Design and Implementation of GPE 2020 Country-level Evaluations 2017-2020

FINAL INCEPTION REPORT | JANUARY 19, 2018

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RESULTS FOR DEVELOPMENT

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Acronyms

ASA	Advocacy and Social Accountability Fund
CA	Contribution Analysis
CEQ	Country-level evaluation question
CSO	Civil Society Organization
DAC	Development Assistance Committee
DCP	Development Country Partners
EFA	Education for All
EGRA/EGMA	Early Grade Reading Assessment/Early Grade Match Assessment
EMIS	Education Management Information System
EQ	Evaluation Question
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Program Implementation Grant
FFF	Funding and Financing Framework
FTI	Fast Track Initiative
FY	Fiscal Year
GE	Girls' Education
GEQ	Global evaluation question
GEM	Global Education Monitoring Report
GPE	Global Partnership for Education
IFI	International Financial Institution
ITRP	Independent Technical Review Panel
ISCED	International Standard Classification of Education
KIX	Knowledge and Innovation Exchange Fund
LAS	Learning Assessment System

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LDCs	Least Developed Countries
LEG	Local Education Group
LIC	Low Income Country
LMICS	Low and Middle-Income Countries
LOE	Level of Effort
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
NEQMAP	Network on Education Quality Monitoring in the Asia-Pacific
NFE	Non-Formal Education
NGO	Nongovernmental Organization
OECD	Organization for Economic Co-operation and Development
OECS	Organization of Eastern Caribbean States
PASEC	Programme d'Analyse des Systèmes Éducatifs de la CONFEMEN (La Conférence des Ministres de l'Éducation des pays ayant le français en partage)
R4D	Results for Development
RBM	Results-Based Management
RCT	Randomized Control Trial
SABER	Systems Approach for Better Education Results
SACMEQ	Southern and Eastern Africa Consortium for Monitoring Educational Quality
SIC	Strategy and Impact Committee
SDGs	Sustainable Development Goals
SO	Strategic Objective
SP	Strategic Plan
ToC	Theory of Change
ToR	Terms of Reference
UIS	UNESCO Institute for Statistics
UMG	Universalia Management Group
UN	United Nations

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UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
WB	World Bank
WDR	World Development Report

Terminology

Basic education	Pre-primary (i.e., education before Grade 1), primary (Grades 1-6), lower secondary (Grades 7-9), and adult literacy education, in formal and non-formal settings. This corresponds to International Standard Classification of Education (ISCED) 2011 levels 0-2.
Education systems	Collections of institutions, actions and processes that affect the educational status of citizens in the short and long run.[1] Education systems are made up of a large number of actors (teachers, parents, politicians, bureaucrats, civil society organizations) interacting with each other in different institutions (schools, ministry departments) for different reasons (developing curriculums, monitoring school performance, managing teachers). All these interactions are governed by rules, beliefs, and behavioral norms that affect how actors react and adapt to changes in the system.[2]
Equity	In the context of education, equity refers to securing all children's rights to education, and their rights within and through education to realize their potential and aspirations. It requires implementing and institutionalizing arrangements that help ensure all children can achieve these aims. [3]
Financial additionality	This incorporates two not mutually exclusive components: (a) an increase in the total amount of funds available for a given educational purpose, without the substitution or redistribution of existing resources; and (b) positive change in the quality of funding (e.g., predictability of aid, use of pooled funding mechanisms, co-financing, non-traditional financing sources, alignment with national priorities).
Gender equality	The equal rights, responsibilities, and opportunities of women, men, girls, and boys, and equal power to shape their own lives and contribute to society. It encompasses the narrower concept of gender equity, which primarily concerns fairness and justice regarding benefits and needs.[4]
Inclusion	Adequately responding to the diversity of needs among all learners, through increasing participation in learning, cultures, and communities, and reducing exclusion from and within education.[5]

[1] Moore, Mark. 2015. Creating Efficient, Effective, and Just Educational Systems through Multi-Sector Strategies of Reform. RISE Working Paper 15/004, Research on Improving Systems of Education, Blavatnik School of Government, Oxford University, Oxford, U.K.

[2] World Bank. 2003. World Development Report 2004: Making Services Work for Poor People. Washington, DC: World Bank; New York: Oxford University Press.

[3] Equity and Inclusion in Education. A guide to support education sector plan preparation, revision and appraisal. GPE 2010; p.3. Available at: file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge_8wekyb3d8bbwe/TempState/Downloads/2010-04-GPE-Equity-and-Inclusion-Guide.pdf

[4] GPE Gender Equality Policy and Strategy 2016-2020. GPE 2016, p. 5f. Available at: http://www.globalpartnership.org/sites/default/files/2016-06-gpe-gender-equality-policy-strategy.pdf

[5] GPE 2010, p.3.

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1 Introduction

1.1 Assignment Features

Background

1. In June 2016, the Global Partnership for Education (GPE) adopted a monitoring and evaluation (M&E) strategy to cover its 2016-20 Strategic Plan period. The strategy includes a results framework for monitoring progress across the three goals and five strategic objectives in GPE's theory of change. The strategy also calls for a linked set of evaluation studies that explore how well GPE outputs and activities contribute to outcomes and impact at the country-level. Instead of applying a single summative evaluation at the end of GPE's five-year plan, the strategy calls for programmatic, thematic and country-level evaluations to be conducted between 2017 and 2020, which will feed into a summative evaluation envisaged for 2020.

