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## EVALUATION

### EDUCATION REFORM IN THE CLASSROOM (REAULA) PROJECT (2009 - 2013)

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## EXECUTIVE SUMMARY

Since 1998, Guatemala has developed an Educational Reform, aiming to improve the quality and equity of preschool, elementary and secondary education in the country. Supporting this long-term challenge, the REAULA Project, designed and implemented by USAID alongside the Department of Education, developed a set of guidelines to support efforts of this ambitious and comprehensive Educational Reform between 2009 and 2013. The main goal of REAULA (Classroom Education Reform Project) is to provide technical assistance to the Ministry of Education for development of policies and strategies, and to build skills at educational institutions in order to improve the efficiency of the Guatemalan education system thereby achieving equal access for everyone to quality education.

In order to meet this goal, project REAULA has organized into two main areas of action:

1. Improvement of educational institutions, training and professional development for teachers – referring to transformation at the system level in order to impact the educational system; 2. Quality Classrooms – referring to pilots of models and policies in select areas of the country in accordance with concrete experience. On the basis of these two components, the Project designed and carried out a set of strategies that are described in the report.

The purpose of this assessment is to understand and assess the processes and results obtained from the educational Project carried out by REAULA, investigating which goals were accomplished and to what extent. Furthermore, we propose recommendations in order to improve future efforts so that the Guatemalan public educational system can be strengthened. The methodological approach of this study was descriptive and evaluative, focusing on the analysis of process and results. The study included the review of documents and data base, and had as its goal to collect the perspectives and assessments of diverse key players involved in the REAULA Project. The evaluation team developed tools that made possible a dialogue regarding the characteristics, qualities and scope of the project, the country's needs in different areas, and future challenges to be faced.

### Main findings

#### 1. Contributions of REAULA

**1.1. General view of REAULA's contribution:** The REAULA team has gained prestige in the country for their contribution to education policies by means of hard work, commitment and the technical quality displayed. REAULA has raised awareness about the importance of educational quality; and has provided technical support to the design and assessment of different education policies and programs. Ministry of Education (MOE) officials, in particular, strongly value REAULA's team expertise, collaborative work and close support. However, various University, NGO and local level MOE staff members point out that the overall project agenda has involved limited debate and participation, and that a larger conversation is required related to the Projects priorities, strategies, and pedagogical approach. Also, some Ex-MOE officials find that REAULA completes tasks that MOE should carry out, at the expense of not strengthening capacity building among MOE members.

**1.2 REAULA'S contribution to the National Human Resource Training System (SINAFORHE):** REAULA has provided valuable technical assistance in order to design regulations and proposals for improving teacher training and professional performance. Also, it has been widely recognized for its positive support and leadership in SINAFORHE bringing together in collaborative work entities

that historically have not dialogued such as the Ministry, the *Magisterio*, the Universidad de San Carlos and private universities.

**1.3. REAULA'S contribution to National Coaching and Accompaniment System (SINAE):** REAULA designed pilot implementation strategies and manuals for the SINAE personnel in two departments. Where the pilots were carried out, there was (and still is) a strong commitment to and enthusiasm about the SINAE model and to putting it into practice. However, the time of implementation was very short (6 to 10 months), and the pilot did not include a plan for sustaining the changes implemented, hence, the continuity and long-term impact of the model is threatened. Additionally, the model requires adjustment according to the available human resources, as MOE did not carry out the pilots with the initially defined number of consultants for coaching schools (only two to three consultants were coaching all schools in each department).

**1.4. REAULA'S contribution to the National Accreditation and Certification System (SINACE):** REAULA provided technical assistance to SINACE, creating a conceptual framework, and certification and accreditation instruments and methods for data analysis. Because of legal restrictions, certification and accreditation is not compulsory, and it is not linked to any kind of incentive or sanction. Hence, REAULA invested in a policy that has little chance of impacting school quality in the country's context; further alternatives must be assessed. In addition, interviewees from Universities and investigation agencies suggest that a larger conversation about the definition of educational quality is required.

**1.5. REAULA'S contribution to textbooks and materials:** The creation of curriculum-aligned textbooks, along with MINEDUC, was a meaningful contribution. The set of books and other texts for school libraries are highly appreciated in order to strengthen children's abilities to read as a daily routine. Yet, interviews of teachers and classroom observations showed that teachers do not always have a clear understanding of the aims and pedagogical uses of the books. Teachers were concerned that they could get torn or worn-out; in fact, in most of the classroom observations books were not accessible to children and they could not take out books from the library.

## **2. Ministry of Education progress in EBI, Early Education and Secondary Education Reform.**

**2.1. Bilingual, Intercultural Education (EBI):** REAULA's proposal highlights the importance of the mother tongue for children and supports the development of an EBI proposal for the country. Nonetheless, interviews and classroom observations evidenced that there are few schools and classrooms where Mayan languages are taught. Some interviewees indicated that REAULA's pedagogical program does not consistently emphasize teaching these languages, for instance in the definition of "Quality Classrooms" poster.

**2.2. Early Childhood Reform:** The main contribution was the technical consultation of the early childhood curriculum's implementation and the definition of the model and its implementation and evaluation. As a result, the implemented Early Childhood Program empowered the educational community, helping parents and guardians understand the importance of educational activity and simultaneously encouraging the entrance of 6 year-old children to primary school. Nonetheless, this is an initial contribution; most interviewees agree that early childhood education is an area of development that ought to be further strengthened, indicating that there are still massive problems in terms of coverage, infrastructure and a shortage of teachers.

**2.3. Secondary Education Reform:** The contributions to the transformations in Secondary Education are associated with the definition of basic life needs, the development and

implementation of an evaluation system, the application of CNB at the secondary school level and the organization of discussions regarding these issues (critical route). Despite the progress defined, secondary education still faces significant challenges such as increasing public coverage, articulating the specialized careers and country's job demands, and improving specialty teacher training.

**3. Evaluation of the process.** Political instability is a problem that puts at risk the Project's continuity from one administration to the next. However, the REAULA team achieved continuity despite the changes in the government and the Ministry. The continuous work with Universities, NGOs, and the Magisterio (Teachers National Assembly) and establishing goals for collaborating work were strategies key to lending stability to the REAULA Project. Also, REAULA's team has taken advantage of working at several levels of MOE and strengthening the skills of work groups that will remain despite changes in the central government.

**4. Local organization model for support of quality classroom.** At the department level, interviewees claim that there is a stronger awareness of and involvement in improving schools and creating high-quality classrooms. Particularly, accompaniment and organization of the Departmental Quality Education Committee has been a significant achievement, which has led to improvement of the planning and organizing of the activities associated with strengthening the quality of education. Also, the Literacy and Leadership training certificate programs (*diplomado*) have been key in training local teams and triggering changes in the daily practices of participants. However, one of the main challenges that remains is the need to strengthen the impact of the project at the school and classroom level. REAULA involves several initiatives (for example, training certificates, SINAIE and the Quality Committee) that need to be tied together in a more strategic way in order to produce the aimed impact at the local level and assure sustainability.

**5. Opportunity Zones:** The strategy, according to certain interviewees, is useful for developing a modality that covers different work areas and involves actors in a focused way. The evaluation of the work has made evident that more time and resources are required, added to collaborative and differentiated work with Municipalities, in order to see the true extent of the Project's impact. Consistent with the lack of time, the project does not have enough information to conclude at this moment which factors lead to either a more or less successful implementation.

## RECOMMENDATIONS

- Increase and add new strategies to **empower the Ministry of Education as the leader** of the education reform. On this matter, it is important that the REAULA team provides technical assistance and training for the Ministry staff, but without supplying staff that perform tasks or bring forth products that are the responsibility of the Ministry.
- Continue with **participative and communicative work** and to move forward with different institutions and stakeholders, as done with SINAFORHE.
- Collect the **"voice" of local authorities**, principals and teachers, in order to understand their visions about school quality and change; identify their concerns and concrete propositions; and therefore work on the basis of a more contextualized, participative and inclusive reform agenda.
- A good, well-operationalized **definition of quality education** needs to be agreed upon and promoted in order to have all reform aspects pointing in the same direction and contributing to the same vision. The poster of "aulas de calidad" is a meaningful first step in this direction, yet further public debate and agreements are required, addressing a holistic and profound understanding of learning and teaching interactions.

- For further implementation of **SINAE**, it is necessary for REAULA to design an adjusted plan according to the available conditions and human resources this model necessitates. Trained current staff can work in this direction; however new professionals must be included in order to provide schools with the technical support required. We also suggest establishing institutional commitments and agreements with MOE that guarantee the conditions for effective implementation, as the number of consultants per school.
- To continue granting scholarships for **certification and postgraduate studies**. The central point is to design a training model that expands over time, impacting whole schools (not only preprimary and first year teachers, individually), and connected meaningfully to other reform initiatives (SINAE, Quality Committees). Additionally, in order to foster change in school classrooms, it is necessary to produce didactical documents together with classroom accompaniment programs. These didactic guides or manuals should be generative in nature and help the teachers to transfer pedagogical understanding to their classroom practices in a reflective way.
- To continue granting scholarships for **certification and postgraduate studies**. Yet, currently only one or two teachers per school have participated, with little impact on the whole school. The central point is to design a training model that expands over time, impacting whole schools (not only preprimary and first year teachers, individually), and connected meaningfully to other reform initiatives (SINAE, Quality Committees). This is another key element for continuing to progress towards reform in the classroom. Additionally, in order to foster change in school classrooms, it is necessary to produce didactical documents together with classroom accompaniment programs. These didactic guides or manuals should be generative in nature and help the teachers to transfer pedagogical understanding to their classroom practices in a reflective way.
- To define different implementation strategies according to the type of **municipality**, because it is clear that the priorities of each authority in this area are not always concordant with the goals of the project and work logistics are also different amongst them.
- To continue the work of **SINAFORHE** and move forward on key matters such as policies in the systems of admission and selection of students (future teachers), teaching career progression (*carrera docente*), teacher evaluation, specialization on secondary-level education, among others.
- To explore non-legal alternatives for giving viability to the **SINACE model** and assure its impact over the educational system; and push legal reforms in order to include higher regulations over educational providers.
- To analyze the progress achieved in the pilot schemes developed for **pre-school education**, which would allow MOE to spread the impact of the program in the community. It would also make possible the identification of positive local practices, which could be applied to other areas, and to identify the best work strategies for the departmental agents.
- Provide technical assistance to MOE for fulfilling a more extensive and profound **reform of secondary education**. This reform should include the creation of a system of Education for Work and Labor-Technical Training, accompanied by alliances with the private sector; connections that will make it possible to meet the needs of the world of production and at the same time strengthen education by way of internships in companies. In this process, REAULA could support articulation between agents.
- Emphasize **EBI** in all documents, textbooks, teacher continuing education, and Schools for Parents; stressing the importance of teaching in the children's native language and in the context of their culture and community. It is especially important to design and offer certificate programs for teaching and learning in Mayan languages where these are children's first language.
- Review, enrich and offer more coherence amongst **theoretical/practical documents** that are created in accordance with EBI and reading-writing skills.
- Maintain and expand **Schools for Parents**. Educating the community and helping them see the value of new practices translates into support for and enrichment of school efforts.

- **Textbooks, books and materials** require further pedagogical suggestions for their productive use in classrooms. The Departmental Quality Committees could be channels for communicating a vision of how to maximize impact of text usage.
- For further projects using **opportunity zones** it is necessary to develop a pilot model that makes replicable the experience in all the country. An experimental testing system, in which the chosen groups could represent the variability and diversity of the country, would allow expanding and replicating the strategies.
- Conduct a **second cycle** of the project for the following years, especially focused on expanding SINAIE model and teacher training required for improving quality at the school level. The building of capacity at intermediate and local sectors of the educational system is a key strategy for supporting institutions to deliver effective practices so that students can indeed reach their fullest potential.

## **RESUMEN EJECUTIVO**

Desde 1998, Guatemala ha desarrollado una reforma educativa, con el objetivo de mejorar la calidad y equidad de la educación preescolar, primaria y secundaria en el país. El Proyecto REAULA, diseñado e implementado por USAID junto con el Departamento de Educación, desarrolla un conjunto de directrices para apoyar los esfuerzos de esta ambiciosa e integral reforma educativa durante 2009 y 2013. El objetivo principal del Proyecto Reforma Educativa en el Aula, REAULA, ha sido el de entregar asistencia técnica al Ministerio de Educación en el desarrollo de políticas y estrategias, y en el fortalecimiento de la capacidad de las instituciones, para mejorar la eficiencia del sistema educativo de Guatemala, y con esto lograr el acceso equitativo a una educación de calidad.

Para alcanzar este objetivo, el proyecto REAULA se ha estructurado en dos grandes campos de acción: i. Fortalecimiento institucional, formación y desarrollo docente -referido a transformaciones a nivel sistémico para lograr impacto en el sistema educativo; ii. Aulas de Calidad -referido a pilotaje de modelos y políticas en zonas seleccionadas del país para adecuarlas a partir de la experiencia concreta. Sobre la base de estos dos componentes del Proyecto una serie de estrategias se han diseñado e implementado las cuales se describen en el informe.

El propósito de esta evaluación es comprender y evaluar los procesos y los resultados obtenidos con el Proyecto REAULA, indagando en el cumplimiento de sus objetivos y en qué medida. Además, se plantearán recomendaciones para el fortalecimiento del sistema de educativo de Guatemala. El enfoque metodológico de este estudio fue descriptivo y evaluativo, incluyó la revisión de documentos y bases de datos, y tenía como objetivo recoger las perspectivas y evaluaciones de los diversos actores involucrados en el Proyecto REAULA. El equipo de evaluación diseñó herramientas que hicieron posible investigar las características, cualidades y alcances del Proyecto, las necesidades del país en diferentes áreas, y los futuros retos que hay que afrontar.

## **Principales Hallazgos**

### **1. Contribuciones de REAULA**

**1.1. Visión general de la contribución de REAULA:** El equipo REAULA ha ganado prestigio en el país por su contribución a las políticas en educación por medio de un trabajo riguroso, comprometido, y de calidad técnica. REAULA ha sensibilizado a diversos actores sobre la relevancia de la calidad de la educación y ha brindado asistencia técnica al diseño y evaluación de los distintos programas y políticas en el área de la educación. En particular, los funcionarios del Ministerio de Educación (MINEDUC) valoran en forma muy positiva la capacidad técnica del equipo REAULA, su trabajo colaborativo y acompañamiento. Sin embargo, varios entrevistados de Universidades, ONGs y funcionarios departamentales del Ministerio de Educación señalan que el Proyecto ha dejado poco espacio para el debate y la participación y que se requiere mayor discusión sobre las prioridades, estrategias y enfoques pedagógicos. Asimismo, algunos ex - funcionarios del Ministerio indican que REAULA lidera y realiza tareas que le competen al MINEDUC, lo que implica que se limita el desarrollo de capacidades entre los funcionarios del Ministerio.

**1.2 Contribución de REAULA al Sistema Nacional de Formación del Recurso Humano Educativo (SINAFORHE):** REAULA ha proporcionado una valiosa asistencia técnica para diseñar regulaciones y propuestas que apuntan a mejorar la capacitación de los profesores y el desempeño

profesional del personal que trabaja en educación. También ha sido ampliamente reconocido por su apoyo positivo y liderazgo en SINAFORHE, aunando entidades que históricamente no tenían relación, tales como el Ministerio, el Magisterio, la Universidad de San Carlos y universidades privadas.

**1.3. – Contribución de REAULA al Sistema Nacional de Acompañamiento Escolar (SINAE):** REAULA diseñó estrategias para la implementación de pilotos y manuales para los funcionarios de SINAE en dos departamentos. En los lugares donde se realizaron los pilotos hay un gran compromiso y entusiasmo en relación al modelo SINAE y su puesta en práctica. Sin embargo, el tiempo de implementación fue muy breve (6 a 10 meses) y el piloto no incluía un plan para sustentar en el tiempo los cambios implementados, por lo cual la continuidad y el impacto a largo plazo del modelo se ven amenazados. Además, el modelo requiere ser ajustado de acuerdo a los recursos humanos disponibles, puesto que el Ministerio de Educación no realizó los pilotos con el número inicial de asesores pedagógicos y de gestión (sólo de dos a tres profesionales fueron contratados para asesorar a todas las escuelas en cada departamento).

**1.4. Contribución de REAULA al Sistema Nacional de Acreditación y Certificación Educativa (SINACE):** REAULA proporcionó asistencia técnica al SINACE, creando un marco de trabajo conceptual, instrumentos de certificación y acreditación, y métodos de análisis de datos. Debido a restricciones legales, la certificación y acreditación no son obligatorias y no conllevan ningún tipo de incentivo o sanción. De este modo, REAULA invirtió en una política que tiene pocas posibilidades de tener un impacto en la calidad educativa dentro del contexto del país, por tanto es necesario evaluar más alternativas. Asimismo, diversos entrevistados de universidades y agencias de investigación sugieren que se requiere una discusión más extensa sobre la definición de la calidad en la educación.

**1.5. Contribución de REAULA a los libros de textos y materiales:** Una contribución muy positiva fue la creación de libros de texto que siguieran los lineamientos del currículum, junto con el MINEDUC. El conjunto de libros y otros textos para las bibliotecas escolares son muy valorados para fortalecer las habilidades lectura de los niños y niñas como parte de la rutina diaria. No obstante, las entrevistas con los profesores y observaciones en sala revelaron que los docentes no siempre entienden con claridad los objetivos y usos pedagógicos de los libros. Los profesores estaban preocupados de que los libros no se dañaran; de hecho, en la mayoría de las observaciones en sala de clases se constató que los niños no tenían acceso a los libros y no podían sacarlos de la biblioteca.

## **2. Progreso del ministerio de Educación en Educación Bilingüe Intercultural (EBI), Reforma Educativa en la Educación pre-escolar y secundaria.**

**2.1. Educación Bilingüe Intercultural (EBI):** La propuesta de REAULA destaca la importancia de la lengua nativa de los niños y apoya el desarrollo de una propuesta en EBI para el país. Sin embargo, en las entrevistas y observaciones a salas de clases se evidenció que hay pocas escuelas donde se enseñen los idiomas Mayas. Algunos entrevistados señalaron que el programa pedagógico de REAULA no enfatiza en forma consistente la enseñanza de estos idiomas; por ejemplo la EBI no estaba incluida en la definición de los pósteres de “Aulas de Calidad”.

**2.2. Reforma en la Educación Pre-escolar.** Las principales contribuciones en esta materia son las consultas técnicas del currículum pre-escolar, junto con la definición del Programa, su implementación y evaluación. Gracias a la ejecución del Programa se logró avanzar en el empoderamiento de la comunidad educativa, que ayuda a los padres y apoderados a entender la importancia de la actividad educacional y al mismo tiempo promueve el ingreso de niños de 6 años

a la educación primaria. Esta es una contribución inicial, sin embargo, la mayoría de los entrevistados coincide en que la educación pre- primaria es un área que es necesario fortalecer más, y señalan que aún hay grandes problemas en términos de cobertura, infraestructura y escasez de docentes.

**2.3. Reforma en la Educación secundaria.** Las contribuciones a las transformaciones a la Educación Secundaria se asocian con la definición de las necesidades básicas de la vida, el desarrollo e implementación de un sistema de evaluación, la aplicación de CNB al nivel de educación secundaria y la organización de discusiones en relación a estos temas (ruta crítica). A pesar del progreso establecido, la educación secundaria aún presenta desafíos importantes, tales como aumentar la cobertura pública, y vincular carreras especializadas con las necesidades del mercado laboral del país, mediante la capacitación de docentes en especialidades técnicas.

**3. Evaluación del proceso.** La inestabilidad política fue un problema que puso en riesgo la continuidad del Proyecto de un gobierno a otro. Sin embargo, el equipo REAULA logró mantener la continuidad a pesar de los cambios de gobierno y de Ministerio. El trabajo continuo con universidades, ONGs y el Magisterio junto con el establecimiento de metas para el trabajo colaborativo, fueron estrategias clave para darle estabilidad al Proyecto REAULA. Además, el equipo REAULA supo aprovechar el hecho de trabajar en diferentes niveles del MINEDUC y fortaleció las habilidades de los grupos de trabajo que permanecen a pesar de los cambios en el gobierno central.

**4. Modelo de organización local para apoyar las aulas de calidad.** Al nivel de departamento, los entrevistados indican que hay mayor conciencia y participación para mejorar las escuelas y la calidad de las aulas. En particular, el acompañamiento y la organización del Comité de Calidad Educativa Departamental ha sido un logro muy significativo, que ha llevado a mejorar la planificación y organización de actividades asociadas al fortalecimiento de la calidad de la educación. Además, los Diplomados de Lectoescritura y Liderazgo han sido claves para la capacitación de equipos locales y también para producir cambios en las prácticas cotidianas de los participantes. No obstante, uno de los principales desafíos pendientes es la necesidad de fortalecer el impacto del proyecto a nivel de la escuela y aulas. REAULA incluye diversas iniciativas como por ejemplos diplomados, SINAIE, Comité de Calidad, que necesitan vincularse de modo más estratégico para producir el impacto esperado a nivel local y asegurar su sustentabilidad.

**5. Zonas de Oportunidad:** De acuerdo a algunos entrevistados, la estrategia es útil para desarrollar una modalidad que cubra diferentes áreas de trabajo e involucre a los actores de forma organizada y enfocada. La evaluación del trabajo ha revelado que se requieren más recursos y más tiempo para ver el alcance real del impacto del proyecto; además de un trabajo en conjunto y diferenciado con los Municipios. Coincidentemente con la falta de tiempo, el proyecto no cuenta con suficiente información como para concluir en este momento cuáles son los factores que contribuyen más o menos a la implementación exitosa del mismo.

## RECOMENDACIONES

- Aumentar y agregar nuevas estrategias para **empoderar al Ministerio de Educación como el líder** de la reforma educacional. En este aspecto, es importante que el equipo de REAULA brinde asistencia técnica y entregue capacitación para el personal del Ministerio, pero sin proporcionar personal que realice tareas o cree productos que son de responsabilidad del Ministerio.
- Continuar con un **trabajo participativo y comunicativo** y avanzar con diferentes instituciones y actores, como se realizó con el SINAFORHE.

- Recopilar la “**voz**” de las **autoridades locales**, directores y profesores, para entender sus visiones sobre la calidad escolar y los cambios, identificar los temas que les preocupan y concretar proposiciones de modo de trabajar sobre la base de una agenda de reforma más contextualizada, participativa e inclusiva.
- Se necesita convenir una comprensión de **educación de calidad** integral y bien operacionalizado para que todos los aspectos de la reforma apunten en la misma dirección y contribuyan a la misma visión. El póster “aulas de calidad” es un primer paso significativo en esa dirección, pero se requiere más debate público y acuerdos, que aborden un entendimiento holístico y profundo de la interacción entre la enseñanza y el aprendizaje.
- Para seguir con la implementación del **SINAE**, es necesario que REAULA diseñe un plan ajustado de acuerdo a las condiciones y recursos humanos disponibles con los que cuenta el modelo. El personal capacitado puede trabajar en esa dirección; no obstante, se deben incluir nuevos profesionales para proveer a las escuelas del apoyo técnico requerido. También se sugiere establecer compromisos y acuerdos institucionales con el Ministerio de Educación que garanticen las condiciones para la implementación efectiva, como por ejemplo, el número de asesores por escuela.
- Continuar otorgando becas para **estudio de diplomados y postgrados**. El punto principal es diseñar un modelo de capacitación que se extienda en el tiempo y que impacte a toda la escuela (no sólo docentes de educación pre-primaria y de primer año, en forma individual) y articular esto con otras iniciativas de reforma (SINAE, Comités de Calidad). Asimismo, para favorecer el cambio en las escuelas, se requiere producir documentos didácticos, junto con programas de acompañamiento docente. Estas guías didácticas o manuales deben ser de naturaleza generativa y ayudar a los docentes a transferir la comprensión pedagógica a sus prácticas en el aula de modo reflexivo.
- Definir estrategias de implementación diferentes de acuerdo al tipo de **municipalidad**, ya que es evidente que las prioridades de cada autoridad en esta área no siempre coinciden con las metas del proyecto y la logística de trabajo también es diferente entre ellas.
- Continuar el trabajo con el **SINAFORHE** y avanzar en asuntos clave como son las políticas en los sistemas de admisión y selección de estudiantes (futuros profesores), carrera docente, evaluación docente, especialización a nivel de educación secundaria, entre otros.
- Analizar opciones non-legales para darle viabilidad al modelo **SINACE** y generar impacto en el sistema educativo, y a su vez impulsar un debate sobre posibles reformas legales que aseguren mayor regulación de los proveedores educativos y la calidad educativa que ofertan.
- Analizar el progreso obtenido en los esquemas piloto desarrollados para la **educación pre-primaria**, que permitirán que el Ministerio de Educación propague el impacto del programa en la comunidad. Esto también hará posible identificar las prácticas locales positivas, que se podrían aplicar a otras áreas e identificar las mejores estrategias de trabajo para los agentes departamentales.
- Proporcionar asistencia técnica al Ministerio para lograr una reforma más extensa y profunda en la **educación secundaria**. Esta reforma debe incluir la creación de un sistema de Educación para el Trabajo y de Capacitación Técnico Laboral, en conjunto con alianzas con el sector privado; conexiones que harán posible suplir las necesidades del mundo productivo y al mismo tiempo fortalecer la educación mediante pasantías en las empresas. En este proceso, REAULA podría apoyar la articulación entre los agentes.
- Dar énfasis a la **EBI** en los documentos, textos escolares, educación continua de profesores, y escuela para padres, destacando la importancia de la enseñanza en la lengua nativa de los niños y niñas y dentro del contexto de su comunidad y cultura. Es de especial importancia diseñar y ofrecer programas de certificación de enseñanza y aprendizaje en lenguas mayas, donde éstas son el idioma materno de los niños y niñas.
- Revisar, enriquecer y ofrecer más coherencia entre los documentos teórico/prácticos que se crean, de acuerdo a la EBI y las habilidades de lecto-escritura.

- Mantener y expandir las **Escuelas para Padres**. Educar a la comunidad y ayudarlos a ver el valor de las nuevas prácticas se traduce en el apoyo y enriquecimiento de los esfuerzos de las escuelas.
- **Los libros de texto, libros y materiales** necesitan tener más sugerencias pedagógicas para su uso en clases de forma productiva. Los comités de Calidad de educación departamental pueden ser un canal para comunicar la visión respecto a cómo maximizar el impacto de los textos cuando estos se empleen.
- Para realizar más proyectos usando las **zonas de oportunidad** es necesario desarrollar un modelo piloto que haga que la experiencia sea replicable en todo el país. Un sistema experimental de prueba, en los que los grupos elegidos puedan representar la variabilidad y diversidad del país podría permitir expandir y replicar tales estrategias.
- Se requiere dirigir un **segundo ciclo** del proyecto para los años siguientes, centrado especialmente en expandir el modelo SINAIE y la capacitación docente, con el objetivo de mejorar la calidad a nivel de las escuelas. El desarrollo de capacidades en los sectores locales e intermedios es una estrategia clave para apoyar a las instituciones, de modo que puedan generar prácticas efectivas que hagan que los estudiantes alcancen su máximo potencial.

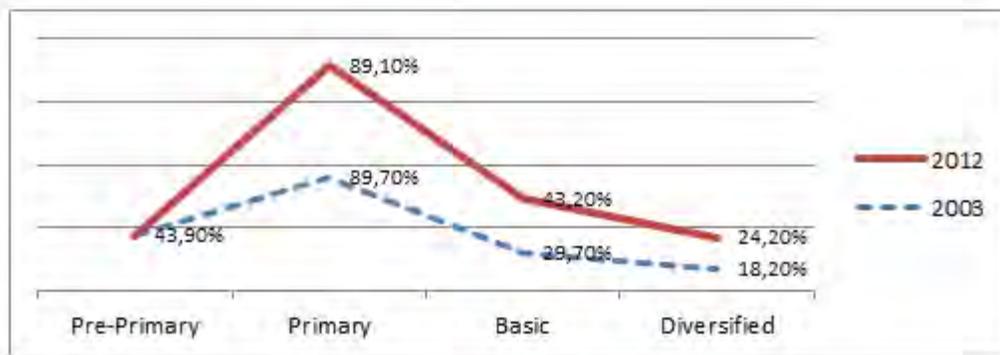
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## I. CONTEXTUAL FEATURES

According to the figures of the 2011 Human Development Index, Guatemala ranks in the 131th position out of 187 assessed countries. In that same year the average number of schooling years in Latin America was 7.78 while in Guatemala it only reached 4.14. It must be noted, however, that the country has increased (2005-2011) the years children spend in school by 0.5 years.

Because of this situation, during the last fifteen years governments have carried out efforts to increase school enrollment which impact a large number of Guatemalan children and young people who now remain out of the school system. Significant progress has been made in this transition, especially in terms of primary and secondary education enrollment (basic cycle).



Source: MINEDUC

The data reflects this progress in student enrollment. However, they also reveal important differences within education cycles. It can be observed that the country has extensive enrollment in primary education, yet the pre-primary and secondary-basic cycles numbers show that half of the population is not enrolled. In the case of secondary-diversified education, the numbers are even more critical. It is important to specify that the data provided by UNESCO show that the gross enrolment rate for tertiary (university) education is 18% (2011).

