that a participant is being hurt, or intends to hurt someone, what legal and socially expected steps should be taken?</p> <p>If participants feel uneasy or upset during the research are there places they can go for support? Who can they talk to about how they were treated during the research? Is there a local person who can speak with them confidentially?</p> <p>What are appropriate ways to compensate participants for their time and involvement in the research? Will compensation of this form expose participants to harm? What alternatives exist?</p>	<p>Can people be hurt in any way from taking part in this research? Are there steps that can be taken to avoid this?</p> <p>If it becomes known that a participant is being hurt, or intends to hurt someone, what legal and socially expected steps should be taken?</p> <p>If participants feel uneasy or upset during the research are there places they can go for support? Who can they talk to about how they were treated during the research? Is there a local person who can speak with them confidentially?</p> <p>What are appropriate ways to compensate participants for their time and involvement in the research? Will compensation of this form expose participants to harm? What alternatives exist?</p>
<p>Who owns the data What will be given back to the community? What can people expect will be gained from taking part in the research?</p>			
<p>What expectations/obligations are there regarding Knowledge Mobilization?</p>		<p>To whom should findings be returned? What format/presentation of findings will be most helpful to these groups?</p>	<p>What requirements are there regarding the final report? Are there any additional expectations of funders/clients/stakeholders such as presentations?</p>

1.5 Ethics




Well-being of researcher
 What is the potential emotional impact on researchers?
 What debriefing strategies are in place that will ensure sustained confidentiality of participants but that will assist in preventing burnout of researchers?

The kind of data that is being gathered and how it is being gathered can take an emotional toll on those researchers gathering data in the field. Research teams should be cautious even when gathering archival data or data through quantitative survey measures, particularly when meeting with youth individually or in small groups.

- Who is best suited to conduct the field work: younger or older researchers? Men or women? What ethnic considerations should be kept in mind?
- Are there places in the community that should be avoided? Or days and times when it is better to conduct fieldwork?
- What would be considered an appropriate and respectful form of clothing for fieldworkers to wear? Should they look more formal or informal? Should items such as jewelry be avoided?

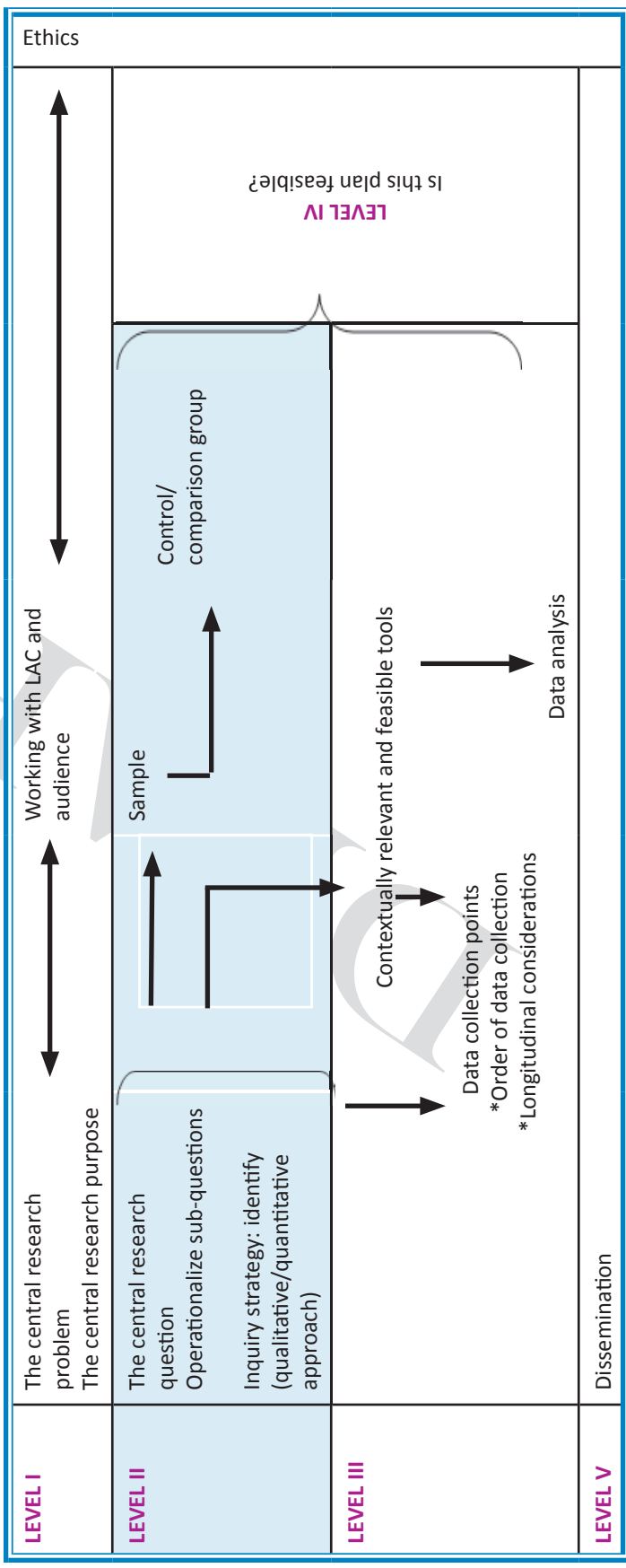
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- What would be considered an appropriate and respectful form of clothing for fieldworkers to wear? Should they look more formal or informal? Should items such as jewelry be avoided?