Objectives

2. The objective of this assignment is to design and implement the **country-level** evaluation component of GPE's M&E Strategy over the period 2017-2020 in order to evaluate (i) GPE contributions to strengthening education systems and, ultimately, the achievement of education results within GPE developing country partners (DCPs) in the areas of learning, equity, equality and inclusion; and hence (ii) the relevance, efficiency and effectiveness of GPE's theory of change and country-level operational model.

3. Key tasks and deliverables under this assignment will include:

a) **Summative country evaluations** in a sample of 22 countries, which will be conducted at or around the time of grant completion.

b) **Forward looking or 'prospective' country evaluations**, which will follow GPE's activities and programs in eight countries up until 2020 to provide a continuous review of the effectiveness of GPE's operational model.

c) **Annual Synthesis Reports** in December 2018 and December 2019.

d) **A Final Synthesis Report** in May 2020.

4. The terms of reference (ToR) for the overall assignment are included as Appendix I. The overall assignment timeline is shown in Appendix II.

Intended users

5. The intended users of the country-level evaluations are members of the Global Partnership for Education, including the Secretariat - in particular, but not limited to, senior management and members of the Country Support Team-, as well as DCP governments and members of local education groups (LEG) in the sampled countries. Secondary intended users include the wider education community at global and country levels.

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Purpose and structure of the inception report

6. The Inception Report (IR) is a working document until approved, after which time it will form the agreement between the Secretariat and the evaluation team on the operational plan for the overall assignment. It builds on the ToR, describes the methodology and organization of the summative and prospective evaluations in greater detail, and serves as a handbook for members of the evaluation team. It will also be shared with the Independent Technical Review Panel (ITRP) as part of the consultative approach to the evaluation. Once approved by GPE, the IR guides the subsequent evaluation and reporting phases according to the timetable in section 3.1 and the GANTT chart in Appendix II.

7. The Inception Report will be revisited each GPE Fiscal Year (FY) to reflect any changes occurring. We will update the work plan each year and the methodology will be reviewed after the first seven summative evaluations to determine the relevance of certain evaluations and approaches.

8. Following this introduction, section 1.2 reflects on key contextual factors relevant to this assignment. Section 2 describes our evaluation methodology, including detailed descriptions of the proposed respective approaches to conducting summative and prospective evaluations. Section 3 gives an overview of the evaluation workplan, while the final section 4 discusses assignment management, including team organization and staffing.

1.2 Context

1.2.1 GPE internal context

9. The GPE internal context has continued to evolve since an Organizational Review carried out in 2014[6] and an Interim Independent Evaluation of the partnership conducted in 2015.[7] Some key developments are outlined below:

- Since 2014, the partnership has introduced a number of changes aimed at further strengthening GPE country-level processes, with focus on (i) introducing minimum standards for the key components of the GPE operational model, including for local education groups (LEG), grant-funded programs and sector plans, and for monitoring and reporting; (ii) strengthening quality assurance processes to ensure that these standards are met; and (iii) conflict resolution mechanisms to address situations where effective partnership breaks down.[8] The partnership also changed the terminology related to grant management to better reflect GPE principles. This included introducing the term 'grant agent' to replace the previous designation of supervising and managing entity.
- In 2015, GPE adopted a new strategic plan (GPE 2020), and in 2016 a monitoring and evaluation strategy and a results framework. The results framework comprises 37 indicators, 12 of which have

[6] Evans, A. *Global Partnership for Education – Organizational Review*. GPE, 2014.

[7] Universalia and Results for Development. *Interim Independent Evaluation of the Global Partnership for Education*. 2015.

[8] See, for example: Global Partnership for Education. Proposal for a More Effective Operational Platform. BOD/2015/110 DOC 06. Retreat of the Board of Directors. Washington D.C. October 14-16, 2015. Changes made are reflected, for example, in *Country-level Process Guide. An overview*. GPE, 2017.

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been identified as 'core indicators'. Several of the 37 indicators are aligned to results statements along GPE's **theory of change** (ToC), which depicts envisaged GPE contributions to change processes at global and country levels and related results at outcome and impact levels.[9]

- In February 2017, the Board adopted a new funding and financing framework (FFF). The framework introduces the GPE Multiplier as part of a new scalable approach to raising greater and more diverse finance. Through the Multiplier, GPE will offer extra grant funds where governments show additionality and co-financing from external sources of at least US$3 for every US$1 of GPE grant funds. The FFF also introduced (i) a knowledge and innovation exchange (KIX) fund, which allows investing in important global public goods such as tools for innovation and sharing knowledge, which were previously not supported by GPE; and (ii) a new dedicated advocacy and social accountability (ASA) fund to promote political commitment to education, civil society engagement in education policy dialogue and achievement of GPE 2020.[10]
- In February 2018 GPE will conduct a third replenishment. GPE's goal is to reach US$2 billion a year by 2020, which would allow the partnership's DCPs to deliver better learning and equity outcomes for 870 million children and youth in 89 countries. This will require (i) donor governments providing US$3.1 billion over 2018-2020; (ii) developing country governments allocating 20 percent of government expenditure to education; and (iii) philanthropic foundations and private sector donors stepping up their targeted contributions.[11]