Along with increased enrollment, the number of both schools and students increased. This created the need to guarantee the efficiency of the processes, i.e. the fulfillment of related goals, and assurance of expected learning outcomes. Alongside this concern, interest in pre-primary education increased due to the impact a good pre-school education has on the future learning outcomes of children. This attention sought to build the basis for the development of the country and the paths chosen, alongside expectations for the future quality of life of children and young people.

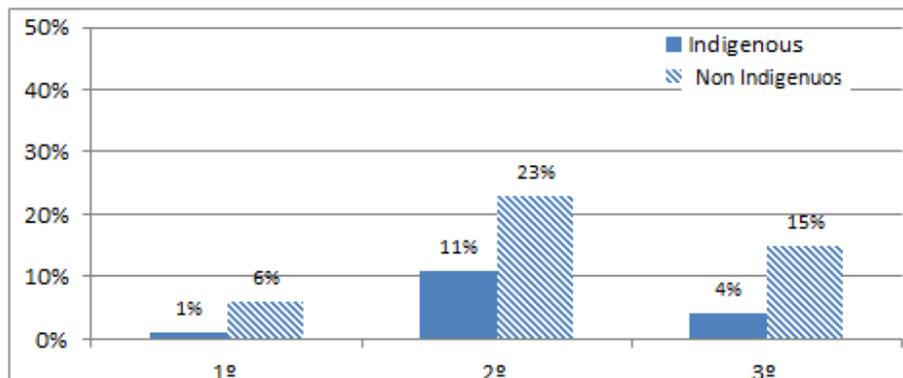
In terms of equity, as presented on the following website, the indicators reveal important differences according to the place or geographic area, ethnicity, and level of poverty.

School Rate (2006)	Urban	Rural	Indigenous	Non - Indigenous	Extreme Poor	Poor Not Extreme	Not Poor
	80.8	63.6	62.9	74.5	51	66.1	82.1

Source: Equity in Education in Guatemala. 2006

<http://siteresources.worldbank.org/GUATEMALAINSPANISHEXT/Resources/5007961166830633691/6.EmilioPorta.pdf>

In the same vein, and as an example, a recent test applied to first to third grade students on the Jalapa and Quiché departments reveals that the results in terms of quality are not satisfactory for the general population, but in addition showed that there are differences between boys and girls of indigenous and ladino ethnicities.



Source: REAULA: Study "Reading performance of children in first, second and third degree". 2012

### ***Educational Reform and USAIDs Response***

Following the context and problematic, since 1998 Guatemala has developed an Educational Reform, aiming to improve the quality and equity of preschool, elementary and secondary education in the country. Supporting this long-term challenge, the REAULA Project, designed and implemented by USAID alongside the Department of Education, develops a set of guidelines to support efforts of this ambitious and comprehensive Educational Reform during 2009 and 2013.

The main goal of REAULA (Classroom Education Reform Project) is to provide technical assistance to the Ministry of Education for development of policies and strategies, and to build skills at educational institutions in order to improve the efficiency of the Guatemalan education system thereby achieving equal access for everyone to quality education.

In order to meet this goal, project REAULA has organized into two main action areas:

1. Improvement of educational institutions, training and professional development for teachers – referring to transformation at the system level in order to impact the educational system;
2. Quality Classrooms – referring to pilots of models and policies in select areas of the country in accordance with concrete experience.

In the first action area, REAULA proposed working on two components: a) Institutional Improvement and b) Professional Development of human resources. For each of these, different specific goals were set with different steps to take toward their completion. For component a) REAULA has proposed a goal of contributing more institutional training to MOE - its main directors and officials - for the design, planning, implementation, delivery and quality assessment of classroom education. To this end, they have carried out plans to lend support to the updating and defining of a model of quality education, have contributed technical assistance to Ministry of Education (MOE) for the development of an internal communication strategy at all levels and created awareness at a local level about quality education. Additionally, they have worked with MOE in creating a communication, socialization and literacy awareness strategy with the parents in

“Opportunity Zones”, and in furthering quality classroom education by way of a variety of strategies (audiovisual, radio, physical presence, posters, etc.).

With relation to component b), REAULA has set a goal of contributing technical assistance for the SINAFORHE (National Human Resource Training System) strategy in order to achieve a negotiated and implemented reform system for human resources in education, and designing pilot implementation strategies and manuals for the SINAE (National Coaching and Accompaniment System) district personnel. They have also collaborated technically in the creation of higher education teacher training programs – degrees such as Masters, Specialties and Certificate Programs (diplomado)– in conjunction with MOE and through the creation of alliances with a variety of universities (Universidad del Valle, Universidad de San Carlos de Guatemala (USAC), Escuela de Formación de Profesores de Enseñanza Media (EFPEM), Panamericana, Rafael Landívar) and other cooperative agencies, as Agencia de Cooperación Internacional Alemana Gesellschaft für Internationale Zusammenarbeit (GIZ), and Agencia de Cooperación Internacional de Japón (JICA). The REAULA project itself has economically supported training by way of Frank Fairchild scholarships for Masters in Educational Leadership and Management. The project has also favored the creation of a University Consortium made up of the Universidad del Valle de Guatemala (UVG), Universidad de San Carlos (USAC), Universidad Panamericana (UPANA) and Universidad Rafael Landívar (URL), through which it has been possible to research, propose and socialize curriculum models for the training of secondary schools and college educators.

In a second action area, the REAULA project has worked in two areas: c) learning goals, life skills, curriculum, materials and assessment in order to acquire efficiency in the areas of Communication and Language in mother tongue (as first language, L1) and Communication and Language, Spanish as a second language (L2) and effective learning by students; and d) Learning Opportunities for which goals and action items have been defined.

With regards to component c), the project has set a goal of proposing and establishing national policies and models with which to provide standards frameworks and references for the development of curriculum materials, programs which implement the new national curriculum and learning assessment efforts. To achieve this, they have done things like support the development of an early-childhood and pre-primary education models and researched the basic level and diversification of secondary education and career studies. Furthermore, by way of technical assistance to MOE members and technical personnel from the Departmental Boards, master teachers, and the Specialists Committee and Editorial Committee in charge of the design and development of teacher texts and guides for the series “We Live in Harmony”, they have supported the creation and use of educational texts and materials for teachers and students – big books, flip chart books (*rotafolios*) and best practice manuals from EBI. Also, they have prompted the creation of a National Textbook and Educational Materials Policy, supporting MOE in the polishing of action steps for the development, publishing and alignment of the national curriculum; technical assistance and in-classroom validation of educational materials in Spanish and the main Mayan languages. Additionally, they have worked to develop a work plan (*ruta crítica*) to implement bilingual, intercultural education that serves as a base for creating action items over the coming years. Finally, they have supported MOE in the creation of proposals for a literacy model for native Mayan languages.

For the framework of component d), REAULA has proposed to improve learning opportunities in specific municipalities known as Opportunity Zones. In order to achieve this, they have developed a series of steps for the municipalities of Jalapa, Chiquimula, Quiché, Totonicapán and San Marcos. These actions are focused on involving the municipalities and the local educational department in

delivering educational services. Through the cooperation of these institutions the specific training of some local quality education management groups, and the coordination of service efforts, they have moved along municipal level quality-education planning. This has led to the development of municipal environments conducive to literacy, baseline and post-baseline studies, procedures for delivering results to departmental education authorities, CTA, and local directors in order that they become aware of pending challenges. Finally, they have worked with members of the municipality to strengthen strategic information management skills for the use of an integrated social information strategy (PSI) and the development of municipal education plans.

## II. PURPOSE OF EVALUATION

The purpose of this assessment is to analyze the performance of the REAULA Program carried out by USAID in Guatemala. The key questions that lead the study are:

1) How did REAULA contribute to the development and implementation of the following systems and policies:

- *Sistema Nacional de Formación del Recurso Humano en Educación- (SINAFORHE)*
- *Sistema Nacional de Acompañamiento Educativo- (SINAE)*
- *Sistema Nacional de Acreditación y Certificación- (SINACE)*
- Textbooks and Educational Material Policy?

2) To what extent has the MOE adopted the reforms related to IBE Model, Initial and Pre-primary Education, and Secondary Education? What are the underlying challenges that prevent the full adoption of these reforms?

3) How did the project adapt to a changing political landscape to accomplish its goals? Were there missed opportunities?

4) To what extent did the inclusion of local structures (municipalities, MOE's supervisors, local professional staff, local development councils, and parents' boards) contribute to the implementation of the Quality Classrooms Model? What are the lessons learned for the bottom-up approach?

5) What opportunity zone characteristics most enabled successful project

Our assessment of process and product accomplishments was based on the goals proposed by the Project. Additionally, their appropriateness for the educational needs of the country was evaluated. Furthermore, the study also presents a deep analysis of key aspects associated with the internal management of the Project, especially those related to capacity to insure the achievement of the expected results in each of its components. In addition, we provide specific recommendations for strengthening and deepening the redesign of the program.

It is worth mentioning that the perspective we bring to this assessment is one that seeks to contribute key ideas that can assist future decision-making in relation to the continuity of this program or other programs of this type. In that regard, we approach the evaluation as a process that is close to conclusion to -based on extant and newly collected evidence-, make possible to describe and characterize the progress, its achievements and quality as illustrative of processes of change from which multiple lessons can be derived. These lessons should prove important for future design and implementation of Education policies and strategies in Guatemala.

### Overall Objective

To deeply understand and assess the processes and results obtained from the educational program carried out by REAULA, investigating which goals were accomplished and to what extent. We will

furthermore propose recommendations in order to improve in the future so that the Guatemalan public educational system can be strengthened.

### **Specific Objectives**

1. Assess the performance, processes, and results obtained by the project REAULA to date.
2. Provide recommendations, based on the results and conclusions of the assessment, to be included on the design of future projects in the Guatemalan education area.
3. Identify USAID strategic support areas on the education area in Guatemala.

## **III. RESEARCH DESIGN AND ASSESSMENT METHODOLOGY**

To attain the aforementioned goals, the methodological approach of this study is both descriptive and evaluative, focusing on the analysis of process and results. This methodological strategy integrates techniques and procedures that are quantitative and qualitative, and pay special attention to the diverse context in which the Project is being implemented. Three reasons guided our decision to apply this mixed methods approach:

- First, in general terms, the descriptive research purposes are diverse. Such purposes must be undertaken under the most exacting conditions. The multiplicity and variety of conditions entails the use of a range of methods.
- Second, if used for with the same purpose in mind, and in coherent ways, these two approaches can reinforce each other to provide impressions that neither of the methods could yield on their own. Finally, as quantitative and qualitative methods usually have different biases, it is possible to apply each of them to submit the other to verification through the respective triangulations developed by the researchers.

Given the characteristics of the study, the design was based on different research principles, which aim to assess and understand the results of the implementation of USAID/REAULA. The proposed process included the following phases:

- a) The **First phase** focused on a thorough review of documents and data base (see appendice n°1). From this analysis, project implementation data was analyzed, along with features of the progress and transformation of the educational indicators.

It should be noted that the initial design looked analysis of different databases that includes: outcomes of learning achievement of students participating in initiatives developed by REAULA, contextual and educational data coverage and progress of actions related to teacher training. Given that these indicators had already been processed and systematized by the project, we analyzed those documents and incorporate the information into the analysis of each component. This decision was consulted and agreed in advance with the technical counterpart.

- b) The **Second phase** had as its goal to assess perspectives and assessments of diverse people involved in the REAULA Program. For the development of these components we developed tools that made possible a dialogue on the characteristics, qualities and scope of the Project, the country's needs in different areas, and future challenges to be faced. We tried to understand accomplishments and perceptions of participants in the Project from all sides involved.

Prior to starting fieldwork, we established a preliminary list of institutions and organizations (public, private and educational institutions) possible to be interviewed, which was developed taking into account the links established by the program during execution REAULA. This list was reviewed by the technical counterpart, which from that first definition, developed a detailed list and names and institutions needed to be contacted. They were contacted via email and about ten days was possible to arrange a get-together with each of them. The number of people who could not be reached, that is, who did not respond to the request was small. Almost all of the contacts were interviewed during the first visit of the evaluation team. Given the large

number of interviews and the complexities of several interviewees agenda, it was decided, in some cases group interviews in character, to effectively manage the agendas of some respondents , such is the case of the heads of the ministerial departments and some actors linked to campus. The criteria for defining the group interviews, was defined by the type of links established with the program. The remaining interviews were coordinated for the second visit, to finally, interview the 90 % of people planned

Fieldwork consisted of individual and group interviews; all selected interviewees were convened by the evaluation team coordination and in the technical counterpart. We interviewed about 50 people during the month of June in the year 2013 (see appendice n°2 for list of interviews). Each of the activities was guided by a core team investigator, who later on supported the analysis of information.

For purposes of analysis, all material collected was recorded and transcribed. Then, through a process of reading and re-reading the material, we built a matrix that organized information, which in a second stage of analysis allowed us to identify the units of meaning, an exercise that was designed to characterize the dominant discourse. Through this process we developed a synthesis of the findings, which describes the results of field analysis.

According to this aspect of in-depth qualitative methodology, each of the key dimensions of the study was addressed, starting from a relatively fixed list of questions. The dimensions referenced to: the dynamics in the Project organization, practices, achievement of goals, as well as the participants' perception of the management, implementation, limitations and strengths of the model, and possible future adjustments that will strengthen both the ongoing design and results.

c) The **third phase** was focused on the collection of other data that allowed developing deeper knowledge in other areas such as:

- ✓ The understanding of the persons regarding the pedagogical, linguistic and cultural aspects of the tools and processes proposed by the project (educational material, evaluations, communication strategies, etc)
- ✓ The consistency of the proposed system and the professional needs, from the teaching staff perspective.
- ✓ The perception of the awareness campaigns developed by the project on different levels.

This phase of the study was developed in educational institutions considering as source: teaching staff, students, and parents. The principal strategy used was interviews and focus group, techniques that allowed knowing the practices and perceptions of educational practitioners through a conversation. In terms of the operative development to guarantee an appropriate dynamic aiming to a better approach and triangulation, each of the interviews was conducted by a professional experienced on work field. In addition, to understand the pedagogical dynamics in which the assessment is based, we carried out a classroom observation on some of the visited schools: 5 classrooms in 2 municipalities in Jalapa, 3 classrooms in Totonicapán and 4 classrooms in Quiché (see appendice n°3 for school names).

The initial list of educational institutions was developed by the team REAULA and USAID, selection that was subsequently worked directly with departmental teams. The criteria considered: establishments that had been part of some of the project's initiatives, schools that met the characteristics of urbanity / rurality and localities that present suitable conditions for the execution of the activities planned for fieldwork.

d) Finally, the **Fourth Phase** consists of the integrated analysis of the material collected on the previous phases as well as the formulation of conclusive hypothesis destined to meet the research

objectives. On this phase, the team responsible for the study carried out a cross reading of the main results obtained through the investigation process. This iterative analysis put particular attention to the development of an analytical exercise to assess the performance and results obtained by the REAULA project to date, as well as provide technical recommendations based on the results and conclusions of the assessment, and identify USAID strategic support areas on the education area in Guatemala.

In operational terms we can say that the fieldwork could be done in the proposed timeframe, being able to interview many of the people considered preliminary. Additionally, it should be noted that the material provided by REAULA was provided quickly and efficiently.

In terms of weaknesses we can indicate that the execution time of the study was reduced, limiting the possibility of deepening certain themes that emerged as relevant in the inquiry. Moreover, the difficulties of access to remote rural educational institutions, did not allow a depth account in these areas.

## IV. FINDINGS AND CONCLUSIONS

### 1. CONTRIBUTIONS OF REAULA

#### 1.1. HOW REAULA'S INTERVENTION IS VIEWED

##### Achievements and Positive Results

**Establishing a quality agenda:** REAULA has raised awareness about the importance of educational quality in teacher training among people from different institutions such as government officials, politicians, labor unions, the private sector and other cooperation agencies. More notably, in spite of multiple changes in government and ministers, REAULA has given continuity to educational projects, assisting in the country's establishment of priorities and their institutionalization.

*"[REAULA] evolves independently from the changes in the Ministry. It has adapted to those changes."*  
(Government employee, central level, Ministry of Education)

**"They are leaders within the educational field":** The REAULA team has gained prestige in the country for their contribution to education policies by means of hard work, commitment and the technical quality displayed.

**Technical Assistance provided to the Ministry:** The interviewees from the Ministry of Education (MOE) highlighted one particular aspect of the REAULA team: their expertise and support to the design and assessment of different education policies and programs. The REAULA team has trained and advised the Ministry employees in different areas, such as reading, curriculum, standards and preparation of textbooks. This is truly appreciated, as a Ministry employee, central level, explains:

*"The truth is that the Ministry values the international cooperation, as it is very important. I have received support and expertise, which is what REAULA has basically provided. It is a professional assistance in ... the preparation and revision of textbooks, the training of staff..."*

**Ability to summon different stakeholders:** The interviewees appreciated the ability of the REAULA team to gather and bring together different stakeholders and institutions, such as the *Magisterio* (Teacher National Assembly), Universities, NGOs and the private sector, in order to get them involved with the quality in education, coming to important agreements at the national level.

*“(USAID) has positioned itself, it has a voice. That’s why they can go, negotiate, coordinate, they have the capacity to work with the Ministry and politicians from different sectors so they can be included or take part on the decision making process directly” (University professor).*

**International cooperation style.** The REAULA team emphasizes that the work style differs from traditional cooperation in which one is told “what has to be done”. Consultants come from without, but the solutions come from within. They also value the fact that an agreement was reached amongst the main players regarding the country’s needs and the “path to take”. International cooperation, from REAULA’s team point of view, is understood that this path needs to be supported, such cooperation has “come on board” and has not imposed; in the words of a REAULA team members,

*“(…) it is not the typical international assistance model where an expert shows up for 10 days, presents something amazing and leaves. In this case rather, the person is part of the process and accompanies the process over several years. Then, relationships based on trust are developed, a relationship of support, and when it’s done right, the people from the Ministry pick up the phone or they send an email, and there’s a more direct exchange.” (Director, REAULA).*

*“(…) And we are very respectful of how far we can take things, although we are not always completely in agreement or we want to do things differently, we respect their structures and their decisions, because they are the ones who make the decisions” (REAULA team member).*

Along the same line, the consulting process and the development of abilities have been accomplished through continuous support as part of a long-term process. Most of all, the respect and ability to work as a team is valued, as is the ability to coordinate and communicate fluently to guide the work planning process. In this regard, the emphasis given to the ongoing meetings and the willingness to engage in dialogue are appreciated. This allows for more consistent and articulated work, based on closed relationships, trust and direct communication so that the professional support runs its course and so that the different parties are open to acceptance.

### **Lack of Progress and Pending Challenges**

The interviewees, especially the ones from the Ministry and Magisterio, mentioned that REAULA has contributed with technical support and has allowed the establishment of abilities within the institution. However, there are mixed points of view. Various ex-Ministry officials mentioned that, while they mostly appreciate REAULA’s technical assistance, they also feel that REAULA usually completes tasks that MOE should carry out, at the expense of strengthening skill-building among MOE members. The production of textbooks, SINAE standards and national evaluations tests are examples of tasks that although may be developed together with MOE, it is through that MOE officials should carry out a stronger leadership in these tasks. As an ex-Ministry official comments, *“USAID is three steps ahead of the Ministry, this might be good, but it’s also bad because they have everything done already” (Ex-member of the Ministry of Education).*

In addition, various interviewees from local governments, universities and the private sector criticized the lack of debate and discussion of the Project. In some cases, they recognize efforts from REAULA to involve people from the Ministry, professionals from MOE and from NGOs, like in SINAFORHE. But, it is expressed that REAULA team has not always been able to respect the time required to transform the participation into results.

*“It’s a pity they’re trying to do a reform in the classroom without social participation, for me that is moving towards failure (...) they haven’t been open to suggestions based on social consensus”.*  
(Member of an NGO)

Moreover, members of NGOs and Universities criticize that they have had little possibilities of real participation in the definition of the Project, its respective programs and theoretical approach. For example, one academic talked about this situation with regards to the diplomas and the definition of the teaching approach to reading and writing, and s/he said the following:

*“During the second stage, a pre-primary expert did a specific project with this focus. It had nothing to do with the constructivism required by the national curriculum; this work centered on counting words. The assessment based on the curriculum for example, asked that nonsensical syllables be decoded such as por, ps, ar, ur. These had nothing to do with real learning and even less to do with the K’iche language. So, I think that it is worth mentioning because it is one of the areas for which no agreement through negotiation was achieved. They [USAID/REAULA] just said they were responsible for the project”* (University Academic).

At a local level, the assessments are similar. In the interviews to the stakeholders from the departments and from the visited schools, the low level of participation at a base level, the lack of consultation about several topics, especially the need for teacher training, training modalities, most requested teaching materials, among others things, are a common denominator.

*“I believe they don’t consider us that much, because USAID is an entity that finances and gives support, but they bring their basis, they bring their own guidelines and say you do this and do that (...) it’s like being in a straitjacket, whether you like it or not (...) There is no educational perspective including the cultural, linguistic and social aspects, there is no moment when we can participate and decide certain things”* (Totonicapán Department)

*“The projects always arrive entirely complete and only need to be executed... Often times, we knew about them only after the project was underway and was being implemented. It would be ideal, perhaps, to be able to put together a project with the people, particularly the teachers, directors and Technical Administrative Coordinator (CTA), and that it be a literacy project. This project would respond to their methodological necessities in terms of how to work with a linguistic, diverse, cultural, truly ethnic text and how to respond to it given the economic and political context. I think that if the teachers and directors participate in the creation of what they are going to implement, they are going to much more readily accept it because they have ownership of it, because it is something that they have been consulted about, it contains their ideas and it takes into account the educational requirements that they have to respond to at the local, national and international level regarding what girls and boys ought to be learning...”* (Quiché Department).

## **1.2. REAULA’S CONTRIBUTION TO SINAFORHE**

The National Human Resource Training System (or SINAFORHE in Spanish) is a strategic platform to design regulations and proposals to improve teacher training and professional performance of the education staff. This includes teachers, directors and technical staff among others. This system has five subsystems: initial training, continuous training, accreditation, certification, innovation and research, and “human resources dignity”. In this framework, REAULA has provided technical assistance to MOE and member institutions to design, negotiate and implement reform system for human resources in education. This has required concrete actions such as assisting with the creation of the proposal, its viability, implementation and sustainability strategies and planning for the SINAFORHE strategy.

## Achievements and Positive Results

**Encouraging opportunities for dialogue to occur:** As has been mentioned before, REAULA has been key to SINAFORHE's coordination, and this is widely recognized (although there may be criticism with reference to other programs). Amongst those interviewed, there is particular value for the creation of a collaborative workspace amongst Universities and institutions. This network has made meaningful progress, achieving accords and common proposals regarding teacher training, continuing education and pedagogical careers. These proposals have been put together by all of the players, paying close attention to the context in which they will be realized and created "from within" not imposed "from outside".

It was indicated that previously Universities worked quite independently. Additionally, leadership was weak at the Ministry of Education in the area of higher education. For this reason, this cooperative work time has been so valuable, especially the dialogue between the public and private sectors. Also, it made possible the formation of the University Consortium, which moved forward and created a common platform for teacher training, establishing minimum requirements for training and credits earned.

Particularly, REAULA did a great job dialoguing with the *Magisterio (Teachers National Assembly)*. Several of those interviewed indicate that previously relationships between the Ministry of Education and the *Magisterio* were "broken", while USAID was perceived to have close work relationships with the Ministry and some private Universities (especially the Universidad del Valle). However, SINAFORHE's framework indicates strategic work on the part of REAULA's team to bring together in collaborative work entities that historically have not dialogued such as the Ministry, the *Magisterio*, the Universidad de San Carlos and private universities.

Also highly esteemed, was the creation of the *technical panel* – with Ministry representatives, teachers, unions, parents of students, students of *escuelas normales*, among others; a project that took almost three years. In this way, agreements were generated regarding teacher training, such as design of the PADEP (in Spanish Programa Académico de Desarrollo Profesional Docente), which has lent viability and protection to the training program in addition to great legitimacy.

## Lack of Progress and Pending Challenges

According to the collected data, REAULA's contribution to this program is the most widely appreciated. Pending challenges are related to goals that REAULA could continue to push and promote in SINAFORHE; such as, legislating and putting into operation the teacher career progression (*Carrera Docente*); the debate about teacher assessment; the move towards more selective entrance systems for entering the teacher training career. Also, empowering leadership at the Ministry of Education is mentioned. In order for this to happen, the importance of REAULA to assist the creation of a management structure for teachers in the MOE has been emphasized. The goal of this structure would be to strengthen policies and follow up in this area.

## 1.3. REAULA'S CONTRIBUTION TO SINAIE

The goal of the National Coaching and Accompaniment System (SINAIE in Spanish) is to strengthen the quality of education in schools, providing permanent support in the improvement of teaching practices in the classroom, along with consulting services to the director management. This model aims to become a structural change because it transforms the traditional model of supervision focused on administrative affairs to focus now on pedagogical aspects. To achieve this, the new

model design of school assessment includes three key participants: a district education coordination authority, a management consultant and technical advisor. REAULA designed pilot implementation strategies and manuals for the SINAE district personnel. The pilots were implemented by MOE in San Bartolo Aguas Calientes, within the department of Totonicapán, and in Concepción de Tutuapa, within the department of San Marcos.

## Achievements and Positive Results

**Technical Assistance.** All interviewees, including central government, departmental and school actors, agreed on the diagnosis that there is a need to reform the model of supervision and to transition it towards a pedagogical consultation model. REAULA, along with other international cooperation institutions (GIZ), have contributed by providing technical assistance to MOE as it designed the model and the pilot implementation. This assistance included the elaboration of instruments, manuals about educational accompaniment, validation and the system pilot, which will allow the new model to expand to other departments.

**Local commitment.** In general terms, in both department staffs (Totonicapán and San Marcos) where the pilots were carried out, there was a strong commitment and enthusiasm with SINAE model and with putting it in practice. In both places people highly appreciated the experience and wanted to continue with the new model; moving from an administrative-bureaucratic focus and task-control to a management and technical-pedagogical assistance.

Especially in San Marcos this model was carried out successfully. The departmental team showed great commitment to the reform, and they explained that most of them completed the certificate program for *Leadership for providing classroom support to teachers*. The program is positively assessed, and it is claimed that it was a key input for putting SINAE into practice. In effect, in the case of San Marcos, after the pilot had finished, the Supervisors and CTAs continued practicing the new model of school technical assistance. As a member of the department expressed, *“As a result of this intervention in the department of San Marcos we were able to design a Departmental Plan for Educational Accompaniment into the Classroom. Consequently we decided that all of us were going to participate in coaching since with the training we received we could follow teachers to the classroom to assist them. We focused on some schools and we are orienting the coaching process not as monitoring, nor control, but rather accompaniment that is geared to strengthening the academic leadership of the principal and an effective learning process for the teachers.”*

## Lack of Progress and Pending Challenges

**Adjusted plan to available human resources.** The model was carried out with three consultants in each School District, which was clearly insufficient for coaching all schools. Due to the lack of new personal for implementing the model, CTAs were involved in this task having to coach schools in management and pedagogical issues. Although, most CTAs had received special training through the Leadership certificate program they did not fulfill the requirements of having a University degree, and had to continue with all their bureaucratic work. The model requires technical-pedagogical leaders, in charge of a small ratio of schools in order to visit schools continuously and establish an effective coaching. If these conditions do not change, the model is bound to fail. The lack of school consultants per school and the fact that the pilot did not continue is not REAULA's responsibility; however, these are the issues that must keep REAULA alert in the design of the model.

**Continuity.** Although most of the staff were enthusiastic about continuing its implementation, they were at the same time frustrated as it was interrupted and they could not continue with it. In Totonicapán (San Bartolo Aguas Calientes), the Supervisors and CTAs have gone back to using the traditional Supervision system; and in San Marcos there are local initiatives attempting to maintain aspects of the model. Another issue highlighted by the interviewees from departments was that the model was implemented during a very short period of time, six months in Totonicapán and ten in San Marcos. This is another key point as continuous assistance in a long period of time is fundamental in order to achieve profound changes in schools daily practices. In this sense, the fact that the model did not continue in the piloted municipalities restricts the possibility of providing richer and more insightful evidence for future expansion of the model.

#### 1.4. REAULA'S CONTRIBUTION TO SINACE

The National Accreditation and Certification System (SINACE in Spanish) defines, assesses, accredits and certifies the technical competences of institutions, programs and individuals in order to ensure educational quality.

##### Achievements and Positive Results

**Technical assistance.** REAULA provided valuable technical assistance to SINACE, creating a conceptual framework, and certification and accreditation instruments and methods for data analysis; this assessment is positively appreciated by Ministry members. Now the Ministry Department is working on a second stage with educational centers that volunteer to undergo the process, as a pilot.