Who is your population of interest?	What is your research purpose?	What are your research questions?
<p>Community ownership:</p> <ul style="list-style-type: none"> • Who? • How? • Of what? 	<p>Future considerations:</p> <ul style="list-style-type: none"> • How will these questions be answered: data gathering and management? • Who will gather data? • Feasibility? • Practical considerations? 	<p>Future considerations:</p> <ul style="list-style-type: none"> • How will these questions be answered: analysis? • Who will analyze data? • Who will interpret data? • Who will disseminate findings? • How will findings be disseminated?

ETHICS		
Population:	Research purpose:	Research questions:
		
Community ownership:	Future considerations:	Future considerations:

LEVEL II Designing Your Study

This section, Level II, will provide guidance to research teams on how to operationalize their research questions—both quantitative and qualitative questions—and to select the most appropriate methodology to answer them (for example, narrative or grounded theory approaches for qualitative questions, or correlational or quasi-experimental approaches to quantitative questions). Based on the defined research questions and methodological approaches, the most appropriate sampling strategy will be selected (purposeful, statistical, experimental samples, etc.).



2.1 The central research question

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Considering the <i>Purpose of the Study</i>, the research team must define a <i>Central Research Question</i>. This question will guide the overall data collection, analysis, and interpretation, and will anchor the study.</p> <p>At this stage, your question will drive the initial approach to data gathering. While you may start out with a qualitative approach, this may result in a more quantitative analysis. Similarly, an initial quantitative approach may result in a more explorative and qualitative analysis.</p>	<p>Does your question explore an outcome in the face of adversity? Is your question focused on protective processes and positive outcomes?</p>	<p>Restate the purpose of your study: is it to understand the meaning, give voice, propose relations? Do you want to infer impact, relations, linkages, direction? Do you want to do both?</p> <p>Can you summarize this purpose in one central question for your study?</p> <p><i>Qualitative central question format:</i> “How or what ____ (risk, outcome, protective factor) is ____ (described, understood, lived, related) by ____ (population of interest).”</p> <p><i>Quantitative central question format:</i> “The relation of ____ (violence, armed conflict, homelessness) and school engagement (learning, staying in school, graduating) is mediated by ____ (the resilience mechanism: identity, available services, etc.).”</p> <p><i>Mixed-methods central question format 1:</i> “How or what ____ (risk, outcome, protective factor) is ____ (described, understood, lived, related) by ____ (population of interest). The relation of these identified components of ____ (violence, armed conflict, homelessness) and school engagement (learning, staying in school, graduating) is mediated by</p>	<p>What is the core focus of the evaluation? Is it a process evaluation or an impact/outcomes evaluation?</p> <p>What are the evaluation questions?</p> <p>What are the program goals?</p>

2.1 The central research question

			<p>_____ (the resilience mechanism: identity, available services, etc.).”</p> <p><i>Mixed-methods central question format 2:</i></p> <p>“The relation of _____ (violence, armed conflict, homelessness) and school engagement (learning, staying in school, graduating) is mediated by _____ (the resilience mechanism: identity, available services, etc.). How or what _____ (risk, outcome, protective factor) is _____ (described, understood, lived, related) by _____ (population of interest).”</p>	
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2.2 The operational sub-questions

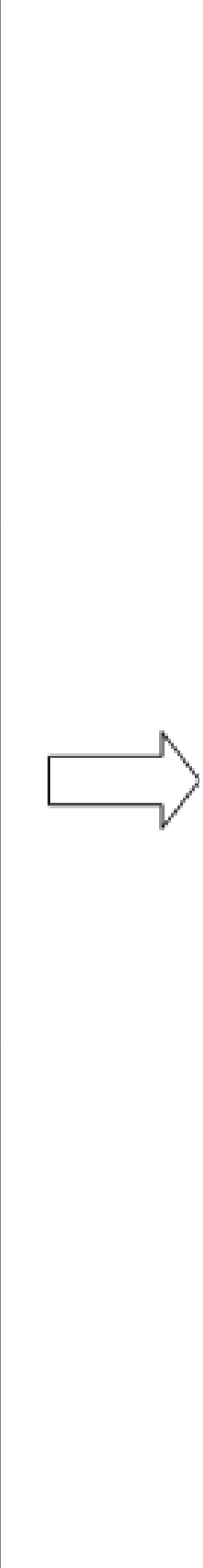
RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Considering your central question, the next step is to consider the sub-questions or <i>Operational Questions</i> for which: (i) direct data need to be collected, and (ii) specific analysis done.</p> <ol style="list-style-type: none"> 1. Sub-question 1 (later to define specific tool) 2. Sub-question 2 (later to define specific tool) 3. Sub-question 3 (later to define specific tool) 		<p>Consider your central question, define each specific question stating if it is a qualitative or quantitative question?</p> <p>SubQ-1 _____</p> <p>-- Quant or Qual?</p> <p>SubQ-2 _____</p> <p>-- Quant or Qual?</p> <p>SubQ-3 _____</p> <p>-- Quant or Qual?</p> <p>SubQ-4 _____</p> <p>-- Quant or Qual?</p>	<p>What are the evaluation questions? What are the program goals?</p> <p>Define each specific question stating if it is a qualitative or quantitative question.</p> <p>SubQ-1 _____</p> <p>-- Quant or Qual?</p> <p>SubQ-2 _____</p> <p>-- Quant or Qual?</p> <p>SubQ-3 _____</p> <p>-- Quant or Qual?</p>

Exercise: Developing a research question

Do you want to understand the dynamics or do you want to confirm the presence of something? Or do you want to see the presence of something?

What is the purpose of your study?

Explore Understand Propose theories / relations		Influence Impact Relate
What are the risk factors under consideration?	What are your questions around protective processes?	What outcomes are you interested in?