10. Figure 1.1 illustrates the conceptual framework underlying GPE's current **country-level operational platform** and its links to partnership contributions at the **global level**. For the operational platform to work optimally, education sector coordinating mechanisms, national sector planning cycles and financial support have to work together in ways appropriate and adapted to the respective context. GPE seeks to impact country-level processes through **levers** that influence development cooperation and financing, and through its **financial support**. Global level efforts related to mobilizing financing, advocacy, international coordination and knowledge brokering aim to support and facilitate country-level processes.[12]

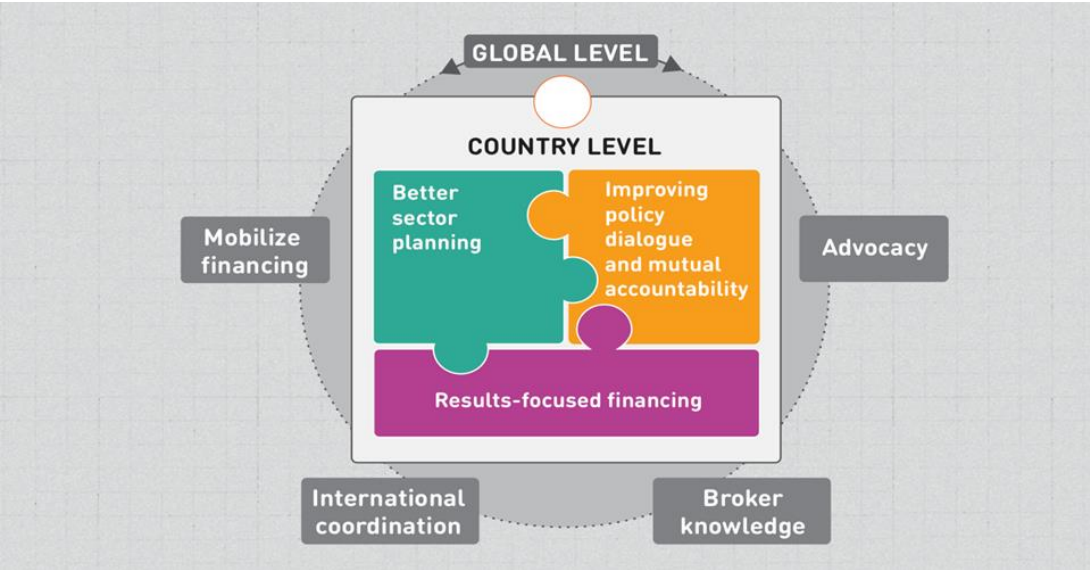
[9] *GPE Monitoring and evaluation strategy*. GPE, July 2017. file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge_8wekyb3d8bbwe/TempState/Downloads/2017-07-gpe-monitoring-evaluation-strategy-edited.pdf

[10] Global Partnership for Education. *Fund Education. Shape the Future. GPE Case for Investment*. GPE, 2017, p. 15ff.

[11] Global Partnership for Education. *Fund Education. Shape the Future. GPE Case for Investment*. GPE, 2017, p. 10.

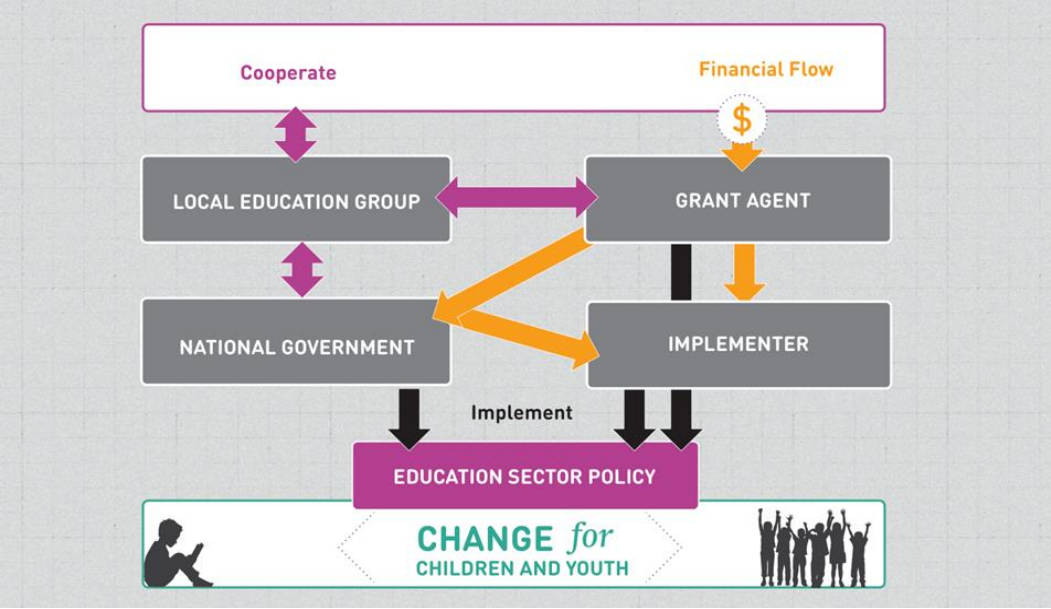
[12] Sources: GPE (undated): GPE 2020. Power Point Presentation. GPE. *Country-level Process Guide. An overview.* GPE, 2017.