##### Lack of Progress and Pending Challenges

**Lack of clear and concrete consequences.** To date, the system has been voluntary and there have been a low percentage of institutions participating in the process. The aim of SINACE is not clear as certification and accreditation is not compulsory, and at least until now, it is not linked to any kinds of incentives or sanctions. REAULA team, as part of a technical assistance, identified the legal restrictions for establishing these kinds of consequences. In consequence, it is an incomplete model that makes little sense without clearly defined benefits or consequences for completing or not completing the certification and accreditation. Although, this is because of legal restrictions, it does imply that REAULA has invested in a policy agenda that has limited possibilities to impact school quality in the country's context.

**Lack of participation in the definition of quality standards.** It is indicated that there was a low level of participation in the creation of the SINACE. Interviewees from Universities and investigation agencies suggest that a larger discussion, led by MOE, was necessary including reflections and debates about what quality is, what elements constitute good educational programs and practices, and what the key indicators are in observing them. In addition, it was stated by an ex-official of the Ministry of Education that this work was done by REAULA, in spite of the fact that the Ministry had already made progress on defining quality standards.

*"Why do we need someone to come from the outside and tell us what quality is?... besides, the Ministry has made headway on this... in any case, it is helpful, to get the ball rolling, the public sector is not used to working quickly here, they have all the time in the world..."* (Ex-member of the Ministry of Education).

This situation, according to the speaker, implied the duplication of work and a certain disdain from REAULA towards the initial work developed by the Ministry.

## 1.5. REAULA'S CONTRIBUTION IN BOOKS AND MATERIALS POLICY

REAULA has prompted the creation of a National Textbook and Educational Materials Policy, supporting MOE in the polishing of action steps for the development, publishing and alignment of the national curriculum; technical assistance and in-classroom validation of educational materials in Spanish and the main Mayan languages.

### Achievements and Positive Results

**CNB-aligned textbooks.** The creation of curriculum-aligned textbooks, along with MOE, was a meaningful contribution. REAULA's participation in the integration of national textbook policies is seen by various MOE departments to be a positive and necessary technical support. These textbooks were created with the support of specialists from a variety of subject areas. REAULA has directly supported the Ministry in aligning the textbooks with the National Curriculum (CNB), which was born out of the previous program for Educational Standards and Evaluation.

**Set of Books.** REAULA has supported the creation and use of educational texts and materials for teachers and students – big books, flip chart books (rotafolios) and classroom library boxes. The set of books and other texts for school libraries are highly appreciated by principals and most school teachers in order to strengthen children's abilities to read as a daily routine. As a Quiché teacher said, *"This library has helped and made it possible for each child to look forward to reading. Before, they didn't like to read; I would have them read and they didn't enjoy it. Now they want to read every day."*

In various schools in Jalapa, Totonicapán and Quiché the assessment team observed boys and girls enjoying reading literary texts and asking their teacher to read these texts to them. Also, the implementation of the "reading hour" was observed (MOE initiative). This consists of spending 15 to 30 minutes at the beginning of the day with students and teachers reading in their chairs a text of their choice. They use distributed texts, especially those taken from the classroom library.

**Maya Languages.** Some texts, like the Big Books (Megalibro), have been written in four major Mayan languages -K'iche', Kaqchikel, Mam and Queqchi—, eight titles per language. Additionally, four flip chart books (rotafolios) were also written in these four Mayan languages. Both sets of texts have been adapted for pre-primary and first grade students. In this sense, the texts are widely held in high esteem, as one NGO member says, this makes textbooks "richer and more valuable".

### Lack of Progress and Pending Challenges

**Use of books and materials.** Interviews of teachers and classroom observations showed that teachers do not always have a clear understanding of the aims and pedagogical use of the books. Unfortunately, teachers were concerned that they could get torn or worn-out; in fact, in most of the classroom observations, books were not accessible for children and they could not take out books from the library. Some teachers for example, stated that the materials had been inventoried and they were warned that economic costs must be paid by teachers if the materials were lost or damaged. Therefore, the books and materials do not accomplish their main aim, i.e. to be used in classrooms and therefore promote reading skills (See 5.2.).

**Distribution.** The MOE distribution of textbooks is a critical issue. The books are distributed behind schedule especially in the western and less accessible parts of the country. Although,

distribution of textbooks is MOE responsibility, this issue should be reviewed in the Textbook Policy.

## 2. MINISTRY OF EDUCATION PROGRESS IN BILINGUAL INTERCULTURAL EDUCATION, EARLY EDUCATION AND SECONDARY EDUCATION REFORM

### 2.1. Bilingual Intercultural Education (EBI)

REAULA has developed best practice manuals for EBI, and provided technical assistance and in-classroom validation of educational materials in Spanish and the main Mayan languages. Additionally, they have worked to develop a work plan (*ruta crítica*) to implement bilingual, intercultural education that serves as a base for creating action items over the coming years. Finally, they have supported MOE in the creation of proposals for a literacy model for native Mayan languages.

#### Achievements and Positive Results

As expressed in the 2013 REAULA document on models of bilingual education, EBI should have a national focus beyond an orientation to the needs of indigenous populations. As a national educational model, EBI is oriented to the accomplishment of the educational needs of a multiethnic, pluri-cultural and multilingual society, and to the development of a positive self-image for all students. The reality the assessment team was able to observe is still distant from this ambitious and important goal.

**National Consensus.** Among interviewees it is made evident that there is a strong consensus about the importance of EBI, especially at first grades of elementary school, functioning as a bridge between children's home and education. A director at the department level, for instance, stated that native language literacy to build a bilingual future based on students' resources, as presented during the *certificate*, is important: "*...we need to take advantage of this resource to teach students first in their native language and then to gradually teach them a second language. In this way, when the student is in third or fourth or fifth grade there is an equilibrium, there is real bilingualism, and the certificate has supported us a lot in this regard.*" Yet, there were fewer consensuses to maintain EBI throughout school, after year three.

**Textbooks.** REAULA and MOE have designed and distributed excellent education materials in the main Mayan languages. These materials are for students and consist of Communication and Language textbooks from grades 1 to 6, flip chart books and big books in four languages. The quality of these materials is appreciated by all education system actors: principles, teachers, students and families (see 1.5).

**Schools for Parents.** Parents and grandparents interviewed expressed a very positive impact of the workshops on their parenting skills. They were mostly illiterate, but in spite of this, they had learned to support their children in, for example, their homework assignments. Especially, in the case of those workshops delivered in parents' mother tongue (implemented by Akebi) were highly valued by parents. They were grateful for this validation of their ancestral resources and requested the project continue, emphasizing these lines of work. Teachers and school principals mentioned that parents who had taken part in the workshops are now more involved in school activities than they were before. On the other hand, those parents who did not take part of the Parents' Schools did not understand the new teaching strategies that teachers were using and reacted negatively towards changes.

## Lack of Progress and Pending Challenges

**Limited EBI in schools**<sup>1</sup>. The implementation of bilingual education in the Guatemalan context is extremely complex. Given the wide variety of linguistic contexts, one model will not satisfy all situations. In some places students arrive in school speaking mostly Spanish. In some other contexts there is more widespread use of the native language. Independent of the linguistic context, the educational model to be offered needs to strengthen linguistic abilities brought by the students, and it must deepen and accelerate them through literacy practices that build pupils' abilities to work with multimodal texts with understanding. The visit to the three educational departments (Jalapa, Totonicapán, and Quiché) made it evident that EBI had an almost imperceptible presence in schools. In fact, in only one of the rural schools visited in Totonicapán and Quiché, the Official Rural Coeducational School Cantón Santabal II in San Pedro de Jocopilas, teaching in students' mother tongue was observed. We did not observe lessons taught in students' native language in the Aldea Nimasac, in the municipality of Totonicapán, nor in the Official Rural Coeducational School Aldea El Infiernito (in the Quiché Department). Only one teacher was identified, in Santabal II school, in the first grade, who taught her Communication and Language Arts class in *K'iche*, although she did not use this language to teach other disciplinary areas. During meetings with other teachers at the school we were informed that in other grades, classes in *K'iche* were conducted in the area of social studies.

Interviews with officials at the departmental and district offices indicated that there is a national shift to abandon teaching in native languages. Although, they pointed out that within some schools a few bilingual classes can be found. (There was no statistical data available about the number of schools where classes were carried out in *K'iche* in the area.) As a CTA comments, *"Things have changed, but not for the better. Before, after workshops intended to promote teaching in students' L1 some teachers followed, especially after we distributed materials. Those who believed in bilingual education felt strengthened by our work, and teachers who did not, taught in native languages because they felt the pressure to do so."*

This reality runs counter to the statement that *"The development of linguistic self-esteem, i.e., children's ability to read and write with assurance in their own languages, is the goal of this application in practice of this literacy model"* (Modelo Nacional de Educación Bilingüe Intercultural, 2008).

**Absence of EBI in classroom poster.** A useful impact was observed in the use of posters and other materials that had been distributed in support of the Project. The poster listing 9 elements associated with educational quality is not just displayed in classrooms, but teachers continuously refer to it. In this regard, many offered the suggestion that value and use of student's mother tongues should be added to the list. They considered this addition to be essential in Guatemala, a country characterized by cultural and linguistic diversity. These interviewees felt that the addition would support those teachers who already believe in EBI, would serve as a reminder to those who are non-committal, and would help those who are detractors rethink their position. Some teachers felt very strongly about this, as can be appreciated in the following statement:

*"with regards to bilingual education, almost nothing. USAID had the audacity to publish a poster outlining 9 basic aspects of a quality education, and among those nine there was no bilingual*

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<sup>1</sup> In order to review classroom situations, illustrative of the generalized patterns we observed throughout our classroom visits, see appendix 6: Three Classroom Visit Vignettes. They are presented both to highlight central aspects of instruction that need to shift in order to give way to substantive opportunities to learn.

*education. My determination was to ask that Bilingual education be included, but nothing happened. In terms of bilingualism there is nothing.”*

**Literary certificate and EBI.** Although in Totonicapán the Literacy training program was initially taught in K’iche’, later on it was continued exclusively offered in Spanish. The message that is sent is not as strong as if the certificate programs were offered in the indigenous languages for teaching all curriculum content, at least during the first years. (And there was no certificate offered the Quiché Department).

**Teachers’ bonuses.** One other feature that increases the complexity of applying EBI in schools is the haphazard distribution of bonuses for teachers teaching in bilingual programs. The team was told that sometimes a teacher received a bonus for teaching in a program designated as bilingual although the teacher was monolingual, other times teachers taught bilingually but received no bonus because they were not hired as bilingual teachers. Obviously these situations trigger discontent among teachers. As a department director stated:

*“There are about 3,800 teachers with bilingual positions, and when people speak about bilingual positions we need to analyze what exactly they are talking about. Sometimes a bilingual class refers to classes really taught in two languages, bilingually. Other times people occupy a bilingual position because of political connections, but they do not speak an indigenous language as K’iche, this is true for about 35% of cases. In Guatemala politics plays a big role, whether in academic matters or not, yes, I think perhaps 35%.”*

Even though MOE has a regulation referenced to teaches bonuses, this regulation has not been applied correctly.

## **2.2. EARLY CHILDHOOD EDUCATION REFORM**

In keeping with current trends, which suggest the importance of the implementation of preschool programs for the scholastic success of children and young people, as well as their contribution to a country’s social development, health and economics, REAULA has supported the implementation of some initiatives promoting early childhood and pre-primary education.

According to some statistics, there are significant problems in the country with regards to coverage and quality of education for children between the ages of 0 and 6. As the data show, percentages of coverage at the Early Childhood Education Level is 47.59% at the Pre-Primary Level (MOE, 2013).

REAULA’s Early Childhood and Pre-Primary Education Reform had two stages including the creation of a document in conjunction with MINEDUC that synthesized the Primary Education Model and the implementation, follow-up and evaluation of the pilot pre-primary program. The model for education of children at the Early Childhood Education Level and the Pre-primary Education Level “*Caminemos Juntos*” (Let’s Walk Together), was founded upon the ideal of an education based on rights, which makes use of child-centered learning, recognizing children as the recipients of rights and as members of the society. It proposes an integrated vision, centered on the children’s needs, fostering the active participation of families and based on the referential framework of the National Curriculum at the Early Childhood and Pre-Primary Levels.

### **Achievements and Positive Results**

In terms of the implementation of the Program, the pilot stage began execution during the second semester of 2012 in the communities of Sololá (a K’iche-Spanish bilingual community) and Jalapa. As announced in the document that summarizes the evaluation, the pilot implementation sought to

validate the model by establishing whether or not it functioned in accordance with its original principles of rationality and implementation, by documenting its achievements and by identifying the aspects that needed to be modified for future use in other communities.

**Definition of a Pedagogical Approach.** The model's foundation and documents establish the paradigmatic focus, the quality criteria and the key elements upon which it is based, as well as the implementation strategies, work materials, human resources necessities, responsibilities of different persons and implementation, follow-up and evaluation processes. Some attributes and responsibilities for different Ministry technical teams (DIGECADE, DIGECUR, DIGEBI, DIGEESP and DIPLAN - which were supported by the REAULA team) are defined for putting the model into operation. As these departments indicate, there is wide recognition of the program's efforts at the institutional level, efforts, which have sought to contribute by way of technical consultation of the early childhood curriculum's implementation and the definition of the model and its implementation and evaluation.

**Stronger community awareness of the importance of Pre-school.** Regarding the impact at a local level, in the departments, professionals from the Ministry of Education indicate that achievements have been linked to the empowerment of the educational community, helping the parents and guardians understand the importance of educational activity and simultaneously encouraging the entrance of 6 year-old children of primary school.

Regarding this issue, it should be mentioned that even when the Program is positively evaluated, several interviewed indicate that they don't know what has been done in the area of Early Childhood Education and several agree that this is an area of development that ought to be further strengthened, indicating that there are still massive problems in terms of coverage, infrastructure and a shortage of teachers:

*"(...) a lack of professors trained in pre-primary education, they are concentrated in the urban areas and many are in the capital city, so we don't have pre-primary teachers..." (REAULA team member).*

### **Lack of progress and Pending Challenges**

**Ministry Delay.** Another problem perceived has to do with delays in execution timeframes. As REAULA's Technical Director indicates, the model could have been implemented starting in the beginning of 2012. The number of teachers required was already determined, the community diagnostic had been carried out and teachers had already been identified. However, there was a great delay stemming from the central government that impeded contracting and starting of the implementation. From the REAULA team's point of view, one of the most important pieces at this stage was timing of the execution, which, as indicated, was influenced by a change in government:

*"(...) we have been working since 2010 on the design of this model and it was finished at the end of 2011. The work was presented in its entirety to the Ministry. As I have said, there it sat with the Ministry's agreements and with the ministers and upon the change of government the process of implementation slowed down greatly" (Technical Director, REAULA).*

**Various Pending Challenges.** Most interviewees agree that early childhood education is an area of development that ought to be further strengthened, indicating that there are still massive problems in terms of coverage, infrastructure and a shortage of teachers.

### **2.3. SECONDARY REFORM**

Secondary education in Guatemala is divided into two cycles: the basic cycle and the diversified cycle. The latter is named for the variety of available careers (220 different careers, not all of which

offer codes approved by the Ministry of Education), that permit studying at the university level or entering the workforce. Currently, students that enter the basic cycle enter at about 13 years of age, while for the diversified, they enter at 16. Statistics of MINEDUC (2013) indicate that only the 37.93% of the population of that age is signed up for this cycle. In the Diversified Cycle. It can be said that there is a significant fall in enrollment of young people during the transition between the basic and diversified cycle of secondary education, accompanied by low attendance of the diversified cycle in urban areas and vast social divisions. (Report design Study of the situation standard level in Guatemala in preparation for processing: (Draft for discussion), REAULA 2011).

As the statistics demonstrate, Secondary Education has experienced a progressive increase in coverage since the year 2008, which has been accompanied by the creation of new institutions at the secondary education level. Simultaneously, efforts have also been oriented towards the creation of a national curriculum, with the goal of creating a common foundation and currently refining the career catalog in order to organize and systemize a high-quality educational package.

### Achievements and Positive Results

**Critical Route:** One of the main initiatives along these lines has been the definition of a critical route of implementation of the Secondary Education Reform. An important work group has been established that highlights the country's situation dialogue takes place regarding concepts and ideas that allow for the consideration of institutional strategies and initiatives for achieving high-quality education. This Critical Route considers general and specific curricula, delivery methods and administrative diagnostics, designing guidelines in the areas of: covering the offer and demand, transitions between cycles, graduation, curriculum, financing and administrative and institutional issues.

**Social Dialogue:** The critical route of implementation has been created by way of a long process in which some conceptual frameworks have been discussed, instances at which a variety of interviewed have come together like: educational institutions, researchers, experts, private sector agents and social organizers, amongst others. These agents have been invited to reflect in instances that given their frequency, enabled the strengthening of the early reflections, making agreements and making commitments collectively, thereby establishing a basis for improving the design and implementation of the critical route:

*"...we've been doing this for several years and it's been quite a process (...) I would say that just a week ago the Ministry understood the extent of this and the need to work in a much more structured and organized way to define an implementation strategy, conducting research related to secondary education.. (...) a number of consultations were done and quite a bit of information was generated. This year a transformation proposal was already prepared that was presented to the Ministry and to actors at the central and departmental levels..." (Technical Director, REAULA)*

### Lack of progress and Pending Challenges

**Education for Work and Labor-Technical Training:** Along this line, some of MOE's departments, specifically the Extra Curricular Education Department, feel that it would be quite valuable to receive support to create a system of Education for Work and Labor-Technical Training. For this, studies regarding the needs of the labor market, amongst others, would be necessary:

*"our vision is that in the Ministry of Education we might have our own INTECAP, I don't know if you have heard of it... but it is an institution that specifically offers Labor - Technical training courses like carpentry, mechanics, electricity" (member of MOE, central level).*

**Deepening the changes:** Widening of coverage also requires improvements in the area of specialty teacher training, and this requires an institutional change. As some REAULA professional indicate, the Ministry of Education does not have the authority to impose on the universities an articulation of the offer and demand for educational careers. This has resulted in, for example, insufficient suitable material in the new curriculum. In this sense, it is thought that in the future it will also be important to promote the knowledge of English and use of technologies, given that work opportunities increase with the development of these two abilities.

**Lack of articulation.** It is indicated by several interviewees of different institutions that the specialized careers lack articulation with the country's job demands. Everything suggested so far should be accompanied by alliances with the private sector, connections that will make it possible to meet the needs of the world of production and at the same time strengthen education by way of internships in companies.

*"... if only we had the dual German system, I don't know, that combines practical educational internships with work, because the majority, being very realistic, are not going to go to university, but should have an educational offer that allows them to enter the working world with some advantage"* (Research agency).

### 3. EVALUATION OF THE PROCESS

#### 3.1. Adjustments to the original model

During the implementation of the REAULA project some changes and adjustments, the majority of which are minor, have been made to the original model. These have occurred in the application of SINAFORHE, SINAE and in the definition of Opportunity Zones.

**SINAFORHE. From training trainers to masters and certificate programs:** Originally, SINAFORHE aimed at the training of trainers through a cascade process for which international experts were the first trainers who would train teachers in order that those teachers would train applicants. However, the majority of this System has been implemented with national experts at participating universities in a simultaneous process with the direct training of applicants by way of Masters and certificate programs. Thanks to this change teachers have been able to participate directly of training courses carried out by University, assuring a better quality of the courses.

**SINAE. Unexpected importance of the CTAs:** Originally, SINAE was to consist of a district coordinator, a pedagogical consultant and a management consultant, but during the pilot only a few pedagogical consultants and a few management consultants were assigned. Additionally, the original accompanying system documents described the professional profile of the pedagogical and management consultants as having had a certain number of years work experience and experience as teachers. However, in the end, CTAs were chosen to occupy these positions and not all of them have a professional profile, therefore an adaptation was made in the area of SINAE consultants and instead of meeting certain requirements, consultants' skills were developed.

Finally, given that the CTAs have worked as pedagogical and management consultants in the SINAE pilot, REAULA proposed to take advantage of this human resource (since their skills had already been developed to take on different consultant positions during the implementation of SINAE). However, MOE decided to "...start with a clean slate and have none of these people occupy those positions, but rather other new professionals, whomever necessary to fill the seats..." (REAULA team member). Hence, there is a lost opportunity of human resources that attended leadership training courses and had the experience of assessing schools, and therefore could continue with that work.

**Changes in the definition of Opportunity Zones:** The Opportunity Zones that were originally part of the project were separated from the evaluation areas, "... but we deeply believed that they ought to be the same and that there shouldn't be any Opportunity Zones where certain initiatives and interventions were tried out and in other areas only educational achievement evaluations and therefore they were combined into one where interventions were developed and, at the same time, evaluations took place" (REAULA member).

Additionally, the Opportunity Zones changed from the original plan due to USAID requirements and REAULA had to gradually move out of Jalapa and Chiquimula – areas where training strategies such as the Masters in Leadership for Accompaniment Education were underway – because action was called for in the west.

### 3.2. Unexpected opportunities, some taken advantage of and some not

Throughout the development of the REAULA project, several unexpected situations arose. The majority of these were very well taken advantage of, but for others, a lack of initiative kept REAULA from reaping benefits from them.

**Local ownership taking and project approval:** Focusing on the strengthening of skills at the departmental level resulted in unexpected positive results. One of these was approval of the project at a local level, because some municipalities are now carrying out projects of their own volition. Getting the community to take ownership and empower itself was advantageous. This also had to do with the local authorities' attitude with regards to the project and they were able to involve the community in the project, thereby encouraging the continuity of it.

"(...) we have seen many initiatives in some places. And that is part of the process, the same people start to create. In Jalapa we saw how teacher organize groups and learning communities in order to develop mathematical game fairs, reading days. We saw how in San Marcos materials designed for them were reproduced, much like what was done with the project books in the local language, contextualized. Because they always validate work with the Ministry personnel. In Totonicapán we saw a very strong push by the departmental director to encourage professionalization programs with professional development for primary teachers and for the supervisors, too. Last year, Totonicapán had the largest decrease in student failure of first grade" (Education Official, USAID).

An event that appears to have favored local action and initiative is the ministerial agreement submitted in December of 2012 about "...deconcentration of some of the Ministry's programs at a departmental level..." (REAULA team member). This made more action possible, autonomous and quick in terms of local decision-making and thereby strengthened approval of the project in several municipalities.

**Universities' interest in development:** When work began with the Universities, the program ran into some unexpected technical deficiencies that had not been budgeted for. However, these were overcome thanks to the interest the universities demonstrated to improve and develop. Structures external to MOE were strengthened, allowing work to continue. Regarding this, the universities have seen advantages to continuous updating and they have become open to new ideas and possibilities. For example, during the implementation of the certificate program, during its first stage, concern arose from the universities to,

"(...) finish strengthening the process and that seemed ideal to us because it hadn't started with the school year. They took advantage of the opportunity and created a second stage, the teachers were very interested in being involved; and the universities have also had the flexibility to go along incorporated these new procedures" (REAULA team member).

**Work with the National Council of Education (CNE):** Perhaps one opportunity which was not taken advantage of was not working in depth with CNE. Although there is no direct mandate to work with that council, REAULA supported CNE in a specific request submitted by them regarding a long-term education plan framework. This relationship could have been taken advantage of into the future in terms of the volume of technical support REAULA could offer this institution.

"The council required having the documents from the start and making a diagnosis of the situation (...) an analysis of performance at the educational level, and its level of meeting requirements for different areas established in the education reform document. So, the project was in a position to offer financial support by way of technical consultation and this was the perfect answer in response to the council's request. But our project was not aimed at working with the council. (REAULA team member).

### 3.3 Difficulties/changes that were faced and problem solving (or not)

During its implementation, the REAULA project faced a variety of difficulties and some changes. In the majority of cases, the project was able to find a way to adapt itself flexibly to unexpected scenarios. However, there were also instances for which there was no way to move forward.

**Very diverse and unexpected work dynamics:** REAULA anticipated timeframes according to its own expectations and according to what it thought could be done given prior experiences and considering the characteristics and skills of the work teams with which it works. Despite being able to adapt itself to work dynamics in the majority of MOE departments, the project faced unexpected difficulties related to a difference in work speeds between MOE and the REAULA team. On occasion, these differences generated feelings of tension and frustration.

"(...) it turns out that the contexts in which we set out to work are not as we expected them to be and this created some delays; not everything we wanted to achieve was possible" (MOE member, central level).

**Political instability:** This problem robs the programs of continuity from one administration to the next. With changes in the government – at the ministerial and local levels – coordination systems created over time are weakened and in some cases, groups of professionals are relocated according to the government change. This results in the need for additional work just to recover that, which was done before. However, international cooperation, in general, and that of USAID, in particular, has achieved project continuity despite changes in the government and the Ministry.

The continuous work with Universities, NGOs, and the Magisterio were key strategies to give stability to the REAULA Project. Also REAULA discovered a specific strategy – which is called *electoral strategy* – to face changes in administration, which are very common in Guatemala.

"(...) one solution we have discovered is to involve campaign political figures in a strategy which we call electoral strategy (...). This strategy essentially serves us in the following way: to define the country's priorities, attempt to convey them and to promote those we feel need continuity. And generally we have had a lot of success above all because it is a technical issue, it is a question of a technical order, not of a political order. Therefore, when technical questions make sense to

technical people, there is nothing else to discuss beyond the form they will take” (Education Official, USAID).

Having encountered this strategy does not exclude the possibility of delays and setbacks in the implementation of proposals. This is the case for the early childhood and primary education model which, although it has advanced quite a bit,

“... an entire project was worked out with the ministry and there it stayed because, as I said, these were ministry agreements and with the change in government a much slower process in terms of implementation came about (...) in spite of having completed the entire initial process that required a community diagnostic and identification of teachers, this had already been done, there was a delay with the go ahead from the central government to do the hiring (...)” (REAULA team member).

### 3.4 Learning from the experience

**Establishing appropriate goals for collaborating work teams:** Despite having been able to face issues with different work modalities and adapting successfully to them in most cases, REAULA’s work together with MOE head team of Bilingual intercultural Education (DIGEBI) faced more difficulties in achieving the desired results. For this reason, whenever a program is being planned, it might be useful to establish goals that are appropriate to particular characteristics of collaborating work teams, in order to avoid failure to achieve goals.

“... last year (...) an agreement was reached to present the Minister with how to implement the bilingual intercultural education focus. This was presented to her, the Ministers and the DIGEBI people. More than three months went by saying yes, then no, then let’s go (...) it has been very difficult and assistance has been offered for bilingual education strategies, but it hasn’t been possible to move ahead with the bilingual education authorities and Ministry” (REAULA team member).

**Working at different levels:** REAULA’s team has taken advantage of working at several levels and strengthening the skills of work groups that will remain despite changes in the central government. This learning experience coincides perfectly with a constantly changing context due to changes in government and administrations. It ought to be continued to explore for future projects.

“(...) Sometimes, leaders are involved in so many processes that they lose some interest. There, you have to seek support from other social players, but these people pass sustainability off to the next level, and then to the central level and then to the departmental... the challenge and advantage is that we worked on so many different levels and therefore when there is a change, for example, in the vice-ministry, if the technical groups have been strengthened in those areas, those people are often the ones who continue to push the process along” (REAULA team member).

## 4. LOCAL ORGANIZATION MODEL FOR SUPPORT OF QUALITY CLASSROOMS

Since 2011, the REAULA Program has offered technical assistance to the Ministry of Education in the creation and implementation of a Quality Management Model, based on quality education, which cannot be administered on its own and, therefore, requires integration between policies defined by the government and that which occurs in classrooms and educational centers across the country. In order to implement the Quality Management Model in operative terms, a management structure that starts at the national level and extends to the district level will be needed to coordinate a strategy. This structure should have an upper level called the Quality Management Group, supported by the National Quality Education Executive Coordinator (in accordance with the

indications of the Ministry of Education), which is in charge of processes related to the design, integration, monitoring and evaluation of educational quality. Additionally, it must have an executive coordinator at the departmental level and a district-level quality education unit.

Following these tenets and structures, the onsite work of REAULA has sought to strengthen skills and a sense of educational responsibility at the local level. The strategy focuses on the municipalities and local authorities who take responsibility for their roles as safeguarders of the municipality's educational quality. In order to instill a greater sense of responsibility, a variety of different people and institutions have worked, seeking to adopt certain tools defined by the program and providing motivation to move ahead with the proposed activities.

In terms of a work model, REAULA has supported the development of technical skills at the local level, especially by strengthening the pedagogical accompaniment. In areas such as San Marcos, Chiquimula, Totonicapán, Quiché and Jalapa “accompaniment departmental plans” have been developed, with units responsible for quality education and educational supervisors.

Concrete actions developed by the Program were designated to work directly with local organizations. Given that these organizations best know local realities, their knowledge and experience make support programs more effective. Work was organized using the following sequence of actions: an approach, a diagnostic, a social capital study and the identification and mapping of social actors and organizations that could help implement or see other means of support for those issues.