Research questions:

SubQ-1: _____ ? [Quant/Qual]

SubQ-2: _____ ? [Quant/Qual]

SubQ-3: _____ ? [Quant/Qual]

2.3 Inquiry strategies - Mixed-methods preparation

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Deciding the relevant strategy of inquiry – especially if using a mixed-methods approach -- is important. This strategy will inform your sample selection, site identification, data collection strategies, choice of data collection tools and analysis process.</p> <p>A <i>qualitative approach</i> to research allows us to explore unnamed processes, discovering underlying meanings and patterns of relationships, and gaining an in-depth understanding of the topic at hand. This approach allows us to gain insight into the why and how of an issue, not just what, where, when.</p> <p><i>Quantitative methods</i> provide more broad-based population trends, providing insight into the scope of a particular behavior or problem amongst a particular population.</p> <p><i>Mixed-methods research</i>, also known as multimethodology, compatibility thesis or pragmatist paradigms, combines the collection and analysis of multiple sources of data. The key feature of a mixed-methods approach is using a number of data sources and/or approaches to triangulate your data and findings. Because of this,</p>	<p>Resilience theory informed by a pragmatic approach to research – accounting for how meaning of the adversity, protective process and adversity is constructed by individuals, and the need to ground research in those meanings.</p> <p>At the same time, the need to provide services and change the life of marginalized groups requires quantitative knowledge, to measure, manage, apply services to larger populations, and be accountable for results.</p>	<p>Are your <i>Operational Qualitative Questions</i> about:</p> <ul style="list-style-type: none"> • Dense description and understanding—narrative, case studies, etc. • Understanding, discovering or uncovering the essence, principles or constituencies of a factor, category, themes or pattern analysis, phenomenology, etc. • Proposing relations (a theory) among factors and categories—such as cause, effect, consequences, intervening factors, etc. —grounded theory, pattern analysis, etc. <p>Do your <i>Operational quantitative questions</i>:</p> <ul style="list-style-type: none"> • Measure (intensity, frequency, etc.) a variable: independent, intervening, dependent • Link or relate one factor to the other (correlation) • Infer causal relations <p>Mixed-methods Approaches: <i>Qualitative to Quantitative</i></p> <ul style="list-style-type: none"> • (QUAL) Uncovering or discovering a new factor (unnamed); and, operationalizing the new factor (essence, constituencies, elements, sub-categories, etc.). • (QUANT) Measuring the new factor – by 	<p>Monitoring and Evaluation require of both quantitative and qualitative data —and this data and analysis should be held to the same standards of rigor as in regular research (see also Research Proposal discussion).</p>

2.3 Inquiry strategies - Mixed-methods preparation

mixing or integrating research strategies (qualitative and/or quantitative) in any and all research undertaken is now considered a common feature of all good research.

The predominant approach to mixed-methods research involves a combination of qualitative and quantitative data collection and/or analysis. Two approaches are generally taken. Qualitative research is often used in a first phase to gain a general sense of phenomena and to form theories that are then tested using further quantitative research in a second phase. Alternatively qualitative methods might be used in a second phase to understand the meaning of the conclusions produced by quantitative methods during the first phase of the research.

- creating a new item, questionnaire, applying to a larger population, etc.
 - (QUAL) Propose a theory grounded on participants meaning; (QUANT) and then test it by constructing new variables and designing a correlation and causal study.
 - OTHER?
- Quantitative to Qualitative*
- (QUANT) Measuring a variable and then (QUAL) understanding results through meaning making of participants
 - (QUANT) Testing a causal relation (quasi or experimental, impact evaluation) and then (QUAL) understanding the process of intervention or impact through understanding, context, meaning of participants, dense descriptions
 - OTHER?

Mixed-methods	
<p>Uncover</p> <p>↓</p> <p>Propose relations</p> <p>↓</p> <p>Test or confirm relations</p>	<p>Explore, determine or test for prevalence</p> <p>↓</p> <p>Uncover the meaning, dynamics or processes</p>

How qualitative and quantitative approaches fit together		Exercise
<p><i>Qualitative</i></p> <ul style="list-style-type: none"> • Understand x holistically? • Identify the constituencies; the essence of [x]? • Propose relations between constituencies [x-y-z] 	<p style="text-align: center;"><i>Quantitative</i></p> <ul style="list-style-type: none"> • Do the categories/variables exist? (yes/no) (descriptive) • Measure the variables (scale) (descriptive) • Are x and y related (correlations)? • Causality (x → y) (experiment) 	<p>How do your questions fit together?</p>

2.4 Sample

Resilience research requires us to think beyond conventional research designs. Most often in research with an educational focus, research is conducted with large school-based samples, using a quantitative design. While this type of study provides important information about young people in schools, it is important to remember that this is information about young people who are able to be in school. When conducting research about resilience, the information we are looking for may ordinarily not rest with these youth, but rather those youth who are not attending school. If we think of child labor for example, and ways to steer children back into school, away from harmful labor situations, school-based samples may provide interesting information to explain why general samples of youth are engaged with school, but will tell us nothing about why thousands of children choose employment over obtaining an education; what would in fact draw them back into school, and; most importantly, what would keep them engaged with school. When designing resilience research within an educational framework, it is important to consider which population is best suited to answer the research questions, rather than defaulting to a school-based population.




Similarly, careful consideration should be given to which communities should be represented in the study. There are for example important differences between rural and urban contexts; or even urban contexts with differing socio-economic characteristics. In the first instance labor opportunities could differ for youth in urban contexts (joining a gang for example) versus rural contexts (finding employment at a mine or on a farm), having important implications for actually diverting youth from situations of employment and back into schools. In the second instance, cities that have an existing and strong economic framework will again provide a very different context to neighboring cities experiencing sudden and large economic growth.