Figure 1.1 GPE at country and global levels[13]



11. Figure 1.2 below elaborates on the different elements that make up the GPE operational model at country level, in particular the roles played by the local education groups, DCP governments and grant agents. Implementers (shown below the grant agent) are usually the respective governments, but can include other, nongovernmental actors.

Figure 1.2 The GPE model at country level[14]



[13] Adapted from: Global Partnership for Education. *GPE 2020. Improving learning and equity through stronger education systems*. Power Point Presentation. GPE 2017.

[14] Ibid.

Implications for the country-level evaluations

12. The prospective and summative country evaluations will explore expected and unintended effects of change (both positive and negative) made since 2015 to strengthen GPE country processes, including those in relation to establishing minimum standards and related quality assurance for GPE-supported processes. Further, the evaluations will explore effects deriving from GPE's results-based financing approach on sector planning and policy implementation, as well as GPE contributions to education financing at the country level. Especially for the prospective evaluations this will entail monitoring over the three-year period if any, current donor behavior changes over the years or if new donors enter the stage in each country, and whether there is evidence of GPE leveraging funds from other actors, including through the new GPE Multiplier. In addition, the evaluations will gather evidence on whether and how GPE financial and non-financial types of support (e.g. through technical assistance and advocacy at global and country levels) complement each other.

1.2.2 GPE external (global) context

Assessing the effect of policy change on the quality of education

13. International and national assessments and studies around the world indicate that the quality of education in many countries continues to lag despite improvements made in increasing enrollment rates.[15] In response, there are ongoing efforts to facilitate a transition in focus **from schooling to learning**. This is reflected in the new Sustainable Development Goal (SDG) 4, which, different from the Millennium Development Goals, no longer focuses just on enrollment or attendance, but rather on the achievement of relevant learning outcomes.[16]

14. As pointed out by Pritchett (2015), current understanding of what leads to learning leaves key questions unanswered.[17] While some input-heavy and focused policy measures such as reducing the cost of schooling, providing textbooks, ensuring higher pay for teachers, reducing class sizes, or changing the curriculum have been shown to positively affect learning in some contexts, they have equally shown to have no effect whatsoever in others. However, existing research provides at least some indication of what types of interventions tend to more effective than others in a variety of contexts, but also highlight remaining data gaps. See Box 1.

15. To address the issue of improving learning comprehensively, recent studies, including the World Development Report (WDR) 2018, put increased emphasis on the need to make overall **education systems** work for learning. While the WDR stresses that there are no 'one-fits-all' solutions to strengthening

[15] See, for example (1) World Bank. *World Development Report 2018: Learning to Realize Education's Promise*. Washington, DC: World Bank. doi:10.1596/978-1-4648-1096; (2) *More Than One-Half of Children and Adolescents are Not Learning Worldwide*. UNESCO Institute for Statistics. Fact Sheet No. 46. September 2017. UIS/FS/2017/ED/46. Available at: http://uis.unesco.org/sites/default/files/documents/fs46-more-than-half-children-not-learning-en-2017.pdf.

[16] Pritchett, Lant. *Creating Education Systems Coherent for Learning Outcomes: Making the Transition from Schooling to Learning*. RISE Working Paper 15/005. December 2015. On SDG 4 and related targets, see http://www.un.org/sustainabledevelopment/education/.

[17] Ibid, p. 2. There is some evidence that specific factors such as good teaching positively affect learning (see, for example Hattie, John: *Visible Learning. A synthesis of over 800 meta-analyses relating to achievement*. 2009). However, there is no singular answer to the question of what leads to good teaching.

education systems, it argues that countries can improve learning outcomes by advancing on three fronts: (i) assess learning to make it a serious goal, i.e. using well-designed student assessments to gauge the health of education systems; (ii) act on existing evidence on how people learn to make schools work for all learners; and (iii) align all actors to make the whole system work for learning.[18]

Box 1: Impact of education programs on learning.

A systemic review of evidence deriving from 216 programs reaching 16 million children across 52 lower and middle-income countries conducted by the International Initiative for Impact Evaluation (3ie)[19] found that:

* Many existing programs either improve school participation or learning outcomes, but not both. The exceptions are community-based monitoring, school-feeding and multi-component interventions that address several types of barriers to participation or learning.

* Structured pedagogy programs demonstrated the largest and most consistent positive effects on learning outcomes. These programs usually combine the development of evidence-based curricula and instructional approaches, with lesson plans and training for teachers in delivering new content and material.

* In contexts with weak education systems and low levels of human capital, it may be necessary to intervene across more than one sphere to improve the chances of seeing substantial improvements. For examples, programs that enhance participation by reducing the cost of schooling may need to be complemented by interventions aimed at strengthening curriculum content, materials and quality of instruction through trained teachers in order to ensure learning. New programs may be more effective if their design is informed by an analysis of the main (combinations of) barriers to improved sector outcomes in a particular context.

* The current global evidence base has gaps and is unevenly spread across interventions and countries. There are only few studies and programs that target teachers, and there is a lack of data on how programs affect different sub-populations.