## Achievements and Positive Results

**The concept of quality learning opportunities.** In reference to the concept of quality learning opportunities, consistent with the name *Reforma Educativa en el Aula* (Education Reform in the Classroom), there is a tremendous advantage with setting the quality of education on elements such as the design of classroom space, enabling all stakeholders to express at the present time (on a discursive level) that the key aspects in a reform focused on quality opportunities to learn refer to quality teaching that demonstrate practices which are appropriate, especially on the first years of school. Nevertheless, the concept of quality is still unclear for some stakeholders. Some of them believe it is connected to educational materials, others relate it to teacher training, but at least the term has made possible the change of focus from coverage to concern about more complex and urgent issues such as the provision of significant learning opportunities to read with understanding by all Guatemalan boys and girls. The concept of equity associated with quality also implies progress in terms of richer conceptualization. However, this level of understanding with regards to educational quality is still little understood by teachers and parents. For them, the concept of quality is defined by student attendance, the availability of a teacher, the assignment of homework and other tasks, the provision of school materials and a modest meal for boys and girls.

**Change in local perspectives:** REAULA's main work group has recognized that at a local level the processes have been adopted: *“They have contracted educators in order to be able to carry out the education processes. Therefore, I think that this is very interesting to see, at some point we can say that the initiatives, the interventions and the innovations that the program has conducted at a national level still have not completely taken hold or been made use of, but we can see that in one way or another Totonicapán and San Marcos are implementing the SINAÉ. Perhaps it's not done in a formal way, but at a departmental level they are taking their own decisions that allow them to move that model forward and focus”* (REAULA team member).

Local level approval and involvement also seeks to instill demand for better schools and high-quality classrooms. In parallel, this has translated into a change in perspective: *from “we had nothing and if we have something now, that is good” to “we want everything we have to be of a certain quality.” In both of these cases, demand has changed dramatically, above all with the secondary students who are demanding high quality schools and teachers...” (REAULA Director).*

**Quality Education Committee:** One initiative of REAULA that was valued by the departmental teams, is associated with the accompaniment and organization of the Departmental Quality Education Committee. This committee focuses on the debate and identification of local educational necessities in order to create a Municipal Education Plan. At the Departmental Head’s judgment, said Committee motivated technical teams at the departmental level, which led to implications in the definition of actions to improve planning and organizing of the activities associated with strengthening the quality of education.

In Jalapa’s case, the Committee created the Pinotec Cultural Center opened and the Art School was created to offer young people opportunities to learn and play a variety of different musical instruments. Additionally, “Story Hour” was implemented. All of these actions have contributed to different local communities taking on certain principles that constitute quality education reform. As noted to a certain degree in a conversation with the Deputy Mayor of San Pedro Pinula, there has been a transformation in perception of the teaching and learning processes in the intermediate agencies (departmental authorities):

*“...these actions have resulted in the children’s education being so “blah, blah, blah...” where one listens and the other one copies, but rather the children build, do and participate. This is part of what we understand to be education reform in which the child no longer just listens and obeys but rather participates and builds” (Deputy Mayor of San Pedro Pinula).*

**Local coordination.** Concrete actions developed by the Project were designated to work directly with local organizations. Given that these organizations best know local realities, their knowledge and experience make support programs more effective. Work was organized using the following sequence of actions: an approach, a diagnostic, a social capital study and the identification and mapping of social actors and organizations that could help implement or see other means of support for those issues.

*“(…) at a local level, when we began, what we did was, after initial approaches, a diagnostic, but this diagnostic was coordinated with local teams, hence there were leaders who said: “fine, ask over here, over there, these teams can come” and they oriented us. Therefore, a point comes where the same people are so interested in the issue that they help the process to become more sustainable. (...) when work is going to start in a municipality, the first thing we do is to approach the municipal authorities and the education authorities because we need their endorsement in able to work with their teams. I think that there is a lot of openness, a lot of openness at the central, departmental and level towards taking the actions” (Director of Quality Classrooms, REAULA).*

This coordination amongst the international cooperation organizations and local departments took place to divide up tasks. Consequently, it has allowed avoidance of “redundancy of work”. In the case of Totonicapán, departmental technical department planned meetings with UNICEF in which they discussed the actions that needed to be taken and the need to not duplicate efforts. A member of the Technical-Pedagogical Department tells his experience here:

*“(…) often times we duplicate efforts, but we must bring everyone together to come to an agreement and in a meeting like that, I will stay here and you stay there and there were no problems and we took advantage of the resources that each institution offered”. (Totonicapán Department).*

**Continuity of some initiatives:** In some areas, the work carried out at the local level has had implications that are evident in conversations amongst some interviewed. Totonicapán, for instance, has made clear that they have kept many of the initiatives started by the REAULA work team. Even the short time, they have kept the Departmental Quality Education Committees. That is to say, that these committees continue to hold monthly meetings to define projects for the teams. They also note that community libraries continue to operate and the departmental team participates in the planning of activities for these organizations. Additionally, they mention that periodic work occurs between some teachers and the educational communities that benefited from the reading-writing degree:

*“(with the teachers) we said we would have at least 5 meetings throughout the year, (...) we chose a specific school and classroom to observe the innovative techniques of the teacher in that classroom, we met as a learning community and each teacher shared their experiences. We chose schools voluntarily and the teachers offered to share the techniques that have been using in their classrooms, weaving together the agenda we covered that day (...)” (CTA Totonicapán).*

**Investing in Human Resource (Diplomas):** The Literacy and Leadership training certificate programs (*diplomados*) have been key in training local teams and triggering changes in the daily practices of participants. The University Certificate Programs are valuable because they offer profound learning experiences, led by experts in the field; in contrast to those programs done *en masse* and under pressure, in 2 or 3 days, which are not very effective. Additionally, the new learning and teaching methodologies –especially games—are looked upon favorably as they are attractive to teachers and produce positive learning results. Also, teachers have been encouraged to share their new knowledge and so much interest has been generated by them, that these trainings are held outside school hours.

*“(The Diplomas promote) research and take it to the next level, (...) provide the tools and look and when they go to the school they ask “What do you do in this case, for example?” I think that this is how learning takes place because listening to theoretical explanations has no basis in reality. As for the professional practice, over 6 months it was clear that the person who was teaching this course was truly experienced and really knew what they were talking about” (Member of Jalapa Department).*

In some cases, teachers were visited and mentored by university facilitators so as to be able to incorporate new teaching practices in reading and writing. This was definitely appreciated by the teachers, in spite of the fact that these were isolated cases:

*“It is very important that those in charge of the training of teachers know how to motivate them (...) to research and go further, (...) to provide the tools and when visiting the schools ask “what do you do in cases like this one, for instance?” I think that this is the way to learn because theory has no purpose unless during the 6 months of professional internship you can see that the expert delivering the course has experience and really knows the subject”. (Authority of Technical Pedagogical Department)*

The teachers observed in Jalapa and Totonicapán, and who had received coaching from the universities where they were studying the training certificate program in reading and writing (Panamerican University, and Rafael Landívar University) affirmed that having been visited in their classes had been immensely helpful to understand deeply and in transferable ways the orientations they had received in their courses. They also indicated that their level of assurance in the implementation of new pedagogical practices had increased. Unfortunately, and for reasons not explained, the training certificate program was not offered in the Quiché Department.

## **Lack of progress and Pending Challenges**

**Impact into schools and classrooms.** One of the main challenges that remain is the need to strengthen the impact of MOE policies at the school and classroom level. REAULA involves several initiatives that need to be tied up together in a more strategic way in order to produce the aimed impact at the local level and assure sustainability. Some meaningful points to consider are:

- **Training courses and expanding to all.** An important number of Supervisors, CTAs, and teachers have participated in training courses; however, they had no clear instructions about their tasks and responsibilities after the courses. The certificates (*diplomados*) were not linked to further steps in order to assure that what is learned is put into practice and shared with other colleagues. Hence, in almost all schools visited those teachers who attended the training courses did not transfer their new knowledge to the rest of the school staff. As a School Principal explains referring to a school-teacher that attended a *Literacy certificate*, *“I have not asked her to share what she learned in the master’s course because I feel that that should come from her. The reason she has not shared is because no space has been created for it.*

This situation was particularly confusing and contradictory for Supervisors and CTAs; while they expected that they would be soon fired because of the new SINAE model, they were attending a Certificate Program in Leadership<sup>2</sup>, and also many were reassigned to other municipalities.

- **Follow up and continuity in the process.** In addition, programs as the training certificates programs and SINAE pilots were not followed up after finishing; subsequently, REAULA’s training initiatives can be easily diluted, putting at risk its future sustainability. This is also increased when the local institutions have scant participation in the design of the reform (see 1.1.). As a member of the Quiché Department explains keenly:

*“I think that something like this is important or a second round or maybe that REAULA’s presence be less constant in the schools, but that there always be a closeness with the directors so that they don’t feel like REAULA left and the ideas left along with it, but rather be aware of all that REAULA left behind and that the connection still exists, maybe even an evaluation... because in Quiché and at a national level, there have been large, good projects and when the project ended, the idea ended and the whole thing died. Then, along came another project with good ideas, and it is like a vicious circle. A project ends, everything ends. (...) If we knew about the intervention, we could learn important things to help extend them to other municipalities and we could tell the CTA to allow us to be in charge of follow up” (Quiché Department).*

- **Teaching practices:** The assessment team only observed 3 out of 14 classes where teachers do not dictate their lessons from the front of the class all the time or who did not write texts on the board for children to copy. Quite the opposite, in these classes, teachers used more active and participatory strategies. In many classrooms we saw walls with texts written by the children, where sounds were being studied in context and connected to other texts meaningfully. Unfortunately, these cases were the exception, not the rule.

- **Teachers’ conceptual confusions.** A rich conceptualization of reading appears partially in some documents prepared or distributed by REAULA/USAID. An example of this is on the document “Modelo de la EIB”, “Aprendizaje de la lecto-escritura” (especially pages 19, 20, 29, 30, 31). There, Linan-Thompson’s presentations stress the importance of understanding and offer methodological strategies to develop these aspects in the classroom. However, the emphasis given in these documents and proposals to the development of decoding strategies and related phonological awareness ends up confusing teachers. Teachers believe that boys and girls must be able to identify

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<sup>2</sup> This situation has been aggravated as there has been staff reassignment in the whole country, so several of the people who were trained were not been able to work in the departments where implementation was taking place. For example, in Quiché almost all the CTAs that were trained were later moved to other department.

all phonemes and graphemes in the linguistic code, and decode quickly, and then, only after children achieve these “basic skills”, teachers can start teaching comprehension skills. For example, one first-grade teacher –who teaches in *K’iche-* says: *“The flip chart books (rotafolio) is very useful and the Violet book is, too, because the letters I have to teach are presented in an orderly way in them. The first-grade book Kemon ch’ab’ai is not useful because students must learn to read first; in September I intend to show this book to the students to see if they can read it”*. The teacher is convinced that first she must teach the letters and at the end of the year, time permitting, develop understanding skills with complete texts, such as the big books.

Learning to decode and developing phonological awareness are necessary skills but they do not by themselves define the reading act. Learning to read is a process where children from very early stages activate their ability to look for meaning in their environment, i.e. understand the world. In the REAULA proposal, and more importantly, during its implementation in classes, that introduction to reading interesting and meaningful texts is usually confused with stressing only phonological awareness skills and knowledge of the alphabet. This involves a linear and fragmented notion of the process of learning, reducing the first stage of reading and writing to learning sounds and letters, leaving aside the understanding of texts, enjoying the communicative action of reading, and producing meaningful connections.

Similarly, a principal in a school stated that: as a concession she decided that students should first learn in Spanish and then have the same class taught in *K’iche*: *“What I do is that, if I teach in Spanish, tomorrow I’ll do it in K’iche’ and in Spanish.”* Unfortunately this misinterpretation of guidelines provided in classes has principals and teachers engage in a pre-teach, re-teach model that has proven to be ineffective.

**Agreements and coordination:** According to accounts, the committees’ work was hindered by difficulties with coordination. This was particularly true when it came to institutional commitment, indicating that some actors’ participation was not consistent because there was no clear mandate indicating the prioritization of these activities:

*“(…) I would have gone directly to the authorities and suggested and told them (...) let’s make an agreement, a commitment between us. Because when it is time to make a commitment, the mayor doesn’t show up, the committee head doesn’t show up. This is because they have other priorities, the CTAs have meetings with the Ministry and they don’t show up, they delegate to another person. A direct commitment needs to have been made from the start”. He explains that if there is a meeting and at the same time one of the president’s social projects comes up, “everyone goes to that meeting”. There is “no coordination” amongst the activities, they have other priorities “even though we plan it well in advance” (NGO team member).*

**Different implementation according to the type of municipality and management skills of the Mayors:** Although there have been several achievements, according to the Quality Education Committee’s original plan, prioritized concrete actions were set to begin in municipalities in 2013, according to the needs and resources available, however not every municipality was able to define the proposed actions. According to the interviewed, this problem is due to great disparity in terms of support, financing, commitment and participation, according to the management skills of the mayors in each area:

*“...there are many differences in terms of support, financing, level of commitment and participation according to each mayor. This is because there is no clear direction and it is not regulated. This means that some municipalities have more resources due to tax collection. A financial support system must be established to continue supporting the municipalities in their work...” (NGO team member).*

Because priorities of each authority in this area are not always concordant with the goals of the project and work logistics are also different amongst them, it is necessary to define different implementation strategies according to the type of municipality,:

*"(...) I think that, for example at a local level, one thing that has to be made very clear is that even when it you implement, or you are planning to implement the same interventions, the work is very different from one municipality to the next; the population's characteristics, the authorities' priorities, the leader's coordination strategy make the work and the results in one case very different from another. (REAULA team member)*

**Misunderstanding of the impact (information):** Given the results of this evaluation, it is possible to confirm that there is still a lot of ignorance on the part of several person regarding the strategies and results of the work developed by REAULA in the area of quality classrooms. Specifically, people associated with the business sector suggest that it might be necessary for the National Education Council to distribute more information at the local level regarding quality classrooms. This would make it possible for a variety of agents related to the education sector to come to a deeper understanding of the advances in this area:

*"(...) Those things (quality classrooms) should also be brought to the attention of the National Education Council (NEC) because issues regarding secondary education have been raised at the council. (...) the professionalization of teachers that worked with the NEC, all of the support lent to training quality teachers, the importance of developing skills, all of that, has been distributed, but quality classrooms, no, I am not familiar with that...(NGO team member).*

## 5. Opportunity Zones

REAULA efforts on the promotion of equitable access to quality education, were held in various regions of the country, called "opportunity zones". In these geographic areas the project support the Ministry of Education in teacher training, implementation of Intercultural Bilingual Education model, evaluation and applied research, development and validation of educational materials, and promotion of "reading-friendly cities". The Education Departmental DIEDUC, was responsible of proposing and implementing policies, plans, programs, projects and activities of the Ministry of Education in the departments, building the departmental education agendas, planning, organizing, and supervising technical and administrative activities and teachers; and applying guidelines dictated by DIGEBI educational support and DIGECADE.

The so-called "Opportunity Zones" included six departments: Jalapa, Chiquimula, Quiché, Totonicapán, Sololá and San Marcos, considering the municipalities of San Pedro Jocopilas, Joyabaj, San Pedro Pinula, Jocotán, Chiquimula, Monjas, San Luis Jilotepeque, Jalapa, Concepción Tutuapa, Santa María Chiquimula, Santa Lucía la Reforma, Momostenango, Chiquimula, Totonicapán, San Bartolo Aguas Calientes, Concepción Chiquirichapa, Quetzaltenango. The work of REAULA was focused in four specific municipalities (Jocopán, San Pedro Pinula, Joyobaj, San Pedro Jocopilas) from the Quiché, Chiquimula and Jalapa departments.

In these geographical areas, REAULA support MOE in the training of teachers, implementation of the Intercultural Bilingual Education model, evaluation and applied research, development and validation of educational materials, development of campaigns for awareness and promotion of "reading friendly municipalities" material, amongst others. Once a communication diagnostic was conducted, the need to promote an interchange of information and communication regarding quality education was defined. This is to include community members within the municipality so that the educational quality of the classroom will increase by way of an interchange of information and community dialogue.

## Factors for a Successful Implementation

**REAULA Holistic Approach.** The strategy, according to certain interviewed, is useful for developing a modality that covers different work areas in a focused way: human resource preparation, follow-ups on practices – observing the teacher at work, making the opportunity for professional growth possible through teaching courses made available via e-learning, the development of leadership skills amongst departmental management, including CTAs and direct work with educational communities, by way of work with parents.

*“it is a strategy that allows education to be improved at different points and educational levels, in a coordinated way, not just the departmental director, but also the Mayor, in an integrated way, so that the two institutions don’t appear to be separated” (Ex-member of Ministry of Education).*

**Teacher Monitoring.** Work in the Opportunity Zones also allowed direct monitoring of the teachers. This has been useful in complementing the supervisors’ work, who traditionally were in charge of about 150 teachers. The union network that was formed with the accompaniment plan translated into more direct contact with the schools, allowing for more efficient supervision.

*“(…) In that sense, the Magisterio is a thousand times more effective because it has a network that extends from the national level to the department, from the municipality to the schools…” (REAULA Director).*

**Small scale first (testing strategies)** According to the Ministry of Education, designs like Opportunity Zones have the strength to try out programs, define the necessary adjustments and then expand the programs. Additionally, at the governmental level, it is believed that by way of strategies such as these, fewer resources are spent and in the event that goals are met, the Ministry of Education has sufficient background to replicate them on a grand scale.

Additionally, from the point of view of proposal efficiency, it is believed that by way of these types of initiatives it is possible to develop contextualized interventions that effectively meet the townspeople’s needs:

*“...working in a particular place allows for a more contextualized approach to take place that is based on the experience of a specific place”. (REAULA team member).*

## Difficulties and Limitations

**Too narrow.** Despite the fact that the strategy that was used appears to be the only way to test a program without investing too many resources, there is consensus among interviewees that in this case the strategy used was too narrowly focused. Specifically, the work is criticized by MOE for having been carried out in only a few municipalities and in only a few schools, limiting the possibilities to recognize its achievements and extent. From this point of view, the strategy utilized should have been oriented towards a progressively widening set of cases.

*“I think that maybe it should be conducted in stages. We could begin here and if worked out we could move into two new areas and take on at least all of the schools in one specific area so that when the time comes to evaluate we can see the diversity. But, again, the more it is expanded, the more resources we need. As for this, which is so focused, if everyone is there on top of it waiting for the results, they are going to have to be more positive. So, we have to evaluate whether or not at the moment of expansion that tension dissolves or if it will still have the same results. It’s that same pilot or no pilot discussion (...)” (Member of the Ministry of Education).*

**Time.** The REAULA team recognizes that the interventions carried out in different municipalities for Opportunity Zones varied – following a strategy of development across sectors –according to the needs of each community. Because of this, the evaluation of the work has made evident that more time and resources are required in order to see the true extent of the project’s impact. Consistent with the lack of time, the project does not have enough information to conclude at this moment what were the factors that contributed more or to a less successful implementation.

*"(...) having so many different areas using different strategies is something that needs to be thought over, how far can it be extended; not because it hasn't had results, I think that achievements have resulted, but the processes are longer, each area has different characteristics, the needs of each community are different and require, I would say, more time and maybe more resources so that in the end you might be able to see results" (Member of REAULA team)*

**Strengthen institutionalism at the departmental level:** Regarding challenges, once again, the need to strengthen institutionalism at the departmental level is pointed out. Regarding this, REAULA’s director thinks that the decentralization model required in order to apply the Opportunity Zones model is in conflict with the municipalities’ attributions which are limited in their ability to hire teachers, a restriction which directly limits their ability to improve the quality of education in the establishments.

*"(...) we are all learning how to work with municipalities (...) The law should allow the municipalities to take charge of education, but this has not happened. This reveals that the teachers have the most powerful union in the country and that the municipality cannot hire nor fire teachers; teachers are forced upon the municipality" (Director, REAULA).*

Additionally, the implementation and results of the Opportunity Zones have been subject to the abilities and interests of the mayors. The current institutionalism does not insure the possibility of change unless the mayor of his own volition wants to make changes in the educational sector.

## V. RECOMMENDATIONS

MOE officials and local practitioners share a high level of enthusiasm for the work that REAULA is carrying out in Guatemala. This support needs to be capitalized on and channeled in coherent, well-operationalized ways in order to bear the fruits intended. Some good steps have been taken; they can serve as the basis for refining lessons learned. With this purpose in mind we offer recommendations that we hope will strengthen current work in some cases, and will redirect it in others.

**EMPOWER THE DEPARTMENT OF EDUCATION AS LEADERS OF THE REFORM.** The program must increase and add new strategies to empower the Ministry of Education as the leader of the education reform. Ex Ministry officials expressed that REAULA team developed tasks, such as production of manuals, curriculum material, and assessment tools that made a meaningful contribution. Although these tasks were developed together with MOE officials, they argue that REAULA team carried out a central role, at the expense of building capacity in the (national) Ministry team. On this matter, it is important that the REAULA team provides technical assistance and training for the Ministry staff, but without supplying staff that perform tasks or bring forth products that are responsibility of the Ministry. This is a crucial point in order to install technical capacities, strengthen government members and promote national experts in education. Even though this path may imply a delay in the achievement of goals and less productivity on the

fulfillment of concrete objectives, it establishes a notion of international cooperation that prioritizes by giving support “from the inside”.

**STRENGTHEN PARTICIPATIVE PROCESSES.** The recommendation is to continue with a participative-communicative work and to move forward with different institutions and stakeholders, as in SINAFORHE. However, various University, NGO and local Ministry staff members point out that the overall reform agenda has involved limited debate and participation. Special attention must be given to the development of specific products (planning, model proposal) in order to include different stakeholders from the beginning instead of presenting a ready-made product. This may imply more time, but to achieve effective international cooperation it is fundamental to lead, but also move together with the stakeholders and their processes. In addition, we particularly recommend collecting the “voice” of local authorities, principals and teachers, in order to understand their visions about school quality and change, identify their concerns, and collect ideas and concrete propositions; and therefore work on the basis of a more contextualized and inclusive reform agenda.

**CONCEPTUALIZING SCHOOL QUALITY.** A good, well-operationalized definition of quality education needs to be agreed upon and promoted in order to have all reform aspects pointing in the same direction and contributing to the same vision. The poster of “aulas de calidad” is a meaningful first step in this direction, yet further public debate and agreements are required, addressing a holistic and profound understanding of learning and teaching interactions. Because we live in a vertiginously changing world the goals of quality education will have to be based on the development of key core understandings, potent literacy skills, transferable knowledge, and the ability to learn how to learn (see, for example, Pellegrino & Hilton, 2012.<sup>3</sup>) Similarly, notions of academic rigor, high expectations for all students, the need to engage them in quality interactions, evidentiary thinking and metacognitive skills would be emphasized. This definition would not only serve a possible revised continuation of REAULA, but would inform other future tasks, as may be for example, work in secondary schooling.

#### **LOCAL ORGANIZATIONAL MODEL TO SUPPORT QUALITY CLASSROOMS.**

- **SINAE.** Local staff strongly values the SINAE model; it is appreciated as an essential element for achieving classroom reform. However MOE did not provide the standard conditions for its implementation, including sufficient Management and Technical Consultants for coaching all schools. In fact, CTAs had to (partially) implement the model as they visited schools. For further interventions, it is necessary for REAULA to design an adjusted plan according to the available conditions and human resources this model counts with. Trained current staff can work in this direction; however new professionals must be included in order to provide schools with the technical support required. We also suggest establishing institutional commitments and agreements with MOE that guarantee the conditions for effective implementation, as the number of consultants per school.
- **CERTIFICATION AND MASTER DEGREES.** The idea of developing local capacity through certificates is excellent, and it is one that transcends the duration of any project or program because once deep capacity is developed, it can be recreated and used across diverse contexts. That is precisely the goal of any educational enterprise. With a few modifications the *certificate* can begin to show powerful impact. The recommendation is to continue granting scholarships for certification and postgraduate studies. Yet, currently only one or

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<sup>3</sup>Pellegrino, J. and Hilton, M. (Eds.) (2012). *Education for life and work. Developing transferable knowledge and skills in the 21<sup>st</sup> century*. Washington, DC: National Research Council of the National Academies.

two teachers per school have participated, with little impact on the whole school. We therefore recommend training local leaders who then continue to develop workshops for training principals who then lead the pedagogical model in their own schools. A critical mass of early implementers in order to trigger significant change at a site. Furthermore, if a whole school begins to shift in the right pedagogical direction, it can serve as observational sites for others to learn new skills, to be inspired, and to reflect and problematize practice. It is expected that this will establish a comprehensive, network-based professional development model that is sustainable over time.

Additionally, a model of professional training needs to be predicated through a coherent portfolio of strategies that include workshops, coaching, demonstrations, reading circles, video reflections, and other Professional Learning Community opportunities. In this way capacity will be built at the intermediate level of organizations, capacity that because it was theoretical, principled, and coherent in practice, can keep reinventing its work as the contexts and organizations change. The central point is to design a training model that expands over time, impacting whole schools (not only preprimary and first year teachers, individually), and articulated with other reform initiatives.

- **MUNICIPALITIES:** The reform achievements involve great local disparity in terms of support, financing, commitment and participation, that response to the management skills of the mayors in each municipality. It is necessary to define different implementation strategies according to the type of municipality, because it is clear that the priorities of each authority in this area are not always concordant with the goals of the project and work logistics are also different amongst them.

**SINAFORHE.** REAULA's contribution to this network is one of its most well-recognized achievements, valued widely by different actors interviewed. It is important to continue the work of SINAFORHE and move forward on key matters such as policies in the systems of admission and selection of students (future teachers), teaching career progression (*carrera docente*), teacher evaluation, specialization on secondary-level education, among others.

**SINACE MODEL.** This system of Accreditation and Certification made progress in the design and installment of the model, yet it has a restricted impact due to legal restrictions in order to define consequences for non-accreditation and/or non-certification. The recommendation is to analyze legal (or alternative) options for giving viability of the model. It is also recommended to include quality entry requirements for the creation of new institutions.

**EARLY CHILDHOOD EDUCATION REFORM.** Although there is wide recognition of the program's efforts at the institutional level, efforts, which have sought to contribute by way of technical consultation of the early childhood curriculum's implementation and the definition of the model and its implementation and evaluation, it is necessary to analyze the progress achieved in the pilot schemes developed for pre-school education, which would allow MOE to spread the impact of the program in the community. It would also make possible to identify the positive local practices, which could be applied to other areas, and to identify the best work strategies for the departmental agents. Furthermore, it is believed that a communicational strategy ought to be created that will allow for more knowledge to be shared amongst influential players in the area of early childhood education and the educational communities. The data and feedback produced in the pilots and generated in this exchange should give a clear and specific account of advances along these lines, specifically regarding the acts developed by this program in particular.

**SECONDARY EDUCATION.** The contributions to the transformations in Guatemala's Secondary Education System are associated with the definition of basic life needs, the development and implementation of an evaluation system, the application of CNB at the secondary school level and the organization of discussions regarding these issues. However this results the development of the reforms is still reduced. In this respect, we suggest that would be quite valuable to MOE to receive support to create a system of Education for Work and Labor-Technical Training. This reform should be accompanied by alliances with the private sector; connections that will make it possible to meet the needs of the world of production and at the same time strengthen education by way of internships in companies. In this process REAULA could support the articulation between agents.

In order to increase the quality and coherence of professional technical education and to strengthen education permanently, mechanisms should be created that connect educational experiences for professionals, creating itineraries and professional modules that will help people move from one system to another (for both work and education). These should be in addition to evaluation processes and identification of skills for each person. The creation of a "National Qualification and Competencies System" might be considered, responsible for bringing together all of the different options for professional education in a National Catalogue of Professional Qualifications. In order to identify and update the need for qualifications and required training, collaboration and consultation processes should be established with different sectors and social actors, like for example, executive boards (for the private area). This System could answer to the Ministry of Education in collaboration with another ministry that works with labor issues, like the Ministry of Labor or Economy. During said collaboration qualifications should be identified in addition to insuring the quality of educational programs (formal and informal), certifying the achievement of competencies and tending to the articulation of different training opportunities in the country.

#### **BILINGUAL INTERCULTURAL EDUCATION.**

During interviews and school visits, there was great interest in and motivation for implementing Intercultural Bilingual Education programs. Didactic materials that MOE and REAULA had designed and distributed in several Mayan languages were also appreciated. However, despite this high level of interest and formal agreements, progress in practice has been very weak.

For this reason, we think it is important to design and offer certificate programs for teaching and learning in Mayan languages. If certificate programs continue to be offered exclusively in Spanish, including contexts encouraged by EBI, the message that is sent is not as strong as if the certificate programs were offered in the indigenous languages for teaching all CNB content, at least during the first years. These continuing education opportunities should include teaching regarding second language learning. Additionally, the following should be considered: making pedagogical, didactical documents to accompany courses, certificate programs and classroom accompaniment programs. These didactic guides or manuals should be up to date and offer pertinent methodological strategies in line with current sociocultural and linguistic considerations. These materials should be generative in nature and should help the teachers' transfer didactic understanding to their classroom practices in a reflective way. Put more emphasis on all documents: posters, flyers, teacher continuing education and the importance of teaching in the children's native language and in the context of their culture and community if you want to achieve quality in their learning. Include recommendations about the relevance of teaching Spanish with second language learning strategies.

#### **THEORETICAL-PEDAGOGICAL FOCUS<sup>4</sup>.**

Review, enrich and offer more coherence amongst theoretical/practical documents that are created in accordance with EBI and reading-writing skills. As evidenced, teachers have conceptual confusions, and particularly difficulties understanding and making compatible phonological awareness skills and knowledge of the alphabet, with the development of reading comprehension and writing (and oral) expression. Similarly, teachers conceptually disconnect children's learning of reading and writing in Spanish and in their native language, as two linear and sequential processes.