Finally, it is also important to pay careful attention to the types of risks youth in your sample are facing: do these accurately reflect the risks related to your research question? Returning to our example of child labor and methods of increasing a return to and engagement with school, would we obtain the information necessary to avert gang membership among urban youth and increase school engagement for this population if our findings are taken from a sample of rural youth engaged in seasonal labor such as harvesting?

RESEARCH PROCESS	RESEARCH THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Which type of sample</p> <ul style="list-style-type: none"> <i>Purposeful</i>: intentional selection of participants to speak to issue <i>Statistical</i>: Data gathered from a limited number of participants/ observations selected randomly or systematically, that can be manipulated to produce generalizations about the population <i>Randomized</i>: random selection of participants that represent sample <p>Criteria Purposeful Samples (see Patton’s list</p>	<p>Rationale for purposeful sampling within resilience theory and across quantitative, qualitative and mixed-methods:</p> <p>Cultural Relativity</p> <ul style="list-style-type: none"> Individual-environment “negotiation” of adversity, risk and outcomes Cultural definition of “positive” or “negative” outcomes <p>Adversity Inherent Context</p> <ul style="list-style-type: none"> Need participants with lived experience in a context of 	<p>Your choice in sample should match the purpose of your research. Is the purpose of your sample:</p> <p>Representation</p> <ul style="list-style-type: none"> Representative of risk or outcome of interest Demographic representation—age, gender, religion, sexual orientation, Location of interest—urban, rural, public, private, etc. Extreme or critical examples <p>Comparison</p>	<p>The evaluation sample should be drawn from program participants.</p> <p>Evaluations should also include a comparison sample, where youth of similar description are included in the evaluation procedure but do not receive the intervention.</p>