Equity, gender equality and inclusion

16. Globally, there is gender parity in participation at all education levels except tertiary. However, the global averages mask continuing disparity in many regions and countries: over one-third of countries are still to achieve gender parity in primary education, and over 50 percent have not achieved gender parity in lower secondary education.[20] Girls who live in countries affected by conflict are almost two and a half times more likely to be out of school than their counterparts in other countries.[21] The largest gender gaps are in North Africa and West Asia and sub-Saharan Africa.[22]

[18] World Bank. *World Development Report 2018: Learning to Realize Education's Promise*. Washington, DC: World Bank. doi:10.1596/978-1-4648-1096, p.3f.

[19]. Snistveit, B., Stevenson, J. et al. *The impact of education programmes on learning and school participation on low- and middle-income countries*. London: International Initiative for Impact Evaluation. September 2016.

[20]*Global Education Monitoring Report 2017/8. Accountability in education: Meeting our commitments*. UNESCO, 2017. p.182.

[21] *GEM Report,* Policy Paper 21. June 2015, p.3 There have been some improvements, however. According to GPE, in GPE countries affected by fragility and conflict the primary completion rate increased from 56 percent in 2000 to 69 percent in 2015, and the number of girls completing school for every 100 boys rose from 74 to 88 for primary, and from 67 to 83 for lower-secondary between 2002 and 2015. Source: http://www.globalpartnership.org/data-and-results/education-data#fullpage-3

[22] *2017/8 Global Education Monitoring (GEM) report*. UNESCO 2017, p. 124.

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17. As of 2015, 61 million children of primary school age and 62 million adolescents of lower secondary school age were not enrolled in school. According to the 2017/8 Global Education Monitoring (GEM) report, out-of-school rates for primary education have stagnated since 2008, and for lower secondary education since 2012. Regionally, out-of-school rates are highest in sub-Saharan Africa, followed by Southern Asia, Northern Africa and Western Asia. [23]

18. Within countries, girls, children from the poorest households, those living in remote or rural areas, those with a disability or those from minority ethnic or linguistic backgrounds, remain disproportionately disadvantaged in attending primary school and finishing secondary school. Many education systems struggle to ensure full inclusion by responding to the diversity of needs among all learners, due to limited understanding of these needs, and a lack of teacher training, learning resources and facilities. In only 42 out of 86 Low income countries is there an explicit reference to inclusive education in constitutions, laws and policies.[24] An estimated 90 percent of children with disabilities in the developing world do not go to school.[25]

Financing education for Agenda 2030

19. Although the importance of "Education for All" was recognized in the prior Millennium Development Goals (MDGs), the ratification of the SDGs and Agenda 2030 has cast a renewed spotlight on the centrality of improving the quality of, and access to, education over the coming decades.

20. According to The Education Commission (formally titled the International Commission on Financing Global Education Opportunity), getting all children to learn will not only require a significant increase in resources, but also a drastic improvement in the efficiency and effectiveness of education finance. The Commission's vision for creating the "Learning Generation" (getting all children and young people into school and learning within a generation) will require total spending on education to rise steadily from $1.2 trillion per year in 2016 to $3 trillion by 2030 across all low and middle-income countries. The vast majority of this money must come from domestic governments.[26] However, the Commission warns of significant financial gaps, especially for low-income countries. Meeting these financial goals will require overcoming key challenges in the mobilization and deployment of domestic and international financing.

21. The 2016 GEM report had noted that most of countries' education financing, planning and implementation arrangements still take place in sector or subsector silos constrained by narrowly focused administrative structures, and that education funding from the private sector and multilateral institutions is limited. The report highlighted the importance of coordinating and financing bodies if global aspirations for SDG 4 are to be fulfilled.[27] The SDG-Education 2030 Steering Committee, which has been entrusted with global coordination of education work in the SDG agenda, has developed an initial roadmap of activities to guide the international education community up to 2019. However, the 2017/8 GEM notes

[23] *2017/8 Global Education Monitoring (GEM) report* UNESCO. 2017, p. 124.

[24] *2017/8 Global Education Monitoring (GEM) report*. UNESCO, 2017, p. 182.

[25] *Global Initiative on Out-of-School Children. South Asia Regional Study*. January 2014. UNICEF, 2016. https://www.unicef.org/education/files/SouthAsia_OOSCI_Study__Executive_Summary_26Jan_14Final.pdf

[26] *The Learning Generation: Investing in education for a changing world.* The International Commission on Financing Global Education Opportunity. 2016.

[27] *Education for people and planet: Creating sustainable futures for all. Global Education Monitoring Report*. UNESCO, 2016, p. 147.

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that for many international organizations, promoting global goals is only one of several roles that they play, and organizations often have competing institutional agendas, which poses difficulties for effectively holding actors accountable for their contributions to global goals.[28]

Implications for the country-level evaluations

22. The contextual issues outlined above highlight the magnitude of challenges that still exist in a number of areas and confirm the relevance of GPE's focus on (i) targeting financial support to the poorest countries with high rates of out-of-school children and to countries affected by fragility and conflict; (ii) strengthening overall education systems, and (iii) aiming to mobilize more and better financing for education. The country-level evaluations will address all of these issues, with particular emphasis on exploring whether and how GPE support is making (or is likely to make) contributions to system level change and to more/better financing for education in the sampled countries.

[28] *2017/8 Global Education Monitoring (GEM) report*. UNESCO, 2017, p. 97.