The presence of documents like "Modelo Nacional de Educación Bilingüe Intercultural enfocado en la Lectoescritura para Preprimaria hasta Tercer Grado de Primaria, Basado en Estándares" (USAID, 2013) could end up being an important part of EBI policies and programs in the country. Nonetheless, the first part of the document develops a socio-constructivist paradigm regarding EBI, and later on the document uses a recently released behaviorist based product founded on "reading maturity" ideas. This important document should be reviewed and discussed with Guatemalan specialists (MOE, NGOs specializing in EBI) before it is socialized.

**SCHOOLS FOR PARENTS.** Maintain and expand Schools for Parents. Educating the community, helping them see the value of new practices, translates into support for and enrichment of school efforts. As was observed during the visit to the AKEBI program, when illiterate adults are invited to use their oral skills to support their children or grandchildren's learning through critical questioning, they advance the literacy development of their children and themselves. In the observed classes, books that children read in class and could take home were read to adults and they learned how to ask "good" questions in reference to the reading. In this way adults were not only motivated to engage in academic activities at home, but they also learned what to expect from school. If these classes are not offered, parents just demand that their children be assigned as homework the same mind-numbing exercises they themselves were asked to carry out once upon a time to no benefit.

**TEXTS AND MATERIALS.** This contribution is highly valued by experts and teachers. This task, however, requires further pedagogical suggestions for using the materials in classes in productive ways. Perhaps the Educational Departments of Quality committees could be channel for communicating a vision of how to maximize impact of texts when in use.

**ZONES OF OPPORTUNITY.** Even though the strategy developed covers different work areas (human resource preparation, practices – observing the teacher at work-, develop of leadership skills and direct work with educational communities), for different actors the strategy was too narrowly focused. Specifically, the work is criticized for having been carried out in only a few municipalities and in only a few schools. Although the implementation team is not responsible of this decision, for further projects it is necessary to develop a pilot model that makes replicable the experience in all the country. An experimental testing system, in which the chosen groups could represent the variability and diversity of the country, would allow expanding and replicating the strategies. Another problem is that the current institutionalism does not insure the possibility of change unless the mayor wants it of his own volition. It is necessary to complement efforts in educational area with support of the development of new policies aimed at institutional strengthening the departmental level.

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<sup>4</sup> See appendix nº 5 for successful models in other countries.

**TIME FOR CHANGE.** We would like to recommend that a second cycle of the program be conducted for the following years. Although the impact in classrooms has been focalized, we think that the seeds for change have been planted. A second application of *classroom reform*, especially focused on expanding SINAÉ model and teacher training, is required for improving quality at the school level. The building of capacity at intermediate and local sectors of the educational system is a key strategy for supporting institutions to deliver effective practices so that students can indeed reach their fullest potential. In order to achieve this goal REAULA's team should not only be responsible for designing changes at the local level, but also work hand in hand with MOE officials, departments and municipalities in the implementation and assessment of the reform. In other words, carrying out the reform strategies at the local level is crucial for achieving real change, thus REAULA should participate and support this complex process. A good design can fail because of unpredicted events and a weak implementation. Therefore, an effective reform requires close monitoring, in order to reflect upon the initial design, and adjust and redirect strategies during the process, to attain the desired reform at the classroom level.

## VI. ANNEXES

## **ANNEX N°1: DOCUMENTS ANALYZED**

1. REAULA, “Estructura de Análisis y Funciones”, Guatemala, Febrero 2012
2. REAULA, “Modelo Conceptual la Calidad Educativa”, Guatemala, Diciembre 2011
3. REAULA, “Modelo de Gestión la Calidad Educativa ”, Guatemala, Julio 2012
4. REAULA, “ODA para Guatemala ”, Guatemala, Junio 2009
5. REAULA, “Análisis de ODA”, Guatemala, Mayo 2013
6. REAULA, “Educación Inicial y Pre-primaria, síntesis evidencia internacional”, Guatemala, Marzo 2011
7. REAULA, “Evaluación modelo educación inicial y preprimaria”, Guatemala, Noviembre 2012
8. Modelo de educación inicial y preprimaria”, Guatemala, Octubre 2011
9. REAULA, “Propuesta del diseño de validación del modelo de educación inicial y preprimaria”, Guatemala, Septiembre 2011
10. REAULA, “Diseño del estudio sobre el estado actual del nivel medio en Guatemala”, Guatemala, Marzo 2011
11. REAULA, “Estrategia discusión Nivel Medio”, Guatemala, Febrero 2013
12. REAULA, “Ruta crítica elaboración propuesta de la reforma educación media en Guatemala”, Guatemala, Febrero 2011
13. REAULA, “Asistencia técnica en zonas de oportunidad”, Guatemala, Julio 2012
14. REAULA, “Estrategia relacional reforma educativa”, Guatemala
15. REAULA, “Informe actividades realizadas en zonas de oportunidad”, Guatemala
16. REAULA, “Informe intervenciones zonas de oportunidad”, Guatemala, Septiembre 2010
17. REAULA, “Informe resultados evaluación docentes diplomado Jalapa”, Guatemala, Marzo 2013
18. REAULA, “Matriz Intervenciones zonas oportunidad”, Guatemala, 2012
19. REAULA, “Reportes de Estudio de Linea Base”, Guatemala, Octubre 2010
20. REAULA, “Resultados de la prueba de matemática”, Guatemala, 2010
21. REAULA, “Resultados de lectura segundo y tercero”, Guatemala, 2010
22. REAULA, “Resultados de pruebas de lectura”, Guatemala, Julio 2010
23. REAULA, “Comunidades de aprendizaje\_2011
24. REAULA, “Datos Información del recurso humano formado”, Guatemala, 2013
25. REAULA, “Base de Datos Desempeño en lectura y matemáticas estudiantes primero, segundo y tercer grado”, 2012
26. Equity in Education in Guatemala. 2006  
<http://siteresources.worldbank.org/GUATEMALAINSPANISHEXT/Resources/500796-1166830633691/6.EmilioPorta.pdf>
27. Sistema Nacional de Indicadores Educativos: MINEDUC Guatemala
28. PNUD, Informe sobre Desarrollo Humano, 2011,  
<http://hdr.undp.org/es/informes/mundial/idh2013/>

**ANNEX N°2: INTERVIEWEES**

Institution	Position
USAID	Educational Officer
Members of the professional REAULA team	Director
	Technical Vice-director
	Administrative Vice-director
	Coordinator of Institutional Strengthening
	Coordinator of Quality Classrooms
Teacher National Assembly	Representative from the Teacher National Assembly in the National Education Council(CNE)
High Office, Ministry of Education	Education Minister
	Technical Vice Minister
	Vice Minister of Design and Control of Educational Quality
	Vice Minister de of Bilingual Intercultural Education
Local Ministry of Education (MOE)	Director of the Education Department, Totonicapán
	Chief of the Technical Pedagogical Department, Totonicapán
	Vice-director, Department of Education, Quiché
	Education Department Director, San Marcos
	Chief of the Department for Ensuring Quality in Bilingual Intercultural Education, San Marcos
	Chief of the Technical Pedagogical Department, Jalapa

Institution	Position
MOE Supervisors	Technical Administrative Coordinator (CTA), Santa María Chiquimula, Totonicapán
	CTA Totonicapán, Totonicapán
	CTA San Bartolo Aguas Calientes, Totonicapán
	CTA Momostenango, Totonicapán
	CTA San Pedro de Jocopilas, Quiché
Members of nongovernmental organizations	PRODESSA
	Coordinator for implementation, CDRO
	Head of AKEBI
Representatives “la Gran Campaña por la Educación”	Member CNE, Episcopalian Conference, International and National Cooperation Consultant from MOE
	President of the Social Research and Studies Association (ASIES)
Business People for Education	Director of Business People for Education and compliment of CACIF for the National Education Council CNE
Representatives “Grupo Promotor de la Educación”	Director of USAID/HEPP
	Coordinator of Education ASIES
Político de la Adm. Otto Pérez	Vice-Director of Bilingual Intercultural Educational Development, DIGEBI
Local Authorities	Ex. Vice-Mayor San Pedro Pinula, Jalapa
	Mayor, Momostenango, Totonicapán
	Mayor, San Bartolo Aguas Calientes, Totonicapán
Ex members of MOE	Ex Vice Minister of Design and Assessment of Quality Education
	Ex director of DIGECADE
Universities	Head of Universidad del Valle de Guatemala
	Director of Education Universidad Rafael Landívar

Institution	Position
	Representative CNE de la Universidad del Valle de Guatemala
	Director, Secondary School Teacher Training Program EFPEM
	Dean Faculty of Education U. Panamericana
Heads of the Ministry of Education Department level.	Director, General Accreditation Department (DIGEACE)
	Director, General Curriculum Department (DIGECUR)
	Director, General Bilingual Education Department (DIGEBI)
	Vice-Director of Curriculum Development for indigenous population DIGEBI
	Director, General Educational Development Department (DIGECADE)
	Director, General Department for Quality Monitoring and Assessment (DIGEMOCA)
	Director, General Department for Educational Evaluation and Research DIGEDUCA
	Assistant Director of Educational Tools DIGEDUCA
	DICOMS Consultant
General Director for Extracurricular Education DIGEEX	

**ANNEX N°3****Departments and Municipalities visited**

<b>Department</b>	<b>Municipality</b>	<b>Rural</b>	<b>Urban</b>
Jalapa	Jalapa	2	0
	San Pedro Pinula	1	1
Totonicapán	Totonicapán	1	1
	Momostenango	1	0
Quiché	Joyabaj	1	1
	San Pedro Jocopilas	1	1
<b>Total School</b>		<b>7</b>	<b>4</b>

**Educational establishments visited**

<b>Department</b>	<b>Municipality</b>	<b>School</b>		<b>Nº of classrooms observed</b>
Jalapa	Aldea el Chaguite, Municipio de Jalapa.	Escuela Oficial Rural Mixta, El Chaguite.	Rural	1
	Municipio de San Pedro Pinula.	Escuela Oficial Urbana Mixta, San Pedro Pinula.	Urbana	2
	Aldea San María Xalapan, Municipio de Jalapa.	Escuela Oficial Rural Mixta La Monaña.	Rural	1

	Aldea Guisiltepeque del Municipio de San Pedro Pinula.	Escuela Oficial Rural Mixta Guisiltepeque.	Rural	Reading Activity with the entire school
Totonicapán	Municipio de Totonicapán.	Escuela Oficial Urbana Mixta de Párvulos "Celia Dalila de León".	Urbana	1
	Municipio de Momostenango.	Escuela Oficial Rural Mixta, Paraje Panictacaj,	Rural	1
	Aldea Nimasac, del Municipio de Totonicapán.	Escuela Oficial Rural Mixta Nimasac.	Rural	1
Quiché	Municipio de Joyabaj.	Escuela Oficial Urbana Mixta "La libertad", barrio la Libertad.		1
	Municipio de San Pedro Jocopilas.	Escuela Oficial Urbana Mixta San Pedro Jocopilas.	Urbana	1
	Aldea El Infiernito del Municipio de Joyabaj.	Escuela Oficial Rural Mixta Aldea El Infiernito.	Rural	1
	Cantón Santabal II del Municipio de San Pedro Jocopilas.	Escuela Oficial Rural Mixta Cantón Santabal II.		1

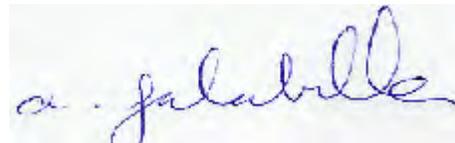
**ANNEX N°4: Disclosure of Conflict of Interest for USAID Evaluation Team Members**

**Disclosure of Conflict of Interest for USAID Evaluation Team Members**

Name	Alejandra Andrea Falabella Ambrosio
Title	<ul style="list-style-type: none"><li>• Doctor (PhD) in Education, Institute of Education, University of London.</li><li>• Master degree in Social Anthropology and Social Development, Universidad de Chile. April, 2005.</li><li>• Bachelor in Education, Early Childhood Teacher, Pontificia Universidad Católica de Chile.</li></ul>
Organization	Universidad Alberto Hurtado
Evaluation Position	Team Leader
Evaluation Award Number	No
USAID Project (s) Evaluated	No
I have real or potential conflict of interest to disclose	No

I certify that I have completed this disclosure form fully and to the best of my ability and that I will update this disclosure from promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than for which it was furnished.

Signature



Date

4/15/13

## Disclosure of Conflict of Interest for USAID Evaluation Team Members

Name	María José Valdebenito Infante
Title	<ul style="list-style-type: none"><li>• Master degree in Politics and Government, Flacso Chile Chile.</li><li>• Sociologist, Pontificia Universidad Católica de Chile</li></ul>
Organization	Universidad Alberto Hurtado
Evaluation Position	Team Member
Evaluation Award Number	No
USAID Proyect (s) Evaluated	No
I have real or potential conflict of interest to disclose	No

I certify that I have completed this disclosure form fully and to the best of my ability and that I will update this disclosure from promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than for which it was furnished.

Signature



Date

4/15/13

**Disclosure of Conflict of Interest for USAID Evaluation Team Members**

Name	<b>Viviana Galdames Franco</b>
Title	<ul style="list-style-type: none"><li>• Master in Applied Linguistics</li><li>• Master in Special Education</li><li>• Bachelor of Arts in French Language</li></ul>
Organization	Universidad Alberto Hurtado
Evaluation Position	Team Member
Evaluation Award Number	No
USAID Project (s) Evaluated	No
I have real or potential conflict of interest to disclose	No

I certify that I have completed this disclosure form fully and to the best of my ability and that I will update this disclosure from promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than for which it was furnished.

Signature 

Date 4/15/13

**Disclosure of Conflict of Interest for USAID Evaluation Team Members**

Name AÍDA WALQUI

Title

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- Master in Sociolinguistics
- B.A. in Literature

Organization Universidad Alberto Hurtado

Evaluation Position Team Member

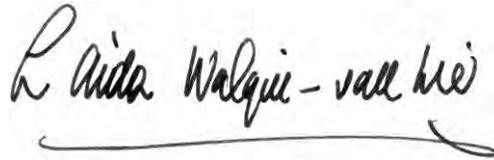
Evaluation Award Number No

USAID Proyect (s) Evaluated No

I have real or potential conflict of interest to disclose No

I certify that I have completed this disclosure form fully and to the best of my ability and that I will update this disclosure from promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than for which it was furnished.

Signature



Date

4/15/13

**ANNEX N° 5: Bilingual Intercultural Education: Which models have been successful in countries that face similar challenges to those of Guatemala? Is there a methodological approach that could be applied to the Guatemalan context?**

It is not possible to state that Intercultural Bilingual Education (EBI) has enjoyed on-going success in contexts where linguistic minorities have constituted the target population. There have been temporary successful projects in Latin America and in the United States that rendered good results as they were supported, but languished once the internal or external support that made them possible was reduced or retired. Are we to derive then that this type of education is doomed to failure? We propose that instead, it is time to undertake a review of key features of these projects. It is now essential to reanalyze successes and limitations of EBI in light of current research in second language acquisition and pedagogy, the goals and plans of these projects, and the evolving nature of the world economy and 21<sup>st</sup> century educational demands.

Pedagogically some of the features that need to be reconsidered include:

- The presupposition that skills (such as reading, writing, and oral abilities), conceptual understandings, and the language required to express them, develop in a linear and sequential fashion in students' L1 and L2 . Recent work (see, for example, Shavelson, 2013; Shavelson et al, 2008). Instead, proposals have emerged that propose the spiraling and gradual simultaneous development of these skills, understandings, and the language required by all students at different paces, depending on where these students begin, and the interaction of background factors with instruction. Those who have the most to learn are the ones that advance the most rapidly provided a high challenge/high support pedagogy (Walqui & van Lier, 2010).
- A concomitant idea is that each phase of language or literacy learning should lead to "mastery" of a component before students advance. Multiple proposals instead suggest that students can engage in rigorous academic practice with less than perfect command of the L2 and with diverse levels of literacy attainment (see, for example the Understanding Language Initiative, at [ell.stanford.edu](http://ell.stanford.edu))
- Grade retention: promoting students only after they have "mastered" skills hurts students, who already think and act critically outside of school. Instead students need to be invited and supported with rich texts and intellectually engaging tasks as they are gradually apprenticed into academic practices.

Recent developments in second language acquisition go further, to challenge deep-seated beliefs in the field. It would be healthy to consider these ideas in the Guatemalan context of EBI implementation. One of the most important ideas relates to the goal of L2 proficiency. For example, formal, functional, and sociocultural theories have

assumed that the end-state of the second language acquisition process involved acquiring the implicit linguistic system of the monolingual “native” speaker. Such native-like, ultimate attainment, though seldom achieved by most L2 learners (Han 2004), was nevertheless established as the goal of L2 instruction, and learners were evaluated primarily in terms of their acquisition of forms, structures, or communicative behaviors thought to be characteristic of educated speakers raised from birth in a monolingual environment. Monolingual competence and monolingual performance were seen as the norm, and deviations from this norm were labeled using terms such as incomplete acquisition, fossilization, and interlanguage.

In the last decade, work carried out by various researchers on the nature of bilingualism (Grosjean, 1997, 1998) as well as the roles of socialization (Duff & Talmy, 2011), interaction (Kasper & Wagner, 2011), and language variability (e.g., Larsen Freeman, 2006, de Bot, 2007) in second language acquisition has raised many questions about a number of these and other commonly accepted views about SLA and bilingualism. For the most part, such views have not yet begun to influence mainstream L2 teaching, but they have great potential to do so and are therefore fundamental to L2 professionals’ knowledge and preparation, particularly as they re-evaluate their roles in the new world context.

Primarily due to scholarship on bilingualism from sociolinguistic, linguistic and sociolinguistic perspectives (e.g. reviewed in the Handbook on Bilingualism (Bhatia & Ritchie 2013), it is now generally accepted that bilinguals are specific speaker-hearers (Grosjean, 1985, 1989) who are not two monolinguals in one. Rather, they use their multiple linguistic repertoires in a variety of ways in order to meet their communicative needs. Bilinguals do not normally have the same levels of proficiency in all language modalities (speaking, listening, reading and writing) in each of their languages, and as a result there is increasing concern about the construct of *language proficiency* as it has been used to measure bilingualism by researchers (Hulstijn, 2012). As Wei points out in the book *Multilingual Norms* (2010), it has become increasingly obvious that bilinguals should be compared only to other bilinguals and not to monolinguals in any one of their languages.

May (2014) refers to these changes in perspective as the “multilingual turn” in applied linguistics that is a natural consequence of the increasingly globalized world in which the teaching of L2s is now taking place. According to May (2014) and Ortega (2014), dissatisfaction with and concern about the tendency to view individuals acquiring a second language as failed native speakers has been present in SLA profession for some time. Bley-Vroman (1983), for example, pointed out the comparative fallacy of using monolingual competence as a benchmark for L2 learning. Cook (1992, 2002, 2001) argued for a multi-competent view of language learners and questioned the tendency to refer to individuals who acquire an L2 perpetually as *learners* rather than *users*, and Beacco (2005) offers the term *plurilingualism* to describe individuals’ capacity to use more than one language in social communication even as they have varying commands of those languages. A

number of other scholars have also criticized monolingual assumptions and the narrow views of language experience they imply, beginning in the early 1990s?? (Canagarajah, 1999; Davis, 1991, 2003; Doerr, 2009; Doer & Kumagai, 2009; Kramsch, 1997; Nuzhat, 2004, ), but Ortega (forthcoming, 2014) contends that mainstream SLA research communities still do not fully understand the ideological or empirical consequences of the native-speaker norms and assumptions they rely upon in their work. Ortega (2013) suggests that Usage Based Linguistics, which emphasizes the language which learners experience rather than the goal of obtaining “a monolingual-like command of an additional language” (Ortega, 2009, p. 5) can help to inform the multilingual (and inherently more social) turn in SLA.

In addition to the multilingual turn, developments in alternative SLA theory have introduced new perspectives for L2 professionals to consider that, while often rooted in functional and sociocultural theories to some degree, offer new insights. Language socialization theories of SLA (Duff & Talmy, 2011), for example, suggest that students’ learning of language is inseparable from socialization into the values, identities, ideologies, stances, and practices of communities. Socialization is, however, a contested and often bi-directional process for learners and teachers, and one that involves more than the learning of language structures and forms. Discourse-focused alternative theories, such as the conversation-analytic approach to SLA (Kasper & Wagner, 2011), suggest that language competence can only be seen through interaction with others, which is therefore the venue for both the development and demonstration of SLA. In a third recent SLA theory development, scholars drawing from chaos and complexity theory (Larsen-Freeman, 2008, Larsen-Freeman & Cameron 2008) and dynamic systems theory (de Bot, 2007), on the other hand, have argued that L2 acquisition is an inherently non-linear variable process that will not result in native-like end states. Rather than viewing second language acquisition as a uniform or linear process, Larsen-Freeman suggests that language should be seen as a “complex adaptive system,” in which language is inherently variable and language capacities change as a result of being used. The implications of this approach are clear: in a provocatively subtitled article “Second language acquisition and the issue of fossilization: There is no end and there is no state,” Larsen-Freeman (2006) argues that by focusing on errors in relation to a supposedly stable “end state,” we may overlook what students are already doing successfully and assume a linear progression that will not materialize.

So, it may be productive to rethink the linguistic goals of L2 and L1 learning in EBI, as well as processes and tools that have characterized ineffective pedagogies.

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## **ANNEX N° 6: Three Classroom Visit Vignettes**

The first two vignettes are both specific to classroom situations, and illustrative of the general patterns we observed throughout our classroom visits. They are both presented to highlight central aspects of instruction that need to shift in order to give way to substantive opportunities to learn.

The third vignette focuses on a more promising class. Only two of the classes we observed demonstrated this positive pedagogical trend. One of them was in Spanish, and the other one – which we describe- was the only class observed that was conducted in the indigenous language, in this case, in *K'iche*.

### **Vignette 1. From whole school engagement to a focus on second grade**

The whole school is engaged in an activity called “Cuenta Cuentos.” About 120 students are gathered in the courtyard, which is muddy and cold. There are six different lines of students, standing by grade level. They all face a stage where the teaching staff stands and take turns leading the event. The first teacher reads aloud a story called *The Hare*. Once finished, she asks the audience a couple of textual questions, a few answer chorally. Many students are getting distracted, they talk to each other or play a bit. A second teacher takes the stage to read *Little Red Riding Hood*, reading is followed by four textual questions that create little interest in the students. Next the principal shows a number of objects she has produced with recycled materials. They include a flower, a turtle, a box. She asks the students questions about what these objects may be used for, but gets few answers. The event continues with three other teachers reading or narrating stories –neither exciting nor well told- the students are increasingly distracted and disruptive. Cuenta Cuentos lasts for two hours.

A brief passing time marks the transition between activities. We are told that next writing will be modeled and then carried out. For that purpose, a few tables and chairs are brought out to the courtyard from different classes. We decide to focus on the second grade class. The modeling of writing consists of four students –selected by the teachers because they write better- sitting down at the tables and beginning to write their summary of *Little Red Riding Hood*. They are told that after they finish writing, they should draw, and they are given colored pencils to illustrate their scenes. All other children watch the activity, standing around, as it unfolds. This is not a very stimulating activity for anybody, not even for the students who are sitting writing. They get no direction for composing their text, and on close observation, their products are limited to one or two isolated phrases or sentences. They get a little bit more excited when they have to draw and color, but for the student observers, the activity –which takes about an hour- is a painful experience that has taught them nothing.

A number of pedagogical issues come to light through this extended three-hour activity. In the following chart we list on the left hand side some practices and presuppositions that guide some negative practices, and on the right hand side we discuss their theoretical and practical validity.

Ideas teacher misunderstands	What we know about deep learning
<p><i>Performances are important to assist students in their motivation and learning</i></p> 	<p>Performances are indeed important, but they need to represent students' culmination of a well-scaffolded cycle of learning. These performances need to represent students' understanding of the subject matter (what constitutes a story, structure of the story, typical language expected to move events in a story) and their ability to transfer it to novel contexts. In this sense, having teams of students create their own stories based on their understanding, and read them dramatically in front of others could be a good performance. This should be done on a rotating basis. 2 or 3 stories for display are enough for one event. More than that is too taxing on the ability to pay attention and enjoy.</p>
<p><i>Modeling is important</i></p>	<p>Modeling is essential. It means having somebody who understands the process, outline it for observers, and then apply it. Then students are invited to follow the process and are assisted as they implement it. Teachers assess students' evolving productions formatively and provide additional scaffolding as needed.</p>
<p><i>Modeling is conducted with a selected group of students</i></p> 	<p>Modeling is indispensable for all students. This means all students need to be actively engaged in their implementation of practices that they are beginning to appropriate. Heterogeneous grouping in this sense is ideal to get students to productively contribute to joint products that will pave the way to future autonomous productions.</p>
<p><i>Students must change environments in order to get motivated</i></p>	<p>This may be a true statement in general, but it must be thoughtfully applied in the particular. Changing classroom arrangements is a change in the learning environment. Rotations of groups, for example, provide as much novelty and interest for</p>

	students. Just moving them out of the classroom into a setting that is less hospitable is not a good application of the premise.
<i>Writing summaries of stories is a valuable experience for students</i>	Summarizing is a very complex activity. It means that the writer has to isolate crucial information from many details presented in the text. The writer must have a schema of what the essentials of the genre are. In the case observed, it is a narrative. Teachers should have shorthand understandings of what a story is: The focus of the text is on a sequence of actions. There is a character, specific characteristics of the character which are important (to the story), a problem emerges, that problem is resolved, character changes. (Derewianka, 2011). In this case, the teacher could have gone back to the story and had the students analyze its component elements. Then, the teacher could read a second story and go through the same analysis. Then, students, working in heterogeneous groups, could create their own story, following guidelines.
<i>The more content covered, the better</i>	Trying to walk through several stories in two hours seems to be based on an understanding that coverage is important. However, we know that less is more; well-selected pivotal ideas and processes, woven and interconnected through meaningful relationships, provide students with generative knowledge. The bits and pieces approach develops superficial and inert knowledge, recalling, not transferring.

### **Vignette 2, a 5<sup>th</sup> grade class**

The class begins with choral reading of a story about two parrots that were too talkative. The purpose of the lesson is to work on synonyms, defined by the teacher as “words that have the same meaning but are written differently.” Teacher then writes a list of words taken from the story, on the blackboard. House, face, wide, small, wet are part of the list, and she asks students to provide synonyms for them. There is some confusion, reinforced by the teacher, that some words mean the same, i.e. ‘wet’ and ‘humid’, ‘old’ and ‘ancient.’ This activity takes place for about 45 minutes and focuses on isolated words that are not discussed in terms of the theme of the narrative.

Ideas teacher misunderstands	What we know about deep learning
The exploration of language needs to be based on text	Ideally the exploration of language patterns is based on the reading of enticing, challenging texts. This means that first a text needs to be discussed and understood. If the focus is going to be synonyms, then it is important that first students understand the concepts they are going to find other names for. Beginning with the whole picture first, to then focus on parts, is not only more enticing to students, but it actually helps them construct powerful, interrelated meanings that they begin to own and can thus apply across contexts.
Common concepts can be easily explained to students	Even the simplest of terms require practice in order to be explained to students in powerful and succinct ways. Ideally this practice is learned by teachers working together in workshops, and after multiple practices and reflection, it is appropriated by the individual to use in classroom practice.

In both vignettes we observe teachers who lack subject matter knowledge (Shulman, 1995), and who need to develop it, and learn to apply it, through sustained professional development opportunities. Even the understanding of key elements in a short story for children require a sophisticated understanding by the teachers, if this understanding is not in place, the class will flounder and will not accomplish its desired objectives. (Tharp & Gallimore, 1998). Besides that, key knowledge about the genre, and the ability to teach it (Shulman’s pedagogical subject matter knowledge), effective teaching will be elusive.

### Vignette 3. A first grade vignette

This classroom vignette shows the exceptional case in our sample, a class taught in the students’ native language, which demonstrates some robust and productive literacy and language development practices, while at the same time displaying weaknesses that need to be strengthened.

The teacher started class showing the students a picture from the flip chart book (rotafolio) which showed a wolf. As she shared the pictures with the students, she created a story using language that presented onomatopoeic sounds related to the grapheme and phoneme “q” in *K’iche*, displaying sounds the animals made, which was going to be one of the class objectives. Students actively participated in the activities, reproducing the animal sounds. They then cut and pasted in their notebooks a human figure using materials the teacher provided. Their designs showed an arrow to the wolf’s neck, and a word produced by the animal. The rest of class time was spent tracing capital and small letters using highly interactive games.

This vignette shows the incorporation of materials provided by REAULA in the native language of the students, although not used to their full potential, in combination with very traditional methodology. However, the teacher was able to coherently weave new and old practices and invite students into reading and writing activities. Teacher declared she does not like to use the Kemon Ch'ab'al text, and she will put them away until the students can read in their L1. Her rationale was that these books do not clearly focus on key phonemes, which is where she likes to start when she develops students' abilities to decode a text (the observer acknowledges the teacher was correct). This is why the teacher prefers to use DIGEBI-made materials.