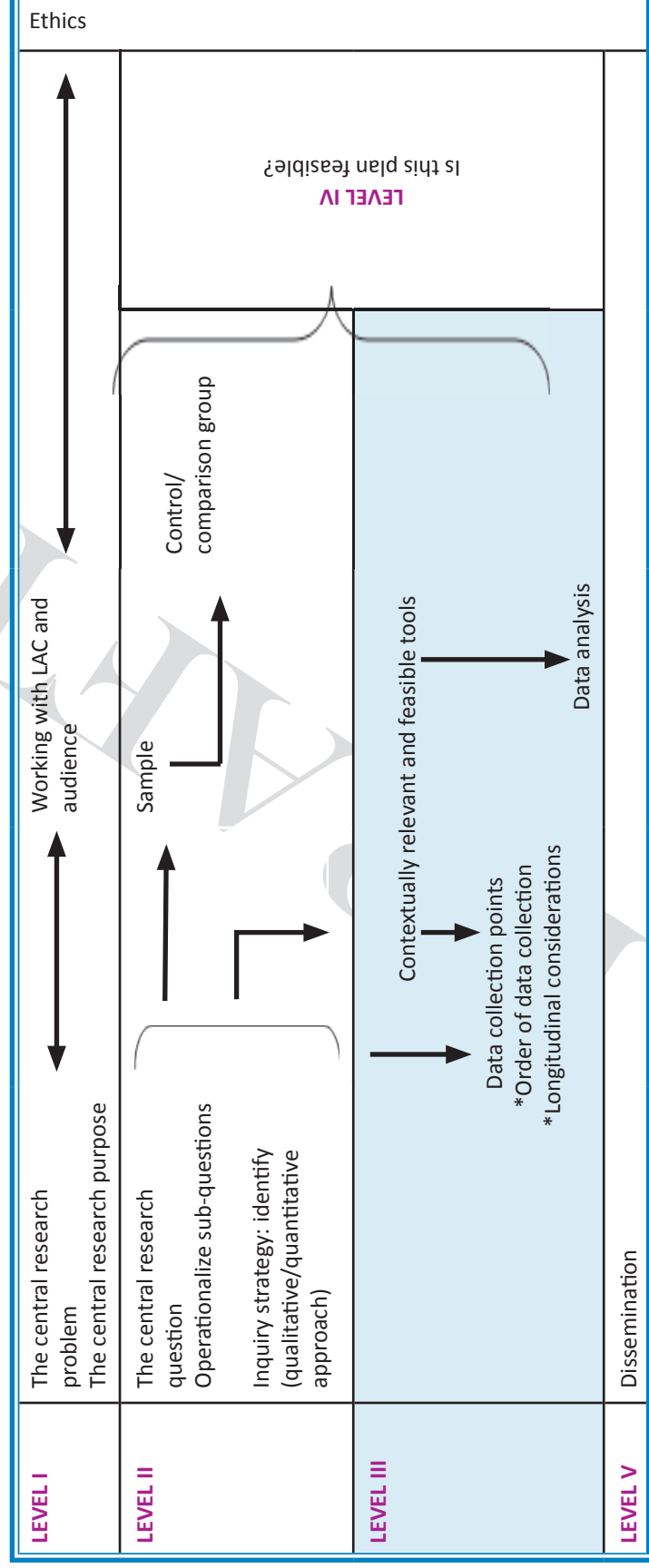
2.4 Sample

<p>attached):</p> <ul style="list-style-type: none"> • Not haphazard • Inclusion criteria identified before drawing the sample • Researcher must be knowledgeable about the population, the sites, and conditions of the research • Must have enough variation to develop description <p>Rigorous qualitative approaches use smaller but focused samples rather than large samples. While quantitative approaches ordinarily involve large samples, when conducting resilience research and evaluation with marginalized groups, sample numbers tend to be smaller.</p>	<p>adversity.</p> <p><i>Outcomes In Spite of Adversity</i></p> <ul style="list-style-type: none"> • Participants with outcomes considered positive • Participants with outcomes considered negative (note: not to blame the victim, but rather explore unavailable, inaccessible or irrelevant services) 	<ul style="list-style-type: none"> • Rationale – variance within same type of population <p>Extrapolate to larger populations</p> <ul style="list-style-type: none"> • Statistical sample <p>Infer causal relations</p> <ul style="list-style-type: none"> • Randomized sample 	
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What are the risk factors under consideration?	What are your questions around protective processes?	What outcomes are you interested in?
<p style="text-align: center;"></p>		
<p>Which group of youth best represents these risks / lives within these risks?</p> <p style="text-align: center;"></p>	<p>Which youth would best be related to these protective processes?</p>	<p style="text-align: center;"></p>
<p>Which group of youth best represents these risks / lives within these risks?</p>		<p>SAMPLE CRITERIA</p>







LEVEL III Choosing Tools

This section, Level III, will guide research teams in defining the data collection methods, the most appropriate tools for the research topic, questions and context, and the appropriate data analysis strategies and support.



3.1 Data collection methods/tools

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	RESILIENCE PROPOSAL
<p>Qualitative methods include individual interviews where participants may be able to share life experiences as narratives; and/or focus group interviews where participants are able to both share narratives in response to interview questions, and comment on the responses of others. Qualitative narratives can also be elicited through the use of cultural artifacts, drawings, photographs, film, music, drama and so forth.</p> <p>Quantitative methods involve use of survey questionnaires and standardized measures that are analyzed using statistical procedures. This approach uses specific, narrow questions to verify research hypotheses.</p> <p>Considering your operational sub-questions, the sample for which data needs to be collected, and the conclusions of your feasibility assessment, what are the best tools and processes with which to conduct your research?</p>			


Measurement Tools	Qualitative	Quantitative	Measurement Tools
	Risk factors Key question Purpose	Risk factors Key question Purpose	
	Protective processes Key question Purpose	Protective processes Key question Purpose	
	Outcomes Key question Purpose	Outcomes Key question Purpose	
			
			
			

Exercise

How does your choice of analysis link back to your research question?

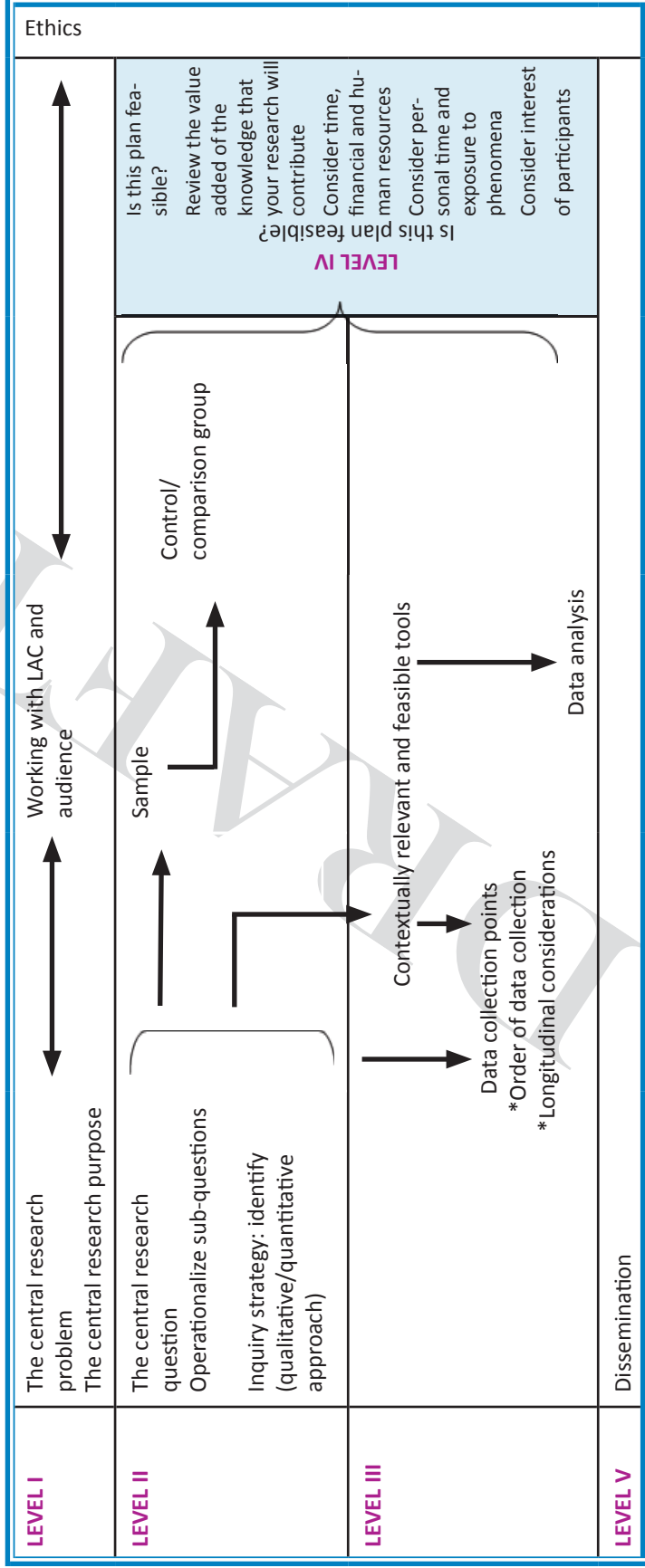
How does this approach satisfy your audience?