2 Methodology

2.1 Methodological Approach

2.1.1 Overall approach

23. Both summative and prospective country evaluations will place emphasis on assessing the relevance, efficiency and effectiveness of GPE's inputs at the country level and the validity of GPE's theory of change (ToC) to establish if and how GPE outputs and activities contribute to outcomes and impact.[30] The country evaluations aim to inform the Secretariat and the partnership on results achieved to date, as well as on areas where GPE might be able to further strengthen its support or adjust its operational model. As such, the overall approach to the portfolio of country evaluations is essentially *formative*.

24. The guiding frameworks for all country-level evaluations are the evaluation **matrix** presented in section 2.2.1 and the **generic country-level theory of change** presented in section 2.1.2, which has been developed based on GPE's existing overall theory of change. The overall approach to

Box 2: Contribution Analysis

Contribution analysis is a theory-based, iterative approach to evaluation designed to identify the contribution a program or (series of) interventions is making to observed results through an increased understanding of *why* observed changes have occurred (or not occurred) and the roles played by the intervention and by other internal and external factors respectively.[29]

The evaluation team chose contribution analysis as the main approach to this assignment as it is particularly useful in situations (i) where a program is not experimental, but has been implemented on the basis of a relatively clearly articulated theory of change; (ii) where the change processes in questions are complex rather than unidimensional, i.e., where change is influenced due to a variety of inter-related factors as opposed to single policy interventions that could be isolated; (iii) where the change processes in question are highly context-specific.

A report deriving from applying contribution analysis does not provide definite proof, but rather provides an evidence-based line of reasoning from which plausible conclusions can be drawn on the types and reasons for contributions made by the program/intervention in question. CA draws upon both quantitative and qualitative evidence to build the 'contribution story' for the program or intervention(s) under review.

[29] See, for example: Mayne, J. "Addressing Cause and Effect in Simple and Complex Settings through Contribution Analysis". In *Evaluating the Complex,* R. Schwartz, K. Forss, and M. Marra (Eds.), Transaction Publishers, (2011).

[30] In the context of this assignment, the use of the term 'impact' is aligned with the terminology used by GPE to refer to sector level changes in the areas of learning, equity, gender equality and inclusion (reflected in GPE Strategic Goals 1 and 2 described in the 2020 Strategic Plan). While examining progress towards impact in this sense, the country evaluations do not constitute formal impact evaluations, which usually entail counterfactual analysis based on randomized control trials.

summative and prospective country evaluations alike will be theory-based and use **contribution analysis** (CA). See Box 2. The application of CA in the context of summative and prospective evaluations is described in sections 2.1.4 and 2.1.5 respectively.

25. Our overall approach will be further guided by three principles: (i) The evaluation team will not collect primary quantitative data but will draw upon existing and readily available data to base evaluation findings on a solid quantitative basis; (ii) the focus of data collection and analysis will be on basic education,[31] with emphasis on data relevant to the key indicators in the GPE results framework and additional indicators described in the respective countries' education sector plans; (iii) the approaches to conducting the prospective and summative evaluations are deliberately harmonized in that they address the same core evaluation questions and derive from the same generic country-level theory of change. The resulting consistency of insights deriving from all country-level evaluations will facilitate the compilation of meaningful cross-portfolio synthesis reports.

2.1.2 Generic country-level theory of change

26. In order to systematically collect and assess evidence on the extent and nature of GPE contributions to country-level outcomes and impact, all country evaluations need to be based on a detailed theory of change that elaborates not only on key desired changes, but also on the main causal explanations (or "mechanisms") and factors affecting transitions between these changes. The existing overall GPE theory of change does not provide this level of detail.

27. The evaluation team has therefore developed a draft **generic country-level theory of change** (ToC) shown in Figure 1 below. This generic ToC is based on, and adds detail to the existing overall/global GPE theory of change to further 'unpack' how GPE – through its country operational model and partnering at the global level – envisages to influence positive change at the country level.[32] The generic ToC is based on a scenario in which a country has benefited from all available types of GPE financial support through the policy cycle.

28. Using a generic ToC as the starting point for all summative and prospective country evaluations allows identifying both commonalities and differences between the specific change processes that have taken place, or are taking place, in each of the targeted countries. This coherence is essential for allowing meaningful cross-country analysis as the basis of the annual and the final synthesis report(s). Each country evaluation team lead will **adapt** the generic theory of change to make explicit, and then test, the key **assumptions** that underlie the internal logic of the envisaged change processes and related GPE contributions in each country.[33]

29. The visual depiction of the generic theory of change in Figure 2.1 below follows the structure of the GPE results framework (RF) by distinguishing between country-level objectives (shown in red), intermediary outcomes (shown in purple), and impact (shown in pink).

[31] International Standard Classification of Education (ISCED) 2011, levels 0-2.

[32] The development of the generic country ToC has also been informed by other GPE documents, in particular the depiction of the country planning cycle as shown in the document "*How GPE works in partner countries*" (http://www.globalpartnership.org/content/how-gpe-works-partner-countries) and GPE's (2017): *Country-level Process Guide. An overview*.