<b>From the point of view of the teachers in the event</b>	<b>What we know about deep learning</b>
<p><i>Materials provided by REAULA</i></p>	<p>Current approaches to the development of literacy coincide on the importance of situating decoding skills within contextualized situations, specifically, departing from a brief text that contains the sounds to be worked on. In this case, the flip chart book fulfilled this purpose although it may have been more appropriate to use a big book through which the students could have followed the story while observing the words printed on the text. In order to develop initial reading and writing skills, especially in contexts where oral culture is more present than reading and writing, children require multiple experiences with a variety of texts so that they can develop awareness of the functionality of written language. In this way, they will also be motivated to read autonomously. This interest serves as the basis to gradually learn about the written code modeled in texts.</p>
<p><i>Active participation by the students is essential for learning</i></p> 	<p>Indeed, children who are offered ample opportunities to engage in challenging and well supported activities, learn deeply and become conscious of the strategies they use to learn, metacognition, especially if they work collaboratively. However, not every participatory activity is appropriate. Quality interactions require both challenge and the support offered by participation structures that have been deliberately planned and which allow for student active and stimulating engagement. In the observed class participation was almost always choral, all children responded at the same time. Instead the activity could have been turned into dyadic interactions to maximize each student's ability to engage meaningfully.</p>

<p><i>Practicing writing repetitively enables students to acquire good handwriting</i></p>	<p>Children become aware of the importance of what they learned when they are invited to apply newly gained knowledge to new situations, or to the solution of novel problems. This also helps them realize what they do not quite understand yet, and thus, what they need to work on. Consequently, it is important to differentiate activities where students are asked to make mechanical use of information from those that stimulate the creative transfer of ideas.</p> <p>In the case of handwriting, just to copy individual letters creates boredom and no learning. In fact, it has been observed in such cases that as the exercise proceeds, the quality of the letters diminishes, which is precisely the opposite of the desired outcome.</p>
<p><i>Children learn better if they learn by playing.</i></p>	<p>Playful activities can have an important role for motivating students and assisting them in learning. To make ludic tasks advantageous, these must be cognitively challenging, well structured, and they should maximize the opportunity every child has to participate, and thus gradually learn. In this class we observed the teacher engaging students in two games that enabled them to practice what they had learned through a novel situation played through a familiar structure.</p>
<p><i>Quality learning opportunities begin in a language that the child knows well.</i></p>	<p>Evidence has accumulated in the field with regards to the importance of conducting learning in students' mother tongue while a second language is being developed. MOE and USAID wrote the "Modelo Nacional de Educación Bilingüe Intercultural Enfocado a la Lectoescritura para Preprimaria hasta Tercer Grado de Primaria, Basado en Estándares" which clearly states this position. However, in the observed class the teacher used only the time allotted to Language and Communication for working in the L1. This is clearly not sufficient to merit the label of bilingual education, nor to reap its advantages.</p>

**ANNEX N° 7: Work-plan**



**REPORT N°1**

**RESEARCH PROPOSAL FOR:**

**FINAL PERFORMANCE EVALUATION OF EDUCATION REFORM IN THE CLASSROOM (REAULA)  
PROJECT**

July 3, 2013

## RESEARCH PROPOSAL FOR:

### FINAL PERFORMANCE EVALUATION OF EDUCATION REFORM IN THE CLASSROOM (REAULA) PROJECT

#### CONTEXT

Since 1998, starting from the Peace Accords, Guatemala has developed an Educational Reform, aiming to improve the quality and equity of preschool, elementary and secondary education in the country. Supporting this long term challenge, the REAULA Program, designed and implemented by USAID alongside the Department of Education, develops a set of guidelines to support efforts of this ambitious and comprehensive Educational Reform during 2009 and 2013.

The main objectives of REAULA take into account, as the reform does, that Guatemala is a country rich in linguistic, ethnic and cultural diversity, with the presence of Mayan, Ladino, Garifuna and Xinca populations. This diversity needs to be strengthened and developed. As the Educational Reform document states *"Education is one of the key factors that will promote the strengthening of the cultural identity of each of its four nations as well as the affirmation of the national identity"* (*Diseño de Reforma Educativa, Comisión Paritaria. 1998:33*).

Curriculum reform, Intercultural Bilingual Education programs, the improvement of teachers' initial development, the preparation of quality linguistically and culturally appropriate educational materials, the participation of families and the community, the follow-up and monitoring of specialist from MINEDUC, etc., all of these are aspects that demonstrate these concerns. Key among these concerns is the special attention paid to the provision of effective opportunities to learn in classrooms to all children.

As in any educational reform, progress towards ambitious goals take a long time, and the process faces a myriad of problems that hinder its development. The purpose of this assessment is to provide an account of accomplishments and tensions found in the design and implementation of the program with the goal of proposing responses which are increasingly appropriate to the needs of the Guatemalan educational system.

Documents prepared by REAULA USAID reveal the willingness to articulate actions to build coherence. Among them are *"Resúmenes de Políticas 1 y 2"*, outlining approaches and concepts regarded as central in program development. These documents also show the different synergy levels expected on the guidelines aiming to improve the quality, equity and participation proposed by the educational reform. Salient terms that communicate these efforts include "communities of

learners”, “opportunity zones”, “ongoing development of educators”, “situatedness in the sociocultural realities of the communities involved”, “educational councils”, “dialogic learning”, the “zone of proximal development”, “literacy development in the mother tongue”. These foci signal the intended coherence of the program.

## CONCEPTUAL FRAMEWORK

The educational perspective the team brings to the evaluation of the REAULA program weaves together ideas drawn from sociolinguistics, cognitive psychology, and sociocultural learning theory to analyze the development of academic skills, conceptual understandings, and the languages required to express them in students who are studying in intercultural bilingual programs in the program.

From sociolinguistics comes the notion that language is primarily social — a tool that human beings use to get things accomplished in the real world. This is a seemingly self-evident proposition until it is contrasted with another common way of thinking about language, primarily as syntactic, lexical, and phonetic systems. Human beings use those — and other — systems when we communicate, but these systems are not what we focus on as we engage in interactions with others. In schools students apprentice how to present ideas, agree or disagree with others’ points of view, summarize, compare, contrast, critique, suggest, and carry out other verbal interactions in ways that successfully accomplish what they intend, in ways that are appropriate to the social moment. Understanding language, therefore, is primarily a matter of understanding actions (utterances) based on an understanding of the contexts in which they are expressed: who said what, what relationship the speakers have with each other, where the expression is uttered, when, for what purposes, using what perspective, intending what goals. Language users focus on the social role of language: action and communication. A focus on the code of a language (e.g., grammar), while also important, is secondary. Consequently, students need to be invited to participate in academic activities that assist them in apprenticing these practices, and as they gain practice, they also gain accuracy, fluency, and complexity in the L1 and the L2. Furthermore, as they participate in action that is successful, they gain autonomy and agency.

From cognitive psychology, we build on the extensive research carried out to understand the nature of learning: the importance of building on prior knowledge, establishing relationships between and across ideas, and focusing learner attention on the processes of knowing — thinking about thinking. This last aspect, metacognition, is extremely important for second language acquisition because it helps learners take control of their own learning and decide what to do when they do not understand the text at hand, whether it is oral or written (Bransford, Brown, and Cocking, 2000).

From sociocultural theory we bring in the assumptions that learning, especially in the early stages, is essentially social in nature. Ideas are initially acquired in interaction with others, and only later are they owned conceptually. Language interactions between teachers and students, and among students, play a pivotal role in mediating the construction of knowledge. Students are socialized into the academic practices of adults through invitations to engage in activity with others, by

receiving models of how that engagement is enacted, and by being provided with the support and opportunity to practice and eventually own, or “appropriate” those practices (Lantolf and Thorne, 2006).

Sociocultural theory underlies and structures the learning and pedagogical framework we will use to analyze the opportunities to learn that are offered students in the REAULA program, both to assess the quality of the design and implementation, but more importantly, to offer suggestions for strengthening it in the future. They will also guide our evaluation of the opportunities teachers are offered to develop their expertise to carry out their work. We strongly feel that our orientation is coherent with the proposed work and therefore would provide the theoretical framework for a fair and productive evaluation.

## **SCOPE OF THE STUDY**

The purpose of this assessment is to analyze the performance of the REAULA Program carried out by USAID in Guatemala. The goal is to develop an understanding of the program that will enable the researchers to assess the appropriateness of its design as well as the implementation strategies followed. We will also assess the program attainments using along the way extant results as well as newly collected data. In addition, we will provide specific recommendation for strengthening and deepening the unfolding and recreation of the program. We understand that both Guatemala and USAID need to build on tested successes, as well as refine aspects that did not work as intended to be able to sustain reform efforts.

The study will gather information related to the design, implementation, perspectives from key players, and the progress accomplished so far, as well as ways of deepening and accelerating future development of the program. We will also focus on evaluating resources developed.

Our assessment of accomplishments on processes and products will be based on, the goals proposed by the Program, evaluating as well their appropriateness for the educational needs of the country. Furthermore, the study will also present a deep analysis of key aspects associated with the internal management of the program, especially those related to capacity to assure the achievement of the expected results in each of its components.

It is worth mentioning that the perspective we bring to this assessment is one that seeks to contribute key ideas that can assist future decision-making in relation to the continuity of this program or other programs of this type. In that regard, we will approach the evaluation as a process that is close to conclusion to -based on extant and newly collected evidence -, will make possible to describe and characterize the progress, its achievements and quality as illustrative of processes of

change from which multiple lessons can be derived. These lessons should prove important for future design and implementation of Education policies and strategies in Guatemala.

To attain the aforementioned goals, the methodological approach of this study is both descriptive and evaluative, focusing on the analysis of process and results. This methodological strategy integrates techniques and procedures that are quantitative and qualitative, and it will pay special attention to the diverse context in which the program is being implemented. Three reasons guided our decision to apply this mixed methods approach:

- First, in general terms, the descriptive research purposes are diverse. Such purposes must be undertaken under the most exacting conditions. The multiplicity and variety of conditions entails the use of a range of methods.
- Second, if used for with the same purpose in mind, and in coherent ways, these two approaches can reinforce each other to provide impressions that neither of the methods could yield on their own.
- Finally, as quantitative and qualitative methods usually have different biases, it is possible to apply each of them to submit the other to verification through the respective triangulations developed by the researchers.

The multidisciplinary team that is proposing this evaluation brings immense and complementary experience in intercultural and bilingual education, social research methodologies, and assessment of educational policies and programs. Our team of professionals is deeply experienced in qualitative and quantitative research, their multiple strengths will translate into quality data collection, analysis, and interpretation.

## **OBJECTIVES OF THE STUDY**

### **Overall objective**

To deeply understand and assess the processes and results obtained from the educational program carried out by REAULA, investigating which goals were accomplished and to what extent. We will furthermore identify recommendations in order to improve in the future so that the Guatemalan public educational system can be strengthened.

### **Specific Objectives**

1. Assess the performance, processes, and results obtained by the project REAULA to date.
2. Provide technical recommendations, based on the results and conclusions of the assessment, to

be included on the design of future projects in the Guatemalan education area.  
3. Identify USAID strategic support areas on the education area in Guatemala.

## PRODUCTS

The team undertaking this evaluation, based on their research, will develop the following documents:

- (a) A **first report**, starting from the formalization of agreements with the counterpart. This report will consolidate the initial proposal and will present the work plan. Such plan will include details of the organization, assessment design, procedures for the analysis, and integration of results as well as the schedule of activities and visits. This report will be submitted 5 days after the signing of the contract.
- (b) A **second report** that will present the findings and results of the research. This report will unpack strengths and weaknesses of the technical assistance; specific recommendations for future projects; suggestions for technical assistance or support required by the educational sector. This report will include appendixes that will contain instruments used during the research, all charts and graphs, and any other requested materials. This report will be submitted 40 days after the signing of the contract.
- (c) A **third and final report**, incorporating recommendations and suggestions of the counterpart, USAID, to the results report. This report will have the following structure: an Executive Summary; Description of the Problem and USAID Proposal; Assessment Proposal; Methodological Design and Strategies of the Evaluation Study; Findings and Conclusions, and Recommendations for Future Implementations. This report will be submitted 50 days after the signing of the contract.
- (d) A face to face presentation of the results to the USAID office in Guatemala, to elaborate on the study, discuss the recommendations and findings, and answer queries.

## METHODOLOGICAL DESIGN AND STRATEGIES

Given the characteristics of the study, we have decided to design four research phases. Although each phase has similar features, they are based on different research principles, which aim to understand and assess the results obtained by REAULA in the fulfillment of its technical assistance. Other areas addressed will include capacity development, design of goals, and the identification of areas, which seek to support the Guatemalan educational system in the future.

Based on this, the proposed process includes the following successive phases<sup>5</sup>:

**a) The First phase** will focus on a thorough review of documents. From this analysis, project implementation data will be systematized and analyzed, along with features of the progress and transformation of the educational system and the economic and socio-cultural context in Guatemala. The purpose will be to explain and assess the implementation of USAID/REULA. It should be pointed out that documents to be revised will include those stated in the request for

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<sup>5</sup> The phases are organized in a logical sequence; however, overlapping of tasks may occur temporarily.

proposals, including some other documents which may be suggested by the counterpart and other relevant players.

Tentatively, at this moment the list of documents considered for review include:

- Reports and documents describing the Guatemalan context, such as the UNDP report.
- Proposals and studies developed by REAULA.
- REULA work methodology reports.
- REAULA evaluative reports.
- Other meaningful reports and documents suggested by USAID and REAULA team.

b) The **Second phase** has as its goal to assess perspectives and assessments of diverse key players involved in the REAULA Program. We will seek to understand accomplishments and perceptions of participants in the program on all sides. This analysis will also include a review of the institutions that direct and manage the program. Lastly it will assess the principles and framework that guide the action of the involved players. To accomplish these purposes we will develop semi-structured, in-depth interview protocols which will ensure the process is rigorous and renders the best assessment data. The flexibility offered by semi-structured interviews will allow us to capture rich data through evolving social interaction with participants. The essential advantage of the interview is that key players themselves are those who provide relevant data related to their behavior, opinions, practices, attitudes and expectations.

According to this aspect of in-depth qualitative methodology, each of the key dimensions of the study will be addressed, starting from a relatively fixed list of questions. This will enable an ecological and quick gathering of information, covering all significant topics referred to the design, management, and implementation process of the Program.

As mentioned before, the dimensions to be addressed will make reference to: the dynamics in the Program organization, practices, achievement of goals, as well as the participants' perception of the management, implementation, limitations and strengths of the model, and possible future adjustments that will strengthen both the ongoing design and results.

From these interviews, other relevant players worth interviewing will be designated.

c) The **third phase** will focus on the collection of other data that will allow the team to develop deeper knowledge of areas such as:

- ✓ The understanding of the players regarding the pedagogical, linguistic and cultural aspects of the tools and processes proposed by the project (educational material, evaluations, communication strategies, etc)
- ✓ The consistency of the proposed system and the professional needs, from the teaching staff perspective.
- ✓ The perception of the awareness campaigns developed by the project on different levels.

To this end, focus groups will be formed strategically choosing among educational players. Focus groups make possible to establish a conversation with a group of participants, where a common reality is talked about and discourses and codes are gathered. The relationship with the interviewees is semi-structured and is based on the goal of entering into the world of the interviewees or assistant to the group techniques. The main difference between discussion groups and focus groups resides mainly on the direction and role taken by the researcher during the conversation. In the case of the focus groups, the direction is commanded by the researcher; therefore, the interaction dynamics are not completely free. Even though the gathering of information is pre-defined by the researchers, it may be possible that the participants providing information expand on the topics covered, depending on their ideas and interests. Thus the richness of the data will enable the evaluators to gain deeper insights into the unfolding of the Program.

Three focus groups will be fulfilled in 16 educational institutions (case studies), considering the teaching staff, students and parents. To make the selection of establishments, the evaluation team will make a consult to experts in educational materials, local development councils and technical counterpart. Preliminarily, the selection of the institutions will take into account the following criteria and distribution:

In addition, we expected to carry out a classroom observation on 6 of the visited schools, to understand the pedagogical dynamics in which the assessment is based. After all, at the center of any educational enterprise is the nature of learning. For classroom observations we will use protocols designed and tested in programs of intercultural and bilingual education.

In terms of the operative development of these phases, it is important to mention that to guarantee an appropriate dynamic aiming to a better approach and triangulation, each of the interviews will be conducted by a professional experienced on work field. The focus groups will be motivated/ encouraged simultaneously by 2 professionals of the team, with plenty of experience in such activities.

The evaluation team will coordinate this phase and will have an active role in all the activities. These actions will be supported by Guatemalan professional experts in educational research and Mayan speakers. To achieve coordination between the actions, all staff will be trained, with special

emphasis on study characteristics, dimensions and bilingual character of important part of the activities. Also, will be requested the support of Ministry of Education, departments territorial selected and technical counterpart, in order to have effective coordination of the activities.

All audio material coming from the interviews and focus groups will be recorded using digital media and will be studied and selectively transcribed by the same professional or professional team developing the activity on field. Classroom observations will be carried out by experts on pedagogical issues with validated tools.

**Table. Summary of Collected Qualitative Data**

<b>Data Collection</b>	<b>Policy Level</b>	<b>Number</b>
Document Analysis	Central level	10-15 documents approx.
Interviews to professionals involved in REAULA at national and local level	Central / Department / Municipality Level	50 interviewees approx.
Focus Group to teachers	School level	9 schools (50 interviewees approx.)
Focus Group to parents	School level	9 schools (50 interviewees approx.)
Focus Group to students	School level	9 schools (50 interviewees approx.)
Classroom Observation	School level	6 schools

d) Finally, the **Fourth Phase** consists of the integrated analysis of the material collected on the previous phases as well as the formulation of conclusive hypothesis destined to meet the research objectives. On this phase, the team responsible for the study will carry out a cross reading of the main results obtained through the investigation process. This iterative analysis will pay particular attention to the development of an analytical exercise to assess the performance and results obtained by the REAULA project to date, as well as provide technical recommendations based on the results and conclusions of the assessment, and identify USAID strategic support areas on the education area in Guatemala.

### **Analysis of Qualitative Data:**

For the qualitative data, the analysis will be oriented to characterize the predominant *discursive model* on the players and contexts to elaborate a global interpretation of the information. The analysis of qualitative data will imply the development of the following steps:

- a) Initial categorization: This step aims to look for common properties as well as to record conceptual notes to serve as a general framework. The codification process induces the discovering of not only categories but also its properties as well as study dimensions. This step will focus on the gathering of the collected data, with suggested indicators in a dimension matrix.
- b) Integration of categories and properties. The second step consist of organize in ascending order the articulation of the components looking for its internal coherence and conceptual integration.
- c) Finally, the third step is the structuring of a comprehensive model, formed from a *discourse of discourses*. The goal is to provide interpretative answers to those relevant aspects summarized on the objectives and the operative plan of the study.

### **Analysis of Secondary Data**

#### **Aims :**

- Analyze the results of REAULA Program by reviewing background literature and educational indicators that account the progress of the educational system associated with different areas of study.
- Characterize REAULA contribution to the generation, support and promotion of Guatemala's educational system.

In line with the areas requiring research analysis, methods and techniques to gather information will be multiple. The study proposes to combine the review and analysis of information from secondary sources using documentary and statistical analysis. For the quantitative approach, and in order to organize and process information on performance indicators associated with REAULA, a descriptive statistical analysis will be developed. Overall, the proposed methodology is structured in three phases of analysis.

- The first phase will characterize and describe generally the Program, by reconstructing the history of the program and the systematization of the results of previous assessments.
- The second phase will develop a statistical analysis of indicators that account for the implementation of the areas of program execution.
- And, in the third phase will be devoted to an integrated analysis of this information, which will allow REAULA identify the contribution of the generation, supporting and promoting Guatemala's educational system.

Below are the methods and techniques proposed to achieve the different objectives of the study, including its dimensions and variables to consider, looking at the information for the various instruments and studies.

### **Operating Model Secondary Data Análisis**

Characterization and Program Overview REAULA.

This phase will be devoted to the reconstruction of the history of the program, and synthesize results from previous assessments. During this period the documents made available by the counterparty will be analyzed, systematized and synthesized.

To account for the first specific objective, aimed at a general description and characterization REAULA Program, we propose an approach through documentary analysis reports and documents describing the context of Guatemala, as the UNDP report's, some studies by REAULA, reports REAULA working methodologies and evaluation reports of other entities.

The analysis of this phase, will aim to release figures to characterize more specifically the Program. Tentatively, we propose to perform analysis on the following levels:

- General characterization of educational indicators by area or field approach (national and regional coverage, student achievement level, initial and ongoing training, bilingual intercultural learning)
- Temporal evolution of the indicators

For a deeper understanding in the above respects, we will develop a more detailed analysis, from the generation and analysis of secondary databases, to which reference will be made below.

**Review and Processing databases:**

This phase devoted to the review of the databases that will characterize the program's contribution to educational development in Guatemala in various fields: Initially data will be worked in Excel and then, for statistical processing, it will enter the program SPSS.

Before starting the statistical analysis of the indicators, the variables are subject to a review process, which will aim to check the range of values associated with each variable, the proportion of missing data and the identification of internal inconsistency.

Once this process is complete, we will proceed to adjust the data analysis plan, which is an estimated preliminarily analysis covering the following dimensions and variables.

DIMENSION	DEPENDENT VARIABLES	INDEPENDENT VARIABLES
Developing students skills	<ul style="list-style-type: none"> <li>• Skills Achievement Level emergent literacy</li> <li>• Skill Achievement Level Mathematics</li> <li>• Lexical Availability</li> </ul>	<ul style="list-style-type: none"> <li>• Department,</li> <li>• Ethnicity,</li> <li>• Gender,</li> <li>• Variables related to factors associated or learning opportunities (variables of variables characterizing context-relative)</li> </ul>
Initial Training	<ul style="list-style-type: none"> <li>• Coverage of initial training by program type</li> <li>• Labor status (employed-not employed)</li> </ul>	<ul style="list-style-type: none"> <li>• Gender,</li> <li>• Department,</li> <li>• Age</li> <li>• Ethnicity</li> </ul>
Continuous-Improvement Training	<ul style="list-style-type: none"> <li>• Coverage of initial training by program type</li> <li>• Labor status (employed-not employed)</li> </ul>	<ul style="list-style-type: none"> <li>• Gender,</li> <li>• Department,</li> <li>• Age</li> <li>• Ethnicity</li> </ul>
Teaching practice	<ul style="list-style-type: none"> <li>• Teaching Practice Indicators</li> </ul>	<ul style="list-style-type: none"> <li>• Teachers variables (gender, age, department, type of initial training, continuing education)</li> </ul>

The sources of information are data from the IIS (Integrated Information System), which will provide information regarding the performance of students and studies related to the dimensions mentioned, as reading test indicators, lexical availability, teaching graduate study, among others.

### **Analysis and Presentation of Quantitative Results**

With respect to all the variables included in the study, a descriptive analysis will be carried out, which will be structured broadly considering the following:

- The study will develop a univariate statistical description for every variable, which entails frequency tables, with their respective histograms or bar charts. Each variable is described in detail in their measures of central tendency and dispersion position as appropriate to the level of measurement.
- Comparative tables will be prepared on all relevant variables, which are displayed using percentage distributions, measures of central tendency and dispersion measurements that are available, so as to draw comparative conclusions and extrapolations.
- Develop cross tables for comparing actual distributions, partial and total percentage of variables that intersect; contingency analysis or test to compare average results. Special attention is given to certain independent variables such as gender, ethnicity, administrative unit of the establishment, regions and localities and variables associated with learning opportunities.

## WORKPLAN

ACTIVITIES	DAYS										
	3-7 Jun	10-14 Jun	17-21 Jun	24- 28 Jun	1-5 Jul	8-12 Jul	15-19 Jul	22-26 Jul	29-2 Ag	5-9 Ag	12-23 Ag
<b>STAGE ONE: FIELDWORK PREPARATION</b>											
Submit Work plan	X										
Reception, revision and database processing from contacts and document material	X	X									
Plan Visit 1, schedule interviews		X									
Fieldwork tools design		X	X								
Define school sample		X									
<b>Submit Report 1</b>			X								
Feedback of Report 1				X							
Contact schools, fieldwork schedule, roadmaps			X	X							
Prepare fieldwork team				X	X						
<b>STAGE TWO: FIELDWORK</b>											
Visit 1: Evaluation Team USAID offices					X	X					
Fieldwork at schools					X	X	X	X			

Document material analysis						X	X				
Quantitative data analysis						X	X				
Interview Analysis (Key Informants)					X	X					
Visit 2: Evaluation Team								X			
Transcription of the material					X	X	X	X	X		
<b>STAGE THREE: DATA ANALYSIS</b>											
School Case study reports						X	X	X	X		
Classroom Observation Analysis								X	X		
Focus Group Analysis (intra-case analysis)								X	X		
Integrated Analysis: Document Material quantitative data- qualitative information									X	X	
<b>Submit Report 2</b>										X	
<b>STAGE THREE</b>											
Counterpart Revision										X	
Reception of counterpart commentaries										X	
Preparation of Report 3											X
<b>Submission of Report 3</b>											<b>X</b>
<b>Final Presentation</b>											

**Report Submission:**

**Report 1** (research design): JUNE 19<sup>th</sup>

**Report 2** (draft of research findings and conclusions): AUGUST 9<sup>th</sup>

Feedback of USAID Team to Report 2: JUNE 14<sup>th</sup> / 16<sup>th</sup>

**Report 3** (final version of research findings and conclusions): AUGUST 23<sup>rd</sup>

**Video conference meeting:** To be confirmed (during last week of august 26-30)

## **DIMENSIONS TO STUDY**

## INTERVIEWS TO KEY ACTORS

<b>Dimensions</b>	<b>Sub-dimensions</b>
<b>Contribución de REAULA a:</b>	Sistema Nacional de Formación del Recurso Humano en Educación (SINAFORHE)
	Sistema Nacional de Acompañamiento Educativo (SINAE)
	Sistema Nacional de Acreditación y Certificación (SINACE)
	Libros y materiales educativos
<b>Avances y desafíos en la implementación del MINEDUC de:</b>	Modelo Bilingüe Intercultural
	Reforma de Educación Inicial
	Reforma de Educación Secundaria
<b>Modelo de organización</b>	Coordinación y grado de participación en REAULA de parte de: <ul style="list-style-type: none"> <li>- Departamentos y Municipalidades</li> <li>- Supervisores Educativos</li> <li>- Facilitadores Pedagógicos</li> <li>- Equipos profesionales de las escuelas</li> <li>- Padres/apoderados u otros actores de la comunidad</li> </ul> - Contribución del modelo de organización al logro de “Salas de Calidad”
<b>Zonas de oportunidades</b>	- Factores de una implementación exitosa
	- Dificultades y limitantes
	- Lecciones aprendidas
<b>Evaluación del proceso</b>	- Ajustes al modelo y plan inicial - Oportunidades no esperadas, y modos en que fueron aprovechadas (o no) - Dificultades/cambios a las que se enfrentaron - Modos de resolver los problemas Aprendizajes de la experiencia
<b>Evaluación de resultados (síntesis)</b>	- Logros y avances - No logros y desafíos pendientes - Sugerencias para la mejorar

## FOCUS GROUP TO TEACHERS

<b>Dimensions</b>	<b>Sub-dimensions</b>
<b>Grado de conocimiento de REAULA</b>	- Diagnóstico inicial a la que busca responder - Objetivos - Estrategias/actividades
<b>Aportes a los directivos, docentes y escuela en general de:</b>	- Sistema Nacional de Formación del Recurso Humano en Educación (SINAFORHE)
	- Sistema Nacional de Acompañamiento Educativo (SINAE)
	- Sistema Nacional de Acreditación y Certificación (SINACE)
	- Libros y materiales educativos
<b>Avances y desafíos en la implementación del MINEDUC de:</b>	- Modelo Bilingüe Intercultural
	- Reforma de Educación Inicial
	- Reforma de Educación Secundaria

<b>Modelo de organización</b>	<p>Apoyo y contribución de X para el logro de "Salas de Calidad"</p> <ul style="list-style-type: none"> <li>- Departamentos y Municipalidades</li> <li>- Supervisores Educativos</li> <li>- Facilitadores Pedagógicos</li> <li>- Padres/apoderados u otros actores de la comunidad</li> </ul>
<b>Evaluación del proceso</b>	<ul style="list-style-type: none"> <li>- Ajustes al modelo/plan inicial</li> <li>- Oportunidades no esperadas, y modos de aprovecharlas (o no)</li> <li>- Dificultades/cambios a las que se enfrentaron</li> <li>- Modos de resolver los problemas</li> <li>- Aprendizajes de la experiencia</li> </ul>
<b>Evaluación de resultados (síntesis)</b>	<ul style="list-style-type: none"> <li>- Logros y avances</li> <li>- No logros y desafíos pendientes</li> <li>- Sugerencias para la mejorar</li> </ul>

### **FOCUS GROUP TO STUDENTS**

<b>Dimensions</b>	<b>Questions</b>
<b>Rutinas en la escuela</b>	En un día normal, ¿qué actividades realizan en la escuela?, ¿Cómo son las clases?
<b>Grado de satisfacción y aspectos positivos de la escuela y docentes</b>	¿Qué lo que más les gusta de la escuelas?, ¿De sus maestros?, ¿Sienten que lo que hacen/estudian les sirve?, ¿Para qué?, ¿Les parece que aprenden suficiente?, ¿Qué aprendizajes más importantes les ha entregado la escuela?, ¿Cómo y con quiénes dirían que aprenden mejor?, ¿Por qué?
<b>Aprendizaje de la L1 y L2</b>	¿Cómo son sus clases en Comunicación y Leguaje?, ¿En qué idioma son normalmente?, ¿En qué idioma hablan, leen, escriben?, ¿Cómo son los libros/ textos que utilizan?
<b>Aspectos críticos de la escuela y Sugerencias</b>	¿Qué aspectos no les gustan de la escuela?, ¿Qué les gustaría que cambiara?, Si tuvieran que hacer alguna recomendación, ¿qué dirían?