How does this approach satisfy your goals or outcomes?

Qualitative Approach		Quantitative Approach	
Method	Purpose	Method	Purpose
<ul style="list-style-type: none"> Case studies Life stories Narrative analysis Rich/dense description Content analysis Thematic analysis Causal diagrams Pattern analysis Grounded theories 	Understand x holistically	Do the categories/ variables exist?	<ul style="list-style-type: none"> Descriptive statistics Counts/Percentages
	Identify the constituency/ essence of [x]	To what extent is the category or variable present?	
	Uncover the relationships between constituencies	Are x and y related?	<ul style="list-style-type: none"> Correlations
		Does x cause y?	<ul style="list-style-type: none"> Regressions
Explanation			
<p><i>Findings</i></p> <p>How will agreement be reached by the team on findings? How will the community be included in this?</p>			
<p><i>Interpretation</i></p> <p>How will data be interpreted? How will the community be included in this? * Using member-checks, e.g. presentations back to community.</p>			

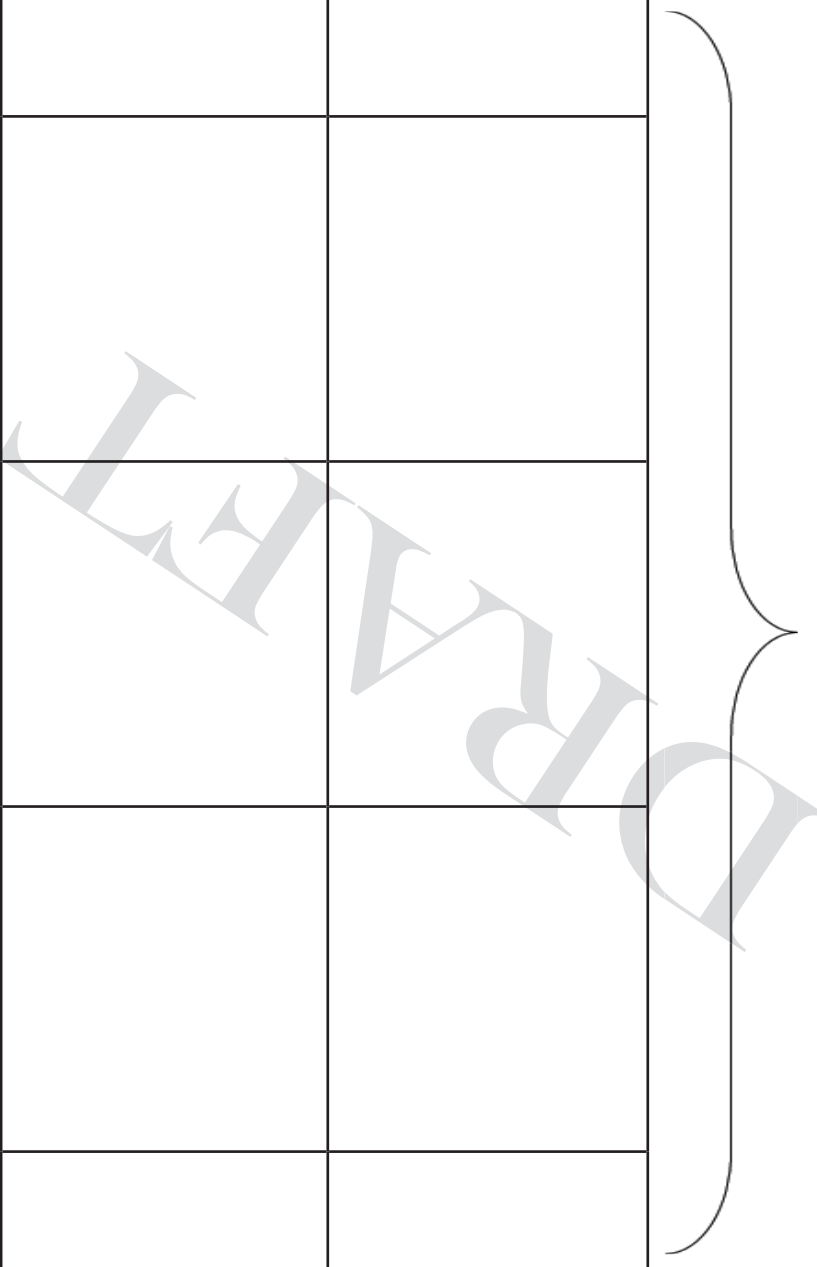
LEVEL IV Feasibility of Your Design

This section, Level III, will guide research teams in defining the data collection methods, the most appropriate tools for the research topic, questions and context, and the appropriate data analysis strategies and support.