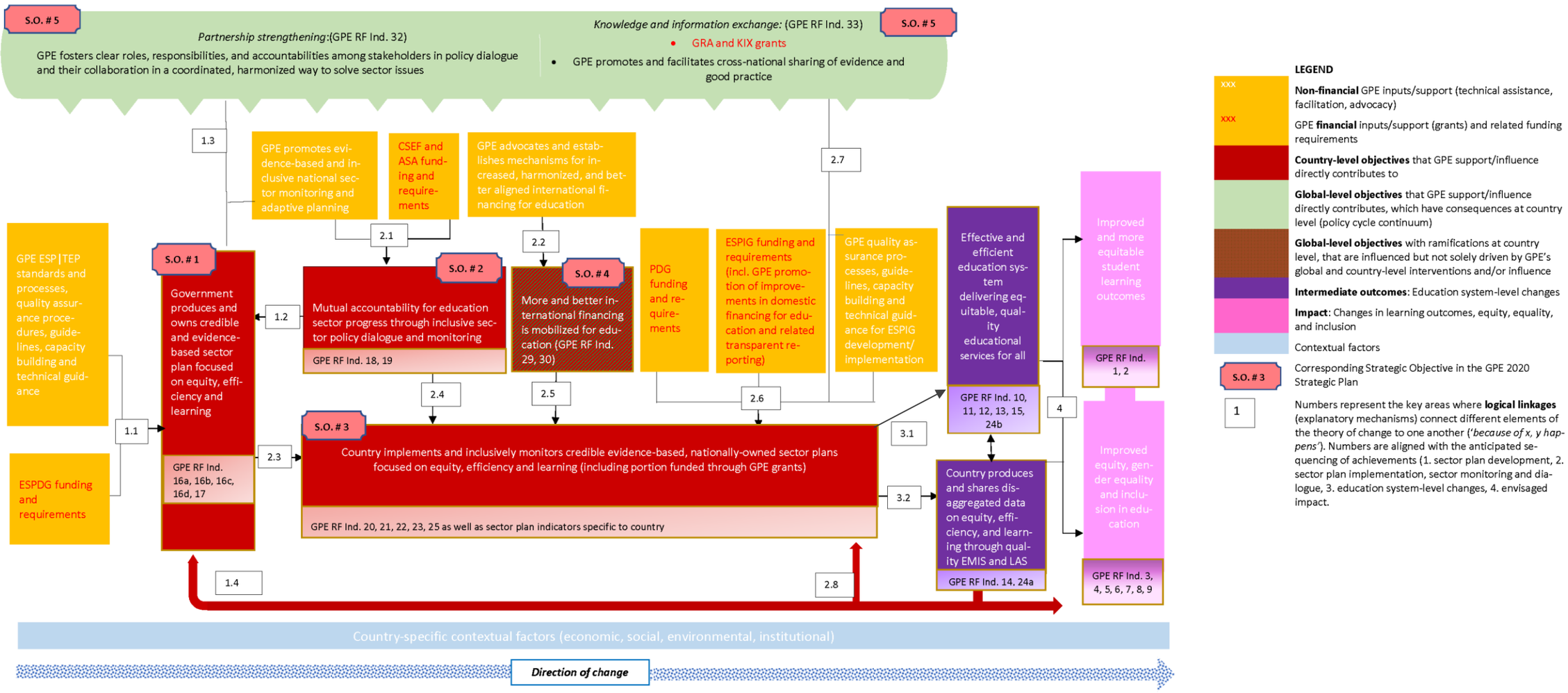
[33] The country-specific theories of change will be shared with the Secretariat in the respective draft country evaluation report (summative) or baseline report (prospective).

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30. The visual representation of the theory of change distinguishes between **financial** GPE inputs (amber boxes/red font) and **non-financial** (amber boxes/white font), but does **not** elaborate on the specific roles played by the GPE Secretariat, grant agents, or coordinating agencies. That type of more granular exploration is provided in the specific evaluation questions and indicators shown in the **evaluation matrix** (section 2.2.1). In contrast, the theory of change aims to illustrate relatively broadly **what types of changes** GPE support is aiming to contribute to. See also Box 3.

Box 3: The notion of "GPE support" encompasses financial inputs deriving from GPE grants and related funding requirements, as well as non-financial inputs deriving from the work of the Secretariat, the grant agent, the coordinating agency, and from GPE's global, regional, and national level engagement through technical assistance, advocacy, knowledge exchange, quality standards and funding requirements.

Figure 2.1 Generic Country Level Theory of Change



31. The generic country-level theory of change implies the following key **GPE contribution claims**, which will be tested in each, as well as across the portfolio, of prospective and summative evaluations. These contribution claims have not been explicitly stated by GPE, but are **logically implied** by the partnership's own overall theory of change and, in consequence, the generic country-level theory of change outlined above. Appendix XV maps these contributions claims to the questions outlined in the evaluation matrix and in the assignment ToR.

A. **Contribution claim:** GPE (financial and non-financial) support and influence contribute to the *development* of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning.

B. **Contribution claim:** GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to *mutual accountability* for education sector progress.

C. **Contribution claim:** GPE advocacy and funding requirements contribute to more and better financing for education in the country.

D. **Contribution claim:** GPE (financial and non-financial) support and influence contribute to the effective and efficient *implementation* of sector plans.

E. **Contribution claim:** The development, implementation and monitoring of realistic evidence based sector plans contributes to positive changes at the level of the overall *education system*.