### **FOCUS GROUP TO PARENTS**

<b>Dimensions</b>	<b>Questions</b>
Participación en la escuela	¿Se sienten informados de lo que ocurre en la escuela (proyecto educativo, organización interna, actividades de los alumnos)?; ¿Participan en el quehacer de la escuela?, ¿De qué modo?, ¿Les gustaría participar más en la escuela?, ¿Cómo?
Grado de satisfacción y aspectos positivos de la escuela y docentes	¿Qué les parece esta escuela?, ¿El director/a?, ¿Los maestros?, ¿Qué es lo que más les gusta?, ¿Por qué consideran que es importante que sus hijos asistan a la escuela?, ¿Existe algún motivo por el cual ustedes dejarían de enviar a sus hijos a la escuela?
Aprendizaje de la L1 y L2	¿En qué idioma aprenden sus hijos normalmente?, ¿En qué idioma hablan, leen, escriben?, ¿Cómo son los libros/ textos que utilizan?, ¿Qué les gustaría?, Están conformes con el aprendizaje de su L1 y L2?
Aspectos críticos	¿Qué aspectos no les gustan de la escuela?, ¿Qué les gustaría que

de la escuela y Sugerencias	cambiara?, Si tuvieran que hacer alguna recomendación a la escuela, ¿qué dirían?
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### **CLASSROOM OBSERVATION GUIDE (6 PRIMARY SCHOOLS)**

<b>Dimensiones</b>	<b>To observe</b>
<b>ENSEÑANZA DEL MAESTRO/A</b>	Realiza actividades para activar los conocimientos previos de los niños sobre el contenido que se enseñará.
	Presenta las ideas centrales del contenido con claridad y precisión.
	Realiza actividades desafiantes que desarrollan el pensamiento (comparar, resumir, clasificar, describir, relacionar, etc.).
	Ofrece apoyo a los alumnos para lograr la comprensión de todos los alumnos (ofrece ejemplos, modelos, aclaraciones).
	Realiza actividades desafiantes que desarrollan el pensamiento de los niños y niñas (comparar, resumir, clasificar, describir, relacionar, etc.)
	Aprovecha el tiempo disponible para instancias de aprendizaje.
<b>MAESTRO/A EN INTERACCION CON LOS ALUMNOS</b>	Interactúa con los alumnos, los escucha con atención y valora sus aportes e intervenciones, especialmente aquellas relacionadas con su entorno sociocultural.
	Promueve la interacción de los alumnos entre ellos (trabajo colaborativo).
	Crea un ambiente de respeto y cordialidad entre los alumnos y con el maestro/a.
	Formula preguntas abiertas a los niños y los estimula para que ellos pregunten, sin temor a cometer errores.
<b>ENSEÑANZA DE LA LECTURA Y/O ESCRITURA</b>	El maestro hace buen uso del lenguaje (habla y escribe bien en la lengua que enseña, ya sea la lengua indígena o el español).
	Los alumnos tienen oportunidad para expresarse libremente en su L1 y L2.
	El maestro/a motiva y contextualiza los aprendizajes de la lectura y escritura (presenta los nuevos contenidos dentro de situaciones o textos), en la lengua materna de los niños y niñas.
	En caso de trabajar la lectura, el/la maestro/a: <ul style="list-style-type: none"> <li>- Pide a alumnos que hagan predicciones sobre el contenido del texto que leerán (a partir de la observación del título o de las ilustraciones).</li> <li>- Ofrece a los alumnos oportunidades de lectura en silencio o en voz alta.</li> <li>- Realiza actividades para la comprensión del texto. Formula preguntas o pide identificar situaciones, personajes, argumento, idea central, detalles de la historia (preguntas sobre información explícita, información implícita o inferencial, sobre opiniones o valoración de lo leído).</li> <li>- Pide a los estudiantes que: resuman, extraigan conclusiones, comparen, hagan una dramatización, completen un organizador gráfico con información de lo leído, hagan un dibujo basado en el texto leído.</li> <li>- Entrega oportunidades motivantes para la lectura en L1 y L2.</li> <li>- Propone actividades contextualizadas para desarrollar conciencia</li> </ul>

	fonológica, decodificación y otras destrezas de lectura.
	En caso de trabajar la escritura, el/la maestro/a: - Pide escribir textos significativos (más allá de oraciones y palabras), como carta, receta, noticia, poema, cuento. - Enseña ortografía y gramática de modo contextualizado y significativo en relación a un texto. - Entrega oportunidades motivantes para la escritura en L1 y L2.
<b>ESPACIO, AMBIENTACIÓN Y MATERIALES</b>	La organización del espacio facilita el objetivo de la clase y la interacción verbal.
	La ambientación de la sala promueve el aprendizaje significativo del L1 y L2 (ej. biblioteca en sala, posters, periódico mural, trabajos de los alumnos).
	Existen materiales a disposición de los alumnos que apoyan el aprendizaje en la clase.
	Los materiales que se utilizan apoyan tanto el aprendizaje de la L1 y L2.

**NOTA:** Esta pauta tiene un carácter exhaustivo con el fin de tomar en cuenta todas las dimensiones de la calidad en el desarrollo de los aprendizajes y de la enseñanza, tanto de la L1 como la L2, según cada caso. Las actividades o situaciones de la pauta que no se presenten en las clases observadas se señalarán como no observadas.

## **INTERVIEW GUIDES**

## **INTERVIEW GUIDE TO KEY INFORMANTS**

\*\*Esta pauta debe usarse de modo flexible, adecuándose al área de conocimiento y experiencia del entrevistado en REAULA.

**1. Preguntas Introductorias:** ¿En qué trabaja?, ¿Cuál ha sido su involucramiento y rol en REAULA?, ¿Cuánto tiempo lleva en ello?

### **2. Contribución de REAULA.**

- Desde su experiencia, ¿de qué modo REAULA ha contribuido?, ¿Por qué?, ¿Cómo? Referirse a:
  - Sistema Nacional de Formación del Recurso Humano en Educación (SINAFORHE)
  - Sistema Nacional de Acompañamiento Educativo (SINAE)
  - Sistema Nacional de Acreditación y Certificación (SINACE)
  - Libros y materiales educativos

### **3. Avances y desafíos en la implementación del MINEDUC de:**

- Desde su punto de vista, ¿cuáles son los principales avances/logros y no logros/desafíos? Referirse a:
  - Modelo Bilingüe Intercultural
  - Reforma de Educación Inicial
  - Reforma de Educación Secundaria

### **4. Modelo de organización**

- ¿Cómo evalúa la instalación de REAULA en el nivel local?
- ¿Cómo evalúa la coordinación y grado de participación en REAULA de parte de?:
  - Departamentos y Municipalidades
  - Supervisores Educativos
  - Facilitadores Pedagógicos
  - Equipos profesionales de las escuelas
  - Padres/apoderados u otros actores de la comunidad
- ¿De qué modo ha contribuido el modelo de organización del programa a nivel local para el logro de las “Aulas de Calidad”?

### **5. “Zonas de oportunidades”**

- De acuerdo a su experiencia y punto de vista, ¿cómo evalúa la estrategia de las zonas de oportunidades? Refiérase a:
  - Factores para una implementación exitosa
  - Dificultades y limitantes
  - Lecciones aprendidas

## **6. Evaluación del proceso**

- De acuerdo a su experiencia, ¿Cómo evalúa el proceso de implementación del programa REAULA?
- ¿Cuáles fueron los cambios y ajuste al plan inicial?, ¿por qué?
- ¿Cuáles fueron las oportunidades no esperadas y los modos en que fueron aprovechados (o no)?
- ¿Cuáles fueron las dificultades a las que se enfrentaron y los modos de resolver los problemas?
- ¿Cuáles fueron los aprendizajes de la experiencia?

## **7. Evaluación de resultados**

A modo de síntesis, refiérase a:

- Logros y avances
- No logros y desafíos pendientes
- Sugerencias para la mejorar

## **INTERVIEW GUIDE TO PRINCIPLES AND TEACHERS**

### **1. Grado de conocimiento de REAULA**

- ¿Cuál es el diagnóstico inicial a la que REAULA busca responder?
- ¿Cuáles diría que son sus principales objetivos?
- ¿Cuáles diría que son sus principales estrategias/actividades?

### **2. Contribución de REAULA.**

- Desde su experiencia, ¿de qué modo REAULA ha contribuido?, ¿Por qué?, ¿Cómo?  
Referirse a:
  - Sistema Nacional de Formación del Recurso Humano en Educación (SINAFORHE)
  - Sistema Nacional de Acompañamiento Educativo (SINAE)
  - Sistema Nacional de Acreditación y Certificación (SINACE)
  - Libros y materiales educativos

### **3. Avances y desafíos en la implementación del MINEDUC de:**

- Desde su punto de vista, ¿cuáles son los principales avances/logros y no logros/ desafíos?  
Referirse a:
  - Modelo Bilingüe Intercultural
  - Reforma de Educación Inicial
  - Reforma de Educación Secundaria

### **4. Modelo de organización**

- ¿Cómo evalúa la instalación de REAULA en el nivel local?
- ¿Cómo evalúa la coordinación y grado de participación en REAULA de parte de?:
  - Departamentos y Municipalidades
  - Supervisores Educativos
  - Facilitadores Pedagógicos
  - Equipos profesionales de las escuelas
  - Padres/apoderados u otros actores de la comunidad
- ¿De qué modo ha contribuido el modelo de organización del programa a nivel local para el logro de las "Aulas de Calidad"?

### **6. Evaluación del proceso**

- De acuerdo a su experiencia, ¿Cómo evalúa el proceso de implementación del programa REAULA?
- ¿Cuáles fueron los cambios y ajuste al plan inicial?, ¿por qué?
- ¿Cuáles fueron las oportunidades no esperadas y los modos en que fueron aprovecharon (o no)?
- ¿Cuáles fueron las dificultades a las que se enfrentaron y los modos de resolver los problemas?
- ¿Cuáles fueron los aprendizajes de la experiencia?

## **7. Evaluación de resultados**

A modo de síntesis, refiérase a:

- Logros y avances
- No logros y desafíos pendientes
- Sugerencias para la mejorar

## **FOCUS GROUP TO STUDENTS**

### **1. Rutinas en la escuela**

- En un día normal, ¿qué actividades realizan en la escuela?, ¿Cómo son las clases?

### **2. Grado de satisfacción y aspectos positivos de la escuela y docentes**

- ¿Qué lo que más les gusta de la escuelas?, ¿De sus maestros?,
- ¿Sienten que lo que hacen/estudian les sirve?, ¿Para qué?,
- ¿Les parece que aprenden suficiente?, ¿Qué aprendizajes más importantes les ha entregado la escuela?,
- ¿Cómo y con quiénes dirían que aprenden mejor?, ¿Por qué?

### **3. Aprendizaje de la L1 y L2**

- ¿Cómo son sus clases en Comunicación y Leguaje?,
- ¿En qué idioma son normalmente?,
- ¿En qué idioma hablan, leen, escriben?,
- ¿Cómo son los libros/ textos que utilizan?

### **4. Aspectos críticos de la escuela y Sugerencias**

- ¿Qué aspectos no les gustan de la escuela?, ¿Qué les gustaría que cambiara?
- Si tuvieran que hacer alguna recomendación, ¿qué dirían?

## **FOCUS GROUP TO PARENTS**

### **1. Participación en la escuela**

- ¿Se sienten informados de lo que ocurre en la escuela (proyecto educativo, organización interna, actividades de los alumnos)?
- ¿Participan en el quehacer de la escuela?, ¿De qué modo?
- ¿Les gustaría participar más en la escuela?, ¿Cómo?

### **2. Grado de satisfacción y aspectos positivos de la escuela y docentes**

- ¿Qué les parece esta escuela?, ¿El director/a?, ¿Los maestros?
- ¿Por qué consideran que es importante que sus hijos asistan a la escuela?
- ¿Existe algún motivo por el cual ustedes dejarían de enviar a sus hijos a la escuela?

### **3. Aprendizaje de la L1 y L2**

- ¿En qué idioma aprenden sus hijos normalmente?,
- ¿En qué idioma hablan, leen, escriben?,
- ¿Cómo son los libros/ textos que utilizan?
- ¿Están conformes con el aprendizaje de su L1 y L2?, ¿Cómo les gustaría?

### **4. Aspectos críticos de la escuela y sugerencias**

- ¿Qué aspectos no les gustan de la escuela?, ¿Qué les gustaría que cambiara?
- Si tuvieran que hacer alguna recomendación a la escuela, ¿qué dirían?

# **CLASSROOM OBSERVATION GUIDE**

## PAUTA DE OBSERVACIÓN DE CLASES

Profesor(a) observado: .....

Observador(a): .....

Escuela: .....

Nivel: .....

Número de alumnos: niños ..... niñas: .....

Departamento: .....

CRITERIOS E INDICADORES	DESCRIPCIÓN	COMENTARIO
<b>1. ENSEÑANZA RIGUROSA DE CONTENIDOS</b> EL MAESTRO(A):		
1.1. Realiza actividades para activar los conocimientos previos de los niños sobre el contenido (preguntas, organizador gráfico, otros)		
1.2. Presenta las ideas centrales del contenido con claridad y precisión (escribe en la pizarra, utiliza material didáctico)		
1.3. Realiza actividades desafiantes que desarrollan el pensamiento (comparar, resumir, clasificar, describir, relacionar,		

etc.)		
1.4. Ofrece apoyo a los alumnos para lograr que todos comprendan (ofrece ejemplos, modelos, aclaraciones, utiliza la lengua materna)		
1.5. Aprovecha el tiempo disponible para instancias de aprendizaje.		
<b>2. INTERACCIONES EL MAESTRO(A):</b>		
2.1. Interactúa con los alumnos, los escucha con atención y valora sus aportes e intervenciones, especialmente aquellas relacionadas con su entorno sociocultural.		
2.2. Promueve la interacción de los alumnos entre ellos (trabajo colaborativo)		
2.3. Crea un ambiente de respeto y cordialidad entre los alumnos y con el maestro.		
2.4. Formula preguntas abiertas a los niños y los estimula para que ellos pregunten, sin temor a cometer errores		
<b>3. ENSEÑANZA DE LA LECTURA EL MAESTRO(A):</b>		

<p>3.1. Contextualiza los aprendizajes (presenta los nuevos contenidos dentro de situaciones o textos) en la lengua materna de los niños y niñas.</p>		
<p>3.2. Ofrece a los alumnos frecuentes oportunidades para expresarse libremente en la L1 y la L2.</p>		
<p>3.3. Hace buen uso del lenguaje (habla y escribe bien en la lengua que enseña, ya sea la lengua indígena o el español).</p>		
<p>3.4. Pide a estudiantes que hagan predicciones sobre el contenido del texto que leerán (a partir de la observación del título o de las ilustraciones).</p>		
<p>3.5. Lee en voz alta y/o invita a los estudiantes a leer en voz alta o en silencio.</p>		
<p>3.6. Realiza actividades para la comprensión del texto, tales como:</p> <ul style="list-style-type: none"> <li>- Formula preguntas o pide identificar situaciones, personajes, argumento, idea central, detalles de la historia (preguntas sobre información explícita, información implícita o inferencial, sobre opiniones o valoración de lo leído)</li> </ul>		

<p>3.7. Pide a los estudiantes que, en la L1 o L2, muestren comprensión de lo leído a través de actividades como: resuman, extraigan conclusiones, comparen, hagan una dramatización, completen un organizador gráfico con información de lo leído, hagan un dibujo basado en el texto leído</p>		
<p>3.8. En los cursos iniciales, propone ejercicios contextualizados de lectura en la L1 o L2 de: oraciones, palabras, sílabas, segmentación de palabras en sílabas o fonemas.</p>		
<p><b>4. ESCRITURA</b> EL MAESTRO(A):</p>		
<p>4.1. Pide escribir un texto a partir de lo leído (carta, noticia, poema, cuento) en la L1 o L2.</p>		
<p>4.2. Pide escribir textos en L1 o L2 (más allá de oraciones y palabras) tales como-</p> <ul style="list-style-type: none"> <li>• historias</li> <li>• recetas</li> <li>• noticias</li> <li>• poemas</li> <li>• cartas, otros.</li> </ul>		
<p>4.3. Invita a alumnos a leer sus</p>		

textos escritos frente a sus compañeros.		
4.4. Pide a los niños escribir en la L1 o L2 letras, palabras u oraciones, ya sea: <ul style="list-style-type: none"> <li>• copiadas</li> <li>• dictadas</li> </ul>		
4.5. Enseña aspectos gramaticales de la L1 o L2, tales como: plurales, posesivos, prefijos, sufijos, tiempos verbales, raíces de las palabras		
4.6. Realiza actividades de estructuración de oraciones en la lengua que enseña (sintaxis), tales como: ordenar palabras en la oración, ampliar las oraciones, reemplazar palabras en la oración, suprimir palabras en la oración		
4.7. Realiza actividades para desarrollar vocabulario en la L1 o L2, tales como: encontrar significado de palabras, definiciones, sinónimos, antónimos, uso de palabras en oraciones, búsqueda de palabras en diccionarios.		
4.8. Enseña ortografía de la		

lengua que enseña (L1 o L2): - acentuación - puntuación - uso de mayúsculas, etc.		
<b>5. ORGANIZACIÓN DEL ESPACIO, y AMBIENTACIÓN</b>		
5.1. La organización de la sala facilita la interacción entre estudiantes y con el maestro		
5.2. La ambientación de la sala promueve el aprendizaje significativo de la L1 y la L2. (hay una biblioteca de aula bilingüe, afiches, periódico mural, trabajos de los alumnos).		
5.3. Existen materiales didácticos para apoyar los aprendizajes de los niños y niñas, en L1 y L2.		
5.4. El aula está ordenada y aseada		

**FECHA:** .....

**NOTA:** esta pauta tiene un carácter exhaustivo con el fin de tomar en cuenta todas las dimensiones de la calidad en el desarrollo de los aprendizajes y de la enseñanza, tanto de la L1 como la L2, según cada caso. Sin embargo, por razones

**obvias, es muy posible que algunas de las actividades o situaciones que contiene la pauta no se presenten en las clases observadas. En ese caso se señalará que esa dimensión no estuvo presente.**

## Matriz: Preguntas Ejes / trabajo de campo

Tópicos evaluados	Entrevistados claves	Departamento / Escuela	Documentos	
<b>1. ¿Cómo REAULA contribuye al desarrollo e implementación de las siguientes políticas y sistemas?:</b>				
	<b>Institución</b>	<b>Nombre</b>		
1.1. Sistema Nacional de Formación del Recurso Humano en Educación (SINAFORHE)	Asamblea Nacional del Magisterio / Sindicato de Trabajadores de la Educación de Guatemala ANM/STEG	Rodrigo Hernández	“Estrategia del Sistema Nacional de Formación Docente y Plan de Implementación”  “Propuesta de Carrera Docente, parte académica, y técnico administrativa”	
		Joviel Acevedo		
	MINEDUC Local	Anibal Arizmendy Martínez		
		Juan Basilio Tahay		
		Roelmer Antonio Cardona		
		Edith Téllez		
	Supervisores MINEDUC	Nicolás Geovanni León		
		Gladys Pacheco		
		Santa Isabel Alvarado Par		
		Marvin Baten Ajanel		
	Miembros de organizaciones no gubernamentales	Federico Roncal		
	Autoridades Locales	Santiago Pelicó		
		Amarildo Chun		
Ex-Funcionarios del MINEDUC	Grupal			
Directivos en Universidades	Grupal			
Representantes USAC	Oscar Hugo López			
1.2. Sistema Nacional de Acompañamiento Educativo (SINAE)	Asamblea Nacional del Magisterio / Sindicato de Trabajadores de la Educación de Guatemala ANM/STEG	Rodrigo Hernández	“Sistematización del plan piloto del Sistema Nacional de Acompañamiento Escolar”	
		Joviel Acevedo		
	Despacho Superior Ministerio de Educación	Eligio Sic Ixpancoc		
		MINEDUC local		Anibal Arizmendy Martínez
				Juan Basilio Tahay
				Roelmer Antonio Cardona
	Edith Téllez			
	Supervisores MINEDUC	Nicolás Geovanni León		
		Gladys Pacheco		

		Santa Isabel Alvarado Par		
		Marvin Baten Ajanel		
	Miembros organizaciones no gubernamentales	Federico Roncal		
	Ex funcionarios MINEDUC	Grupal		
	Directores de Direcciones MINEDUC	Grupal		
	Representantes USAC	Oscar Hugo López		
1.3. Sistema Nacional de Acreditación y Certificación (SINACE)	Asamblea Nacional del Magisterio / Sindicato de Trabajadores de la Educación de Guatemala	Rodrigo Hernández		
		Joviel Acevedo		
	ANM/STEG			
	MINEDUC local	Edith Téllez		
		Aníbal Arizmendy Martínez		
	Directores de Direcciones del MINEDUC	Grupal		
	Directivos en Universidades	Grupal		
	Representantes USAC	Oscar Hugo López		
1.4.Libros y materiales de programas	Despacho Superior Ministerio de Educación	Evelyn Amado de Segura		
	MINEDUC local	Edith Téllez		
		Roelmer Antonio Cardona		
		Alba Orozco		
	Supervisores MINEDUC	Nicolás Geovanni León		
		Gladys Pacheco		
		Santa Isabel Alvarado Par		
	Representantes de Empresarios por la Educación	Verónica Spross		
	Autoridades locales	Giovani Martínez		
		Noé Soto		
		Santiago Pelicó		
		Amarildo Chun		
	Directores de Direcciones del MINEDUC	Grupal		

<b>2. ¿Avances y desafíos del MOE en la implementación de las siguientes reformas?:</b>				
2.1 Modelo EIB	Despacho Superior del Ministerio de Educación	Eligio Sic Ixpancoc		<p>“Estrategia de implementación del Modelo de Educación Bilingüe Intercultural Basado en Estándares”</p> <p>“Modelo nacional de educación bilingüe intercultural enfocado a la lectoescritura para preprimaria hasta tercer grado de primaria, basado en estándares”</p>
		Gutberto Leiva		
	MINEDUC local	Alba Orozco		
		Roelmer Antonio Cardona		
	Supervisores MINEDUC	Nicolás Geovanni León		
		Gladys Pacheco		
		Santa Isabel Alvarado Par		
	Miembros de organizaciones no gubernamentales	Federico Ronca		
		Roberto Tekú		
	Autoridades locales	Santiago Pelicó		
		Amarildo Chun		
	Ex-Funcionarios del MINEDUC	Grupal		
Directores de Direcciones del MINEDUC	Grupal			
Directivos en Universidades	Grupal			
Político Administración Otto Pérez	Luis Fernando Paredes			
2.2. Reforma de Educación Inicial	Despacho Superior del Ministerio de Educación	Eligio Sic Ixpancoc		“Modelo de Educación Inicial y Pre-primaria”
	MIENDUC local	Edith Téllez		
	Miembros organizaciones no gubernamentales	Benito Terraza		
	Representantes de Empresarios por la Educación	Verónica Spross		
	Ex-Funcionarios del MINEDUC	Grupal		
	Directores de Direcciones del MINEDUC	Mónica Flores		
		Oscar Saquil		
Luisa Müller				
	María José del Valle			
2.3.Reforma de Educación Secundaria (Life Competencies)	Despacho Superior del Ministerio de Educación	Evelyn Amado de Segura		“Propuesta de transformación del nivel medio en Guatemala”
		Eligio Sic Ixpancoc		
	Representantes de Empresarios por la Educación	Verónica Spross		
	Directores de Direcciones del MINEDUC	Grupal		
3. ¿Cómo el proyecto se adaptó a los cambios políticos para el logro de las	Miembros del equipo profesional de REAULA	Fernando Rubio		
		Gabriela Núñez		
		Julio Estrada		
		Amarily Franco		
	Despacho Superior	Cynthia del Águila		

<b>metas? ¿Oportunidades perdidas?</b>	del Ministerio de Educación	Evelyn Amado de Segura Eligio Sic Ixpancoc Gutberto Leiva Alfredo García					
	Representantes de la Gran Campaña por la Educación	Floralda Meza Raquel Zelaya					
	Grupo Promotor de la Educación	Herminia Reyes María Ester Ortega					
	Políticos de la Administración Otto Pérez	Luis Fernando Paredes					
	Ex-Funcionarios del MINEDUC	Grupal					
	Directores de Direcciones del MINEDUC	Grupal					
	<b>4. ¿De qué modo el modelo de instalación en el nivel local (Bottom-up model) contribuyó a “Quality Classroom Model”? ¿Lecciones?</b>	Miembros del equipo profesional de REAULA	Sophia Maldonado		“Estrategias de Desarrollo de Capacidades Locales”		
MINEDUC local		Aníbal Arizmendi Martínez Juan Basilio Tahay Roelmer Antonio Cardona Alba Orozco Edith Téllez					
		Supervisores de MINEDUC	Nicolás Geovanni León Marvin Baten Ajanel Gladys Pacheco Santa Isabel Alvarado Par				
			Miembros de organizaciones no gubernamentales	Roberto Tekú Victor Xicará López			
				Representantes de la Gran Campaña por la Educación		Floralda Meza Raquel Zelaya	
		Representantes de Empresarios por la Educación	Verónica Spross				
Grupo Promotor de la Educación		Herminia Reyes María Ester Ortega					
		Políticos de la Administración Otto Pérez	Luis Fernando Paredes				
Autoridades locales			Giovani Martínez Noé Soto Santiago Pelicó Amarildo Chun				
		Ex-Funcionarios del MINEDUC	Grupal				
		<b>5. ¿Qué factores de la</b>	MINEDUC local	Juan Basilio Tahay Alba Orozco			

<b>implementación de las “zonas de oportunidades” permitieron una implementación exitosa? ¿Lecciones?</b>	Miembros de organizaciones no gubernamentales	Victor Xicará López		
		Benito Terraza		
	Representantes de la Gran Campaña por la Educación	Floralma Meza		
		Raquel Zelaya		
	Grupo Promotor de la Educación	Herminia Reyes		
		María Ester Ortega		
	Autoridades locales	Noé Soto		
		Santiago Pelicó		
		Amarildo Chun		
	Directores de Direcciones del MINEDUC	Grupal		

## **APPENDIX N°8:**

### **USAID/Education Reform in the Classroom Implemented by Juárez & Associates**

#### **Final Performance Evaluation Scope of Work**

##### **I Purpose**

USAID/Guatemala seeks to contract professional services to conduct a final performance evaluation for its Education Reform in the Classroom/*Reforma Educativa en el Aula* (REAULA) project. USAID/Guatemala will use the evaluation to inform future project design in Guatemala's education sector. This performance evaluation is expected to comply with USAID's Evaluation Policy (<http://www.usaid.gov/evaluation>).

##### **II Background**

In 2009 a task order was awarded to Juárez and Associates for the implementation of REAULA. The project is being implemented until September 2013.

Despite improvements in education service delivery subsequent to the 1996 Peace Accords, Guatemala lags significantly behind most other countries in the Latin America region in nearly all education indicators. While overall coverage has increased markedly in recent years—reaching 96 percent net primary enrollment in 2011 (up from 72 percent in 1991)—too few children attend pre-primary school (55 percent), lower secondary education (43 percent), and upper secondary education (22 percent).<sup>1</sup> Poor educational access and attainment limit the acquisition of skills and knowledge they need to live healthy and productive adult lives outside of poverty. While education policies have slowly shifted from a primary focus on extending coverage to improving quality, the system is still characterized by exceedingly poor quality.

Deficiencies<sup>2</sup> in educational quality and low student outcomes and performance are largely related to poor teacher preparation, insufficient resources, inappropriate instructional strategies, children's poor nutritional status, and need for children to contribute labor to their families' livelihood. Because of these deficiencies, Guatemala has the lowest primary completion rate in Central America. Fifty percent of children who enter first grade do not finish Primary Level on time. Only 52 percent of sixth graders pass the standardized test in Mathematics and 31 percent pass in Reading. Low levels of completion and performance, especially for rural indigenous children and girls, and high levels of repetition and desertion result in a labor force ill prepared to compete with other countries in the region. Internal inefficiencies exacerbate shortfalls in education system financing by effectively raising the cost for each successful school graduate. These higher costs limit availability of funds for investments that are required for improvements in educational quality.