4.1 Feasibility assessment

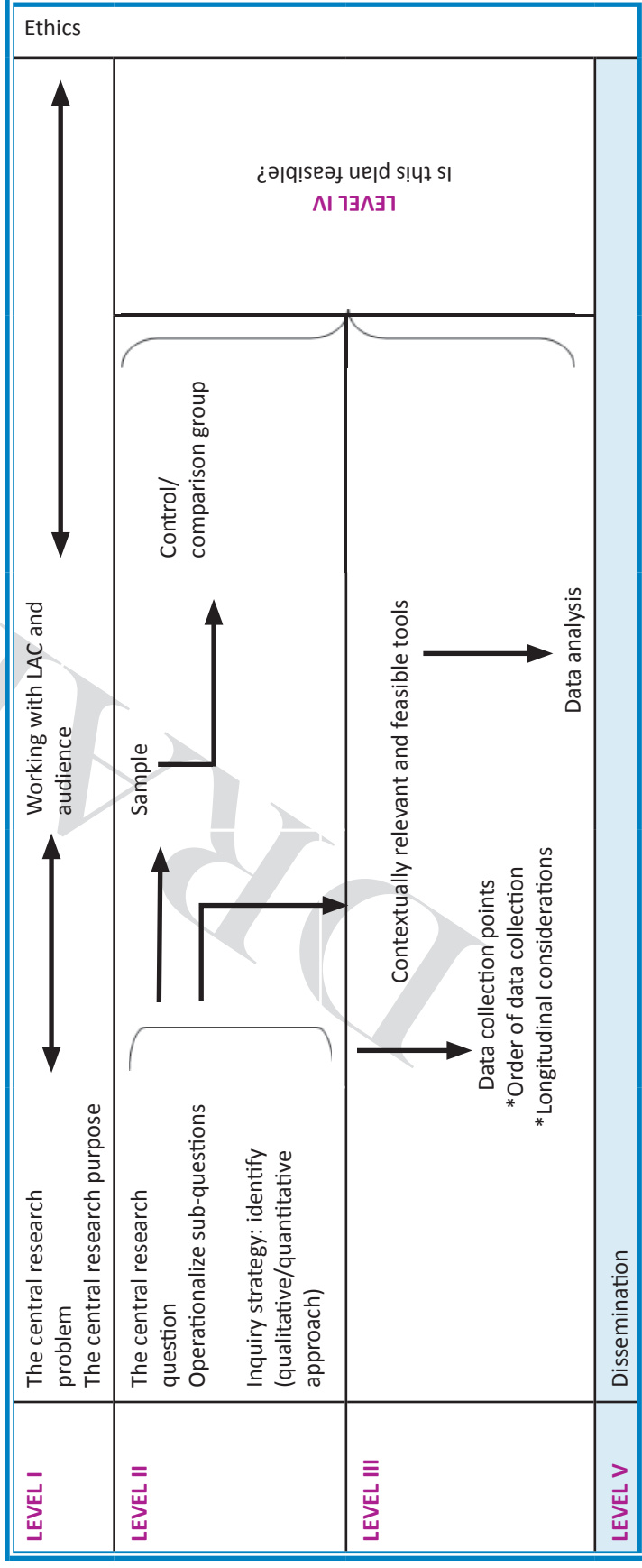
Ethical issues – you gave the community time to collect extensive data, but did not have the resources to process it correctly?

Operational Question	Method	Sample	Inquiry Strategy	Tools
 <p data-bbox="1170 199 1429 1911">Can this be done? What is the feasibility?</p>				

1. Knowledge saturation: What do we already know?	
Do you want to validate?	
Do you want to uncover new information	
Or do you want to take what you know and generalise it to a larger sample.	
2. Operational requirement	
<i>Qualitative</i>	<i>Quantitative</i>
Field time	Field time (administering measures in groups or individually?)
Transcriptions (1 hour → 4-6 hours)	Data capturing
Open coding = 1 hour x # of interviews	Data cleaning (consideration of time and capacity)
After 4/5 interviews → pattern analysis = 1 day x # of interviews	Analysis software availability/cost
Inter-coder discussion (1 day team meeting)	Data analysis (consideration of researcher capacity)
All the above x # of researchers	Data interpretation (consideration researcher and community capacity)
Theory building and relations → 4 weeks x # of researchers	
Linkage patterns	
Fitting categories	
Research agreements/negotiation	
Member checks	
Fancier data adds complexity and time to both field collection and analysis	
3. Level of exposure/interest	
Lived day-to-day experience	
Policy, management of service delivery, expertise	
Outsiders	
4. Access and interest of participants	
This impacts methods of inquiry and sample size	

LEVEL V Dissemination of Findings

This section, Level V, is equally as important as your research design, field work and analysis. It entails disseminating your research findings to your primary audiences. Who your audience is will determine how you present your findings and how you organize your final report. An academic report to be presented to a thesis committee is very different than a report for policy makers, government officials and practitioners. Differences include not only size and the level of detail of methodological aspects, but also how you tell the story of your findings, what level of inferences you make (individual, community, institutional) and the type of recommendations that arise from your study.



Client/funder

- 1. Dissemination for change:
 - a. Policy makers
 - b. Service designers
 - c. Service providers/delivery (social services)

How?
In what form?
When?

Reports

Principles
Indicators

2 page policy notes
3 minute videos

→ What needs to be embedded in the research design to achieve this?

Knowledge Mobilization between minority and majority world: Minority world researchers can focus on methodology and majority world research can focus on methods relevant to their research.

Connect back to the original positioning of the study and audience.