Despite clear evidence derived from research on learning, Guatemala has still not managed to adequately plan and implement an effective, sustainable strategy for children to learn to read and write in their mother tongue and Spanish. This is one of the principal causes of the high dropout and repetition rates in the early grades of primary education. The Ministry of Education's (MOE) stated goal is to achieve bilingualism and bi-literacy (Spanish and Mayan languages) by third grade. Many pieces are already in place for an effective bilingual education learning and teaching model, many of which have been developed with USAID assistance in conjunction with local efforts and other donors. However, to make the necessary leap in quality and learning improvements, it is necessary to consolidate and implement an effective model for children to acquire bi-literacy.

An important challenge for Guatemala is to ensure that reforms are institutionalized independent of

<sup>1</sup> Ministry of Education official data <sup>2</sup> In 2013, a reform will take effect that requires post high school training for teachers.

administrations. Reforms need to be effectively communicated to a broad range of stakeholders, including citizen groups, Ministry officials, teachers' union representatives, the academic community, and business partners. Only then can we guarantee that reforms are fully implemented, monitored and systematically evaluated, and, most importantly, that they positively impact children in the classroom.

More than 40% of first graders will not complete Primary Education on time. This is the consequence of low quality levels starting in first grade; more than a third of first graders are not promoted. However, 100% of students that complete Primary Education on time (12 years old) do enroll systematically in lower secondary education. Low enrollment rates in secondary education are due to low completion rates in primary education. In order to increase enrollment rates in Secondary, continuous work to improve the education quality in Primary Level needs to continue. In the meantime, to increase the number of students who enroll in secondary education, the support of non-traditional primary completion programs for out-of-school children is needed.

### III Objectives of USAID/ Guatemala Education Reform in the Classroom

<p><b>Project Information</b> <b>Project to be evaluated:</b> Education Reform in the Classroom/<i>Reforma Educativa en el Aula</i> (REAULA) <b>Agreement #:</b> EDH-I-05-05-00033-00 <b>Award Dates:</b> September 2009 - September 2013 <b>Total Estimated Cost:</b> USD 13,664,302 <b>Implementing Organization:</b> Juarez and Associates, Inc. <b>Contract Officer's Representative:</b> Juan Luis Córdova</p>
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The overall objective of REAULA is to ensure education reform in the classroom and the application of effective, innovative approaches to increase and improve basic education opportunities. REAULA provides technical assistance to improve access, quality, equity, and efficiency of basic education. For that purpose, the project focuses on the following aspects in the opportunity zones identified: increasing teacher effectiveness; improving classroom-learning environments; fostering effective first and second language acquisition and reading; extending access to under-served populations, women and indigenous groups; and expanding parents', communities' and stakeholders' participation in student learning.

#### Specific Objectives

1. Strengthen teacher skills, administrative procedures, and educational products in the classroom throughout the education system.
2. Increase MOE professional and teaching staff effectiveness and professional development linkages to ensure that classrooms provide effective learning.
3. Improve classroom learning by developing, implementing, testing, and adapting interventions and innovations that are known to be effective internationally and in Guatemala.
4. Enhance local education opportunities that support and enrich classroom learning.

#### Organizing Principles

1. Emphasize the development of reading and writing skills as the basis to improving learning.
2. Focus on demand at the classroom-, school-, and community-levels to improve supply of services, rather than begin with centralized definitions of improving supply of service delivery.

3. Strengthen management decision-making skills and leadership abilities through practical problem solving based on the reality in schools and classrooms.
4. Create integrated tools and procedures that assist teachers and administrators to meet the diverse needs of the classroom.
5. Use communication as a tool by which administrators disseminate information on policies, innovations, professional development opportunities and progress in student development, as well as obtain feedback on the understanding and acceptance of their decisions throughout an educational system.

Section IV provides a more detailed description of each component of REAULA. In addition, REAULA's statement of work is attached. USAID/Guatemala will provide other relevant documents upon award.

#### **IV Scope of Work for REAULA's Performance Evaluation**

The purpose of this evaluation is to assess the outcomes achieved by REAULA in meeting its technical assistance and capacity-building objectives, and identify areas for future support of the Guatemalan public education system through the remainder of the Education Strategy. This evaluation will be used internally by USAID technical staff to assess the main accomplishments of the project and to inform future project design in Guatemala's education sector.

This evaluation should also provide a broad look at potential investments in the Education Sector. In this sense, the offeror will:

- 1 Evaluate the performance of the REAULA project through the date the evaluation begins; and assess the accomplishments of the goal established for the last implementation quarter ending September 2013;
- 2 Provide technical recommendations based on the findings and conclusions to incorporate in a future project design in Guatemala's education sector;<sup>3</sup>
- 3 Identify areas for strategic USAID support to the education sector in the future.

In summary, the offeror will complete a performance evaluation that addresses all four inter-related components of the project as outlined in Section V below.

#### **V Description of REAULA Components**

##### **1. Institutional Strengthening for Effective Quality of Education in the Classroom.**

###### **1.1 Description**

After a previous project focusing on Educational Standards, USAID is following up standards implementation in the classroom. One of the objectives of REAULA is to support the MOE in the correct implementation of the National Curriculum, Standards, testing and monitoring of education quality. In order to improve sustainability and strengthen institutional capacity, this project's approach is to empower MOE staff to promote best practices at the central, local and school levels.

This component aims to integrate the above mentioned areas into the implementation of the Intercultural and Bilingual Education Model presented by the Alvaro Colom administration in 2009. First and second language literacy is a cornerstone for improving education results at the classroom level in Guatemala. Moreover, the project focuses on the MOE's implementation of teacher and administrative training, good practices in the classroom, and educational products that enhance learning in the classroom.

<sup>3</sup> Recommendations for future project design are expected to align with USAID's project design guidance: [http://transition.usaid.gov/our\\_work/policy\\_planning\\_and\\_learning/documents/PD\\_Guidance\\_Final.pdf](http://transition.usaid.gov/our_work/policy_planning_and_learning/documents/PD_Guidance_Final.pdf)

Key activities include:

- 1 Assist the MOE in the consolidation of reforms and transfer of know-how to government officers.
- 2 Implement standards for student learning, opportunity standards, and standards for measuring teacher performance.
- 3 Strengthen and expand the quality assurance system to include standards for education quality from the central levels to the classroom using Quality Assurance Plan.
- 4 Foster a public debate on educational best practices, reforms and dissemination of quantitative and qualitative research through formal Research Agenda.
- 5 Create and increase a demand for quality education services, raising awareness on reading and the need of a quality education system through a Development Communication Strategy.

## **2. Improved Education Human Resources Career Professional Development.**

### **2.1 Description**

The overall objective of this component is to improve the quality of teaching and learning in the classroom. By doing so, REAULA efforts are designed to strengthen the capabilities of education human resources. The implementation of the National System for the Professional Development of Ministry of Education Human Resources (SINAFORHE, Spanish acronym) is needed to guide the training of all education personnel. This system includes several sub-systems, one of which is the National Teacher Professional Development System (PADEP-D acronym in Spanish), designed to strengthen in-service training for Pre-Primary and Primary Teachers. The San Carlos University (USAC, Spanish acronym) and the National Teacher's Union (NTU) proposed this project in April 2008.

When fully functioned, SINAFORHE aims to reach teachers in the public education system. This system allows teachers to better manage and track their professional development and educational advancement, thus incentivizing teacher training and higher educational attainment.

Key activities include:

- 1 Provide technical assistance to design, negotiate, validate, and implement the system fostering alliances with a variety of stakeholders, notably USAC, NTU, MOE and development agencies supporting this area.
- 2 Implement a Higher Education Partnership Program. The University Consortium will support teacher training and education courses and careers, including technical degrees, bachelors (*licenciaturas*) and master degrees. Also, it will be the space for policy and reforms discussions.
- 3 Provide technical assistance for designing a Supervision Framework reform to transfer knowledge to MOE regional pedagogical supervisors.
- 4 The Educational Leadership Program will provide scholarships to teachers that are willing to support the MOE upon graduation.
- 5 Support development of new curriculum for Pre-Service Teacher Training.

### **3. Standards, Life Competencies, Curriculum, Materials, and Testing for Effective First and Second Language Acquisition and Student Learning.**

#### **3.1 Description**

This component tackles the first and second language acquisition challenge. There is great need for a concrete pedagogical proposal on how to get children to meet language standards considering these elements:

- a) how much time to spend on primary language (L1) and secondary language (L2) each day,
- b) how to develop oral competencies in L2 while building and consolidating L1 oral language, reading and writing skills, how to transfer reading and writing skills to L2, and
- c) how to assess student language skills and student learning in the classroom.

REAULA contributes to the design and consolidation of the pedagogical model, formative evaluation into teacher guides, as well as develop tools to foster the discussion of results from the school level to district levels.

This component also provides technical assistance for the production of pertinent educational materials that can be printed and distributed by the MOE. Big books, readers, conversational posters, and textbooks aligned with the National Curriculum (CNB, Spanish acronym) will promote a culture of “material availability” and facilitate the incorporation of a reading program.

Key activities include:

- 1 Implement the MOE’s Standards-based Intercultural and Bilingual Education (IBE) Model. This effort includes close collaboration between the project’s staff and members of the MOE and key stakeholders to consolidate, negotiate, validate, and implement a standards-based IBE Model.
- 2 Guatemala has severe challenges in the timely provision of textbooks and educational materials to primary level classrooms. A Textbook and Educational Materials Policy is to be designed and implemented. The intention is to provide a framework in which the MOE can plan ahead of time the procurement and distribution of textbooks in Primary Education Level. In addition, the project designed and validated new materials and textbooks in relevant L1 and L2 languages.
- 3 Providing specific tools to measure reading performance in early grades. The project adapted an Early Grade Reading Assessment (EGRA) to Guatemala and transfer technical knowledge to the MOE’s Evaluation and Research Directorate (DIGEDUCA, Spanish acronym) for its implementation.
- 4 Two areas in need of acute reform are Early Childhood Education/Pre-Primary Education and Secondary Education. Both levels were diagnosed and the project proposed reforms in each level. Secondary Education reform incorporates a Life Competencies approach.

### **4. Increasing Opportunities to Learn.**

#### **4.1 Description**

This component is relevant for the successful implementation of all interventions mentioned above. Under this component, REAULA selected specific targeted zones called “opportunity zones” in several departments. These zones are where project interventions are implemented and necessary to improve opportunities to learn.

The project identified and selected opportunity zones in the country and developed a cross-sector approach. This work was coordinated and in alliance with municipalities, central government, other USAID-projects and other donors to implement key development interventions that will increase opportunities to learn.

Key activities include:

- 1 Following technical criteria and after providing a detailed rationale for their selection, the project's local interventions focused on several areas. In these opportunity zones, several interventions were tested. This implementation was carried out by both the project and the MOE.
- 2 A Local Capacity Building Strategy included training of carefully selected key education stakeholders operating in the opportunity zones. This implied a close collaboration and a participatory approach with local authorities, development councils, and community leaders.
- 3 Develop/strengthen/promote a model known as "Quality Classrooms" at a municipal level to improve learning outcomes in lower primary. The model provides reading materials and strategies to promote reading as well as generating family and local government involvement. This model develops and validates several strategies for improving student learning, including: 1) provide reading material in Spanish and the local language along with strategies for teachers and parents to encourage reading in children, and 2) a mechanism for tracking student learning results to validate effectiveness of the model.

## **VI Evaluation Questions**

The following questions are the most important for evaluating the achieved outcomes in the areas described above:

- 1) How did REAULA contribute to the development and implementation of the following systems and policies:
  - *Sistema Nacional de Formación del Recurso Humano en Educación- (SINAFORHE)*
  - *Sistema Nacional de Acompañamiento Educativo- (SINAE)*
  - *Sistema Nacional de Acreditación y Certificación-(SINACE)*
  - Textbooks and Educational Material Policy?
- 2) To what extent has the MOE adopted the reforms related to IBE Model, Initial and Pre-primary Education, and Secondary Education? What are the underlying challenges that prevent the full adoption of these reforms?
- 3) How did the project adapt to a changing political landscape to accomplish its goals? Were there missed opportunities?
- 4) To what extent did the inclusion of local structures (municipalities, MOE's supervisors, local professional staff, local development councils, and parents' boards) contribute to the implementation of the Quality Classrooms Model? What are the lessons learned for the bottom-up approach?
- 5) What opportunity zone characteristics most enabled successful project implementation? What are the lessons learned with regard to implementation in the opportunity zones?

## **VII Methods for Collection and Analysis**

To meet the objectives of the performance evaluation and successfully answer the evaluation questions above, the offeror should perform at least the following tasks:

Document Review: Review the data and information necessary to answer the evaluation questions including all relevant implementer reports such as M&E reports, work plans, quarterly performance reports and documents on the Guatemalan context such as UNDP's report (available at [www.desarrollohumano.org.gt](http://www.desarrollohumano.org.gt)). In addition, the revision of the proposals and studies done by REAULA will be pertinent (some key documents can be found in [www.reaula.com](http://www.reaula.com)). REAULA's scope of work is attached to this RFQ and other relevant documents will be provided to the contractor once the evaluation is awarded. Formal baseline and midterm data for REAULA are not available; however, evaluation documents from prior USAID education projects will be available to provide additional background.

Key-Informant Interviews: Interview project staff, teachers, beneficiaries, officials from the MOE, NTU and key personnel from local universities. Examples of important interviews include key MOE personnel, particularly those from the Directorate of Bilingual Intercultural Education (DIGEBI) and the MOE communications unit; officials from the NTU, *Consejo Nacional de Educación* and USAC; non-MOE educational institutions such as *La Gran Campaña por la Educación*, *Empresarios por la Educación*, and *Grupo Promotor de la Educación*; political officials from the Otto Pérez administration and private university education deans for issues on new government priorities; local authorities and technical staff from non-MOE bilingual education institutions; and technical staff from Juarez and Associates. Offeror should meet with the USAID Health and Education Policy Project, implemented by The Futures Group, to review and manipulate the educational data available through the IIS tool (Integrated Information System), which tracks and maps government education data. USAID/Guatemala will provide the contact information of the project's staff to arrange the meetings and access IIS. In addition, USAID will provide the contact information of the key informants mentioned here. The offeror may interview any other relevant individuals necessary to answer the above research questions.

Other Interviews or Focus Groups: Meet with a sample of teachers, parents, and students, to determine among other aspects:

- a) Understanding of the language and cultural aspects of the tools proposed by the project (materials, evaluations, communication campaigns, etc.);
- b) Congruence of the proposed system and professional development needs as seen by teachers;

Analysis: Analyze quantitative and qualitative data obtained during field work and secondary analysis. This may include qualitative analysis and simple descriptive statistics. All project databases will be available to the offeror, in particular students' performance baselines and subsequent measurements. The offeror is expected to discuss the type of analysis that will best fit this performance evaluation of both qualitative and quantitative data.

The offeror should propose additional data collection and analysis methods, if needed, to answer the evaluation questions.

## **VIII Required Staff and Qualifications Evaluation Team**

### **Leader/Educational Administration Specialist**

Master's degree in social sciences with a focus on research methods and analysis, a minimum of eight years of experience in the education sector (at least five years of which should be in Latin America) are required. At least five years of experience evaluating education projects or education testing/measurement as well as written and

spoken Spanish and English, are required. The team leader will be external to the REAULA project, as defined by USAID's Evaluation Policy.<sup>4</sup>

While USAID envisions the following additional two members to the evaluation team, offerors can organize their evaluation teams to collectively meet the additional education and experience requirements below.

### **Teacher Professional/Educational Human Resources Development Specialist**

Master's degree in Teacher Professional Development, education or related social sciences, at least six years of experience in teacher professional development programs or human resources systems for educational personnel in Latin America are required. Experience with pre or in-service training strategies or teacher unions, as well as written and spoken Spanish are required.

### **Intercultural and Bilingual Education Specialist**

Master's degree in Bilingual Education, Linguistics, Educational Anthropology, other education program or related social sciences. Six years of experience with multilingual (indigenous languages and Spanish) education programs in Latin America are required. Experience assessing academic achievement in multiple languages or working with indigenous populations, as well as written and spoken Spanish are required.

## **IX Evaluation Criteria**

Offerors will be evaluated on technical approach, expertise, and past performance. Quotations must address:

### **9.1 Technical approach for performance evaluation (55%)**

- Proposed methods of data collection and analysis and their link to the evaluation questions
- Timeline of proposed activities
- Description of the roles and tasks of the evaluation team

Note: Cost will be taken into consideration even though no points are assigned.

### **9.2 Education and Technical Expertise of the Proposed Team Members 30%: 14% Team Leader, 8% Teacher Professional/Educational Human Resources Development Specialist, 8% Intercultural and Bilingual Education Specialist**

- Masters-level degree
- Experience evaluating education projects
- Experience in development in similar settings

### **9.3 Past Performance (15%):** The Offeror must provide the following information with regards to past performance:

Demonstrated recent and relevant technical and field experience in programs of similar technical content and scope as described in the SOW. USAID will determine the relevance of similar past performance information. Demonstrated record in quality of product of service and assuring requisite coordination and collaboration among implementing partners. Demonstrated record of forecasting and controlling costs, including administrative aspects of performance. Demonstrated record of conforming to contract requirements and to standards of good workmanship, timeliness of performance, including adherence to contract schedules, timely delivery of short-term

<sup>4</sup> The team leader is an independent expert from outside of USAID, who has no fiduciary relationship to the implementing partner. (USAID Evaluation Policy page 4).

technical advisors, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks.

The Offeror must provide information on past performance in accordance with the following table. The Offeror must provide past performance references for itself and each subcontractor performing 10% or more of the technical effort under the contract. For the Offeror and their major subcontractors (based on anticipated level-of-effort) list up to five (5) past or current contracts for efforts similar to this requirement. To ensure uniformity of information for conducting the reference checks, the offeror/subcontractor will complete Part 1 (Blocks 1 through 9) of the Contractors Performance Report-Short Form for contracts and/or subcontracts. The name, telephone number, and email address for all contacts are required. The list will be attached as an annex to the technical. Past performance information will be used for both the responsibility determination and best value decision.

SOW summary	Primary location of work	Term of performance	US Dollar Value	Contract type & Number	COR name	COR e-mail address and Tel. No.
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USAID will utilize existing databases of contractor performance information and solicit additional information from the references provided herein and contact the individual(s) indicated as well as others. If the performance information contains negative information on which the Offeror has not previously been given an opportunity to comment, USAID will provide the Offeror an opportunity to comment on it prior to its consideration in the evaluation. In cases where an Offeror lacks relevant performance history or information on performance is not available, the Offeror will not be evaluated favorably or unfavorably on performance.

NOTE: USAID relies on the prime organization’s review of partner/subcontractor institutions. However, if deemed necessary to ensure prudent use of USG funds, USAID may conduct its own past performance review of proposed partners/subcontractor institutions.

**Level of Effort, Schedule and Deliverable**

**Level of Effort and Schedule**

The performance evaluation will initiate in the first semester of calendar year 2013. The level of effort will depend on the quotation. USAID anticipates delivery of the final reports—including all edits suggested by USAID, 50 working days after signing of the award. It is anticipated that the bulk of the professional work will be carried out in Guatemala, and several field trips outside of the city are expected. USAID/Guatemala may join the evaluation team when traveling outside Guatemala City.

**Deliverables**

The contractor will deliver the following products to USAID/Guatemala. All deliverables are subject to revisions and, if needed, would have to be resubmitted addressing USAID’s comments.

- i. **Work Plan:** A work plan that spells out in detail the overall organization of the evaluation, a detailed description of the evaluation design, data analysis and integration procedures, schedule of evaluation activities, and schedule of key interviews and site visits. The offeror will share the evaluation design with stakeholders at the MOE and the implementing organization prior to submission to USAID to achieve successful collaboration in the evaluation process.

The work plan will be submitted in English to USAID/Guatemala for approval no later than five working days after the award is made. The work plan will be reviewed and comments will be provided no later than

three working days after its submission. A revised version must be submitted two days after receiving comments from USAID/Guatemala for approval.

**iiDraft Report:** The draft report of the performance evaluation will describe REAULA's outcomes meeting its stated objectives. The report should include a) findings and conclusions about the strengths and weaknesses of the technical assistance provision, b) recommendations for follow up project objectives, and c) recommendations for continued support in the education sector. Data will be disaggregated by gender and ethnicity where appropriate. The offeror will electronically submit to the USAID the draft report, in English with summary in Spanish and English, no later than 40 working days after signing the award. The report will not exceed 40 pages including tables and charts. This report will be reviewed by USAID/Guatemala, who will provide feedback.

**iiiREAULA Performance Evaluation Report:** Final report shall incorporate feedback and be submitted to the USAID's activity manager no later than 50 working days after signing of the award (10 days after USAID comments on the draft report). The final report will be in English, and will include an executive summary in Spanish and English. Three copies of the complete report must be submitted to USAID, two hard copies and one electronic version. The report will not exceed 40 pages including tables and charts.

The final report must comply with the USAID Evaluation Policy (<http://www.usaid.gov/evaluation/>) as it relates to performance evaluations, and should use the criteria for quality evaluation reports listed in Appendix I of the Evaluation Policy. In addition, these deliverables will include the following annexes that will not count against the total number of pages for the report:

- a copy of this scope of work;
- a copy of the final work plan including the written evaluation design;
- any data collection or analysis tools used, such as questionnaires, checklists or focus group discussion guides;
- all sources of information, including a list of those interviewed, properly identified and listed; and
- if necessary, a statement of any unresolved differences of opinion by USAID, the implementing partner and/or members of the evaluation team.

Any raw data used or developed during the course of this evaluation will also be submitted in a format deemed appropriate and agreed upon by the USAID Activity Manager. The final report should follow the general format:

- I. Executive Summary (1-2 pages)
- II. Background on Development Problem and USAID's Response (1-2 pages)
- III. Purpose of Evaluation (1 page)
  - Research Design and Assessment Methodology (3-5 pages)
  - Findings and Conclusions (20-25 pages)
- VI. Recommendations for future activities (5-10 pages)

**ivDebriefs of the Performance Evaluation Report to USAID/Guatemala staff:** At a time agreed upon by USAID and after the submission of the final report evaluation, findings will be presented in a debriefing by the offeror at USAID/Guatemala offices. This will provide the opportunity for USAID staff to ask questions, provide feedback and discuss the main findings of the evaluation. This meeting can be held in Spanish or English. The offeror will also provide a separate debrief for the MOE in Spanish that includes the most relevant findings and recommendations for this audience.

**XI Instructions for the Preparation of the Technical Quotation**

The quotation must include the information identified above. Although no specific format is mandated, the technical quotations should take into account the guidance below.

Offerors will submit a quotation in response to this solicitation that is specific, clear, and complete, and that responds to the instructions set forth in this Section. Quotation must be written in English and typed on standard 8 1/2” x 11” paper, single-spaced, 12 characters per inch with each page numbered consecutively. The quotation must be organized according to the Evaluation Criteria and must be organized as such:

**Cover Page** – Title, names of organization(s) or individuals submitting the quotation, contact person, telephone and fax numbers, addresses and emails.

**Technical Quotation** - The technical quotation must not exceed 12 pages, excluding the cover page, resumes, and past performance. Technical quotations that exceed this page limit will not be considered.

The technical quotation shall include the following:

- Proposed methods of data collection and analysis
- Timeline of proposed activities
- Overall approach and methodology
- Organizational structure of the evaluation team, team members’ roles in the assessment and their areas of

expertise  Past performance

Note: USAID reserves the right to contact all references to verify past performance as follows:

- How well the offeror (or proposed candidate) has performed
- The relevancy of the program work
- Instances of good performance
- Instances of poor performance
- Significant achievements
- Significant problems
- Any indications of excellent or exceptional performance in the most critical areas
- Reliable and timely home office support

**XII Method of Payment**

Payments will be made as follows:

	<b>Deliverables</b>	<b>DUE</b>	<b>% of Payment (over PO total)</b>
1	Approved Work Plan	No later than 10 days after signing the award.	30%
2	Draft Report in English with summary in Spanish and English - 40 pages plus annexes	40 working days after signing the award	30%
3	a) Approved Final Report in English with summary in Spanish and English incorporating feedback from USAID and b) Debrief	50 days after signing the award Debrief meeting will be scheduled no later than five days after the submission of the final report.	40%
<b>Total</b>			<b>100%</b>

**XIII Technical Direction and Support** USAID Activity Manager will provide technical direction during the performance of this Purchase Order. The offeror will be responsible for all logistical support.

The offeror shall understand that only the USAID/Guatemala Contracting Officer is the authorized official to make changes to the terms and conditions of the resulting Order. In the event that the offeror believes that he/she is required to perform activities outside the approved Order, he/she shall immediately contact/inform the USAID/Guatemala Contracting Officer before performing these tasks.

**XIV Environmental Compliance** This activity falls under the **Categorical Exclusion** issued to those activities involving technical assistance, training, analyses, studies, workshops, document transfers, and others that will not have an impact on the environment, as stated in LAC-IEE-09-43.

**XV Organizational Conflict of Interest** (Please see pages 17 to 18) **PRECLUSION FROM FURNISHING CERTAIN SERVICES AND RESTRICTION ON USE OF INFORMATION**

(a) The resulting Order calls for the Offeror to furnish important services in support of the evaluation of contractors or of specific activities. In accordance with the Principles of FAR Subpart 9.5 and USAID policy, THE OFFEROR SHALL BE INELIGIBLE TO FURNISH, AS A PRIME OR SUBCONTRACTOR OR OTHERWISE, IMPLEMENTATION SERVICES UNDER ANY CONTRACT OR TASK ORDER THAT RESULTS IN RESPONSE TO FINDINGS, PROPOSALS, OR RECOMMENDATIONS IN AN EVALUATION REPORT WRITTEN BY THE OFFEROR. THIS PRECLUSION WILL APPLY TO ANY SUCH AWARDS MADE WITHIN 18 MONTHS OF USAID ACCEPTING THE REPORT, unless the Head of Contracting Activity, in consultation with USAID's Competitive Advocate, authorized a waiver (in accordance with FAR 9.503) determining that preclusion of the Offeror from the implementation work would not be in the Government's interest.

(b) In addition, BY ACCEPTING the resulting Order, THE OFFEROR AGREES THAT IT WILL NOT USE OR MAKE AVAILABLE ANY INFORMATION OBTAINED ABOUT ANOTHER ORGANIZATION UNDER THE CONTRACT IN THE PREPARATION OF QUOTATIONS OR OTHER DOCUMENTS IN RESPONSE TO ANY SOLICITATION FOR A CONTRACT OR ORDER.

(c) If the offeror gains access to proprietary information of other company (ies) in performing this evaluation, the offeror must agree with the other company (ies) to protect that information from unauthorized use, not to disclose that information for as long as it remains proprietary, and to refrain from using the information for any purpose other than that for which it was furnished. THE OFFEROR MUST PROVIDE A PROPERLY EXECUTED COPY OF ALL SUCH AGREEMENTS TO THE CONTRACTING OFFICER.

**XVI DISCLOSURE OF REAL OR POTENTIAL CONFLICT OF INTEREST FOR USAID EVALUATIONS**

Instructions:

Evaluations of USAID projects will be undertaken so that they are not subject to the perception or reality of biased measurement or reporting due to conflict of interest.<sup>5</sup> For external evaluations, all evaluation team members will provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the project being evaluated.<sup>6</sup>

Evaluators of USAID projects have a responsibility to maintain independence so that opinions, conclusions, judgments, and recommendations will be impartial and will be viewed as impartial by third parties. Evaluators and evaluation team members are to disclose all relevant facts regarding real or potential conflicts of interest that could lead reasonable third parties with knowledge of the relevant facts and circumstances to conclude that the evaluator or evaluation team member is not able to maintain independence and, thus, is not capable of exercising objective and impartial judgment on all issues associated with conducting and reporting the work. Operating Unit leadership, in close consultation with the Contracting Officer, will determine whether the real or potential conflict of interest is one that should disqualify an individual from the evaluation team or require recusal by that individual from evaluating certain aspects of the project(s). In addition, if evaluation team members gain access to proprietary information of other companies in the process of conducting the evaluation, then they must agree with the other companies to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.<sup>7</sup>

**Real or potential conflicts of interest may include, but are not limited to:**

- 1 Immediate family or close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.
- 2 Financial interest that is direct, or is significant/material though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.
- 3 Current or previous direct or significant/material though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.
- 4 Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.
- 5 Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.
- 6 Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

Disclosure of Conflict of Interest for USAID Evaluation Team Members

<b>Name</b>	
<b>Title</b>	
<b>Organization</b>	
<b>Evaluation Position?</b>	Team Leader Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award</i>	

<sup>5</sup> USAID Evaluation Policy (p. 8); USAID Contract Information Bulletin 99-17; and Federal Acquisition Regulations (FAR) Part 9.5, Organizational Conflicts of Interest, and Subpart 3.10, Contractor Code of Business Ethics and Conduct. <sup>6</sup> USAID Evaluation Policy (p. 11) <sup>7</sup> FAR 9.505-4(b)

<i>number(s), if applicable)</i>	
<b>I have real or potential conflicts of interest to disclose.</b>	Yes No
<p><b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</i></p>	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	