5.1 Dissemination of findings at multiple levels

RESEARCH PROCESS	RESILIENCE THEORY	RESEARCH PROPOSAL	EVALUATION PROPOSAL
<p>Dissemination should target multiple audiences and multiple sectors to truly have an impact. These sectors include:</p> <ul style="list-style-type: none"> • Local communities • Broader communities • Funders • Policy makers • Practitioners, professionals and frontline staff • Academics 	<p>For research findings to truly impact at various levels, it is best to integrate the representatives of the various sectors in the dissemination process:</p> <ul style="list-style-type: none"> • What is the most important message that the community in question would like to take from the research? • In what format would this be most beneficial for the community? • What other forms are best to disseminate findings to the various sectors of the community? 	<p>While details of the dissemination process will be difficult to include at the proposal stage, the plan for integrating various sectors in the process can be set out.</p> <ul style="list-style-type: none"> • Who will be involved? • How? Consultation? Focus group workshops? Participatory Action Approaches? <p>What sectors of community are to be targeted?</p> <ul style="list-style-type: none"> • Policy at community level? • Planning at community level? • Programming at community level? • Frontline professionals? • Parents? • Youth? <p>What needs to be embedded in the research process to achieve this?</p>	<p>In addition to the funders and program itself, there may be a wider audience who would be interested in the results of an evaluation. It is useful at the outset of the evaluation to assess who these groups may be.</p> <ul style="list-style-type: none"> • Policy makers? • Programmers? • Program funders? • Professionals? • The participating communities? • Other communities? • Participants and their families? <p>What would be the best means of disseminating information to these groups?</p> <ul style="list-style-type: none"> • Policy briefs? • Executive summaries? • Practice implications? • Fact sheets? • Videos? • Cartoons? • Dramas? • Radio shows?

Relevant Literature

Resilience Theory

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Charmaz, K. 1990. "Discovering' chronic illness: Using grounded theory". *Social science in Medicine* (30):1161-1172.

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Annex A: Assessment Instruments

Name	Source	Focus
Resilience Component 1: Risk and adversity assessment		
<i>Adolescent Health Attitude and Behavior Survey (AHABS)</i> ¹ http://her.oxfordjournals.org/content/18/4/461.short	Reininger et al.	Measures risk behaviors, attitudes and assets of adolescents
<i>School-Based Violence Prevention Toolkit</i> http://siteresources.worldbank.org/INTLACREGTOPURB-DEV/Resources/840343-1319570618921/5_Disaster_Risk_Reduction_B&N.pdf	World Bank	Documents the experience of risk reduction in the school environment in Central and South America
<i>Conflict Analysis Tools</i> http://www.conflictsensitivity.org/node/81	Conflict Sensitivity Consortium	A selection of conflict analysis tools from international agencies with web links
<i>Guidance Note on Conflict Sensitive Education</i> http://toolkit.ineecms.org/toolkit/INEEcms/uploads/1150/INEE_GN_on_Conflict_Sensitive_Education%5B1%5D.pdf	INEE	Offers strategies for developing and implementing conflict sensitive education programs and policies. Builds upon the INEE Minimum Standards.
<i>Implementation Tools and Conflict Analysis</i> http://toolkit.ineecms.org/toolkit/Toolkit.php?PostID=1151	INEE	A selection of conflict analysis tools from international agencies and research centers with web links
Resilience Component 2: Assets and engagement tools		
<i>Youth and children resilience measures</i> ²	Darlene Kordich Hall	Paper describes 38 tools that assess aspects of resilience, life strengths, hardness and protective/risk factors
<i>Resilience tools critique</i> ³ http://www.biomedcentral.com/content/pdf/1477-7525-9-8.pdf?www.mrc.ac.uk/Ourresearch/ResearchInitiatives/LLHW/index.htm	Windle, Bennet and Noyes	Paper assesses 15 tools that measure resilience

1 Reininger, B., A.E. Evans, S.F. Griffin, R.F. Valois, M.L. Vincent, D. Parra-Medina, D.J. Taylor, and K.J. Zullig. 2003. "Development of a youth survey to measure risk behaviors, attitudes and assets: examining multiple influences". *Health Education Research* 18(4): 461-476.

2 Kordich Hall, D. 2010. "Compendium of Selected Resilience and Related Measures for Children and Youth". In *Reaching IN... Reaching OUT*. Toronto: The Child and Family Partnership.

3 Windle, G., K.M. Bennet, and J. Noyes. 2011. "A Methodological Review of Resilience Measurement Scales". *Health and Quality of Life Outcomes*. 9(8):1-18.

<i>Community Development Tool Kit</i> http://www.esmap.org/sites/esmap.org/files/4132007110851_Esmacomcommunitytoolkit.pdf	World Bank	Outlines 17 tools for the assessment, planning, management and evaluation of community development
Resilience Component 3: Relevant school services tools		
<i>Socioemotional learning of preschool through elementary school measurements</i> ⁴ http://casel.org/publications/compendium-of-sel-assessment-tools/	Denham, Ji and Hamre	Paper assesses 9 tools that measure social and emotional learning, aspects of the learning context and learning behaviors
<i>Collection of socioemotional measurement tools</i> http://casel.org/in-schools/assessment/	Collaborative for Academic, Social and Emotional Learning	List of 15 tools to measure and assess school socioemotional learning practices, school climate, and child and youth needs and outcomes
<i>STEP (Stepping Up More Jobs for Higher Productivity)</i> http://go.worldbank.org/OD2PFCULF0	The World Bank	A conceptual framework for thinking about system design for skills development
Resilience Component 4: Aligned education systems		
<i>Systems Approach for Better Education Results</i> www.worldbank.org/education/saber	The World Bank	Tools for systematically examining the performance of education system domains
Ethics Guidelines and Training Manuals		
Research Ethics Training Curriculum (RETC) http://www.fhi360.org/sites/all/libraries/webpages/fhi-retc2/index.html	FHI 360 ⁴	Online training program to design or implement research that includes human participants, or conduct reviews of the ethical aspects of research.
Protecting Human Research Participants Course English http://phrp.nihtraining.com/users/login.php Spanish http://pphi.nihtraining.com/users/login.php	National Institute of Health Office of Extramural Research	Online training program on protecting research participants offered in English or Spanish.

4 Denham, S., P. Ji, and B. Hamre. 2010. *Compendium of Preschool Social-Emotional Learning and Associated Assessment Measures*. Chicago: The Collaborative for Academic, Social and Emotional Learning.

DRAFT



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