F. **Contribution claim:** Education system-level improvements result in *improved learning outcomes* and in *improved equity, gender equality and inclusion* in education.

32. Appendix XVI elaborates on the logical linkages that connect different elements in the theory of change to one another and to the contribution claims, as well as on related **key underlying assumptions**, which the prospective and summative evaluations are aiming to test.

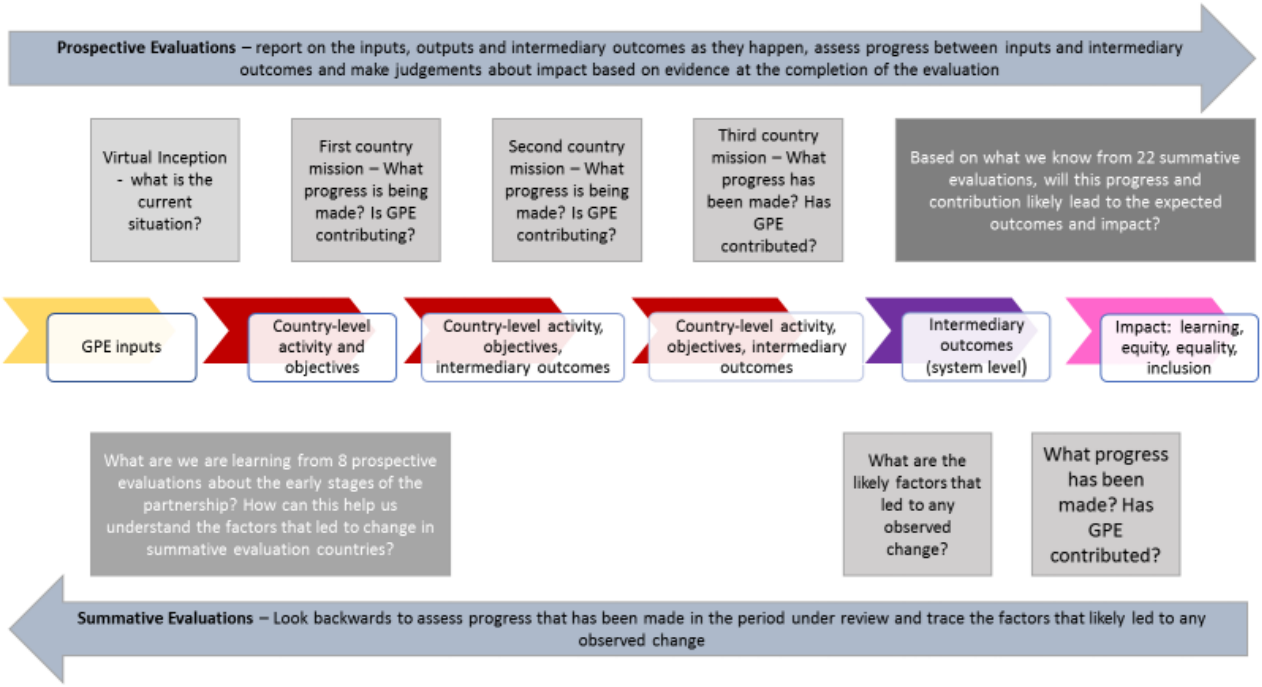
2.1.3 Overview of summative and prospective country evaluations

33. Figure 2.2 illustrates the main difference between prospective and summative country evaluations. The prospective evaluations are **forward-looking** and will assess if GPE inputs and influence are pushing education sector planning, implementation and monitoring towards the intermediary outcomes as outlined in the theory of change. The summative evaluations will **trace the theory of change back** ex-post from impact (if observable at the time) and/or intermediate (system level) outcomes to outputs and inputs. Conversely, the prospective country evaluations will explore what happens, while it happens. They will closely observe initial decisions, document the perspectives of decision-makers and focus on the activities and involvement of key stakeholders early in the period under review in order to understand 'is progress being made?' and 'is GPE is making a contribution?'.

34. For both prospective and summative evaluations, the timeframe of the current/most recent ESPIG, as the core period under review, may be too short to permit finding evidence of impact-level results. Therefore, while the evaluations will collect and analyze data on changes related to learning, equity etc., more emphasis will be placed on exploring whether and how GPE-supported sector planning, plan implementation and monitoring are contributing to changes at the level of the education system (i.e. intermediary outcomes in the GPE theory of change).

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Figure 2.2 Assessing and Interpreting Progress Made Towards Education Sector Outcomes



35. The specific approaches to summative and prospective country evaluations respectively are described in sections 2.1.4 and 2.1.5. The **sampling strategy** that will guide the selection of countries for summative and prospective evaluations respectively is described in section 2.2.2.

2.1.4 Approach to the summative country evaluations

Overall approach

36. The focus of the summative country program evaluations lies on assessing the extent to which countries have made progress towards, or have achieved, anticipated outcomes or impact, and whether and how GPE support (including, but not limited to, GPE grants) have contributed to these achievements. The summative evaluations will look backward to assess GPE contributions throughout a full policy cycle from sector analysis and sector plan development through to program implementation.

37. **Contribution analysis** will constitute our primary approach to the summative evaluations as it allows building a credible contribution story by demonstrating plausible associations between inputs and subsequent changes. The application of contribution analysis will be adapted to the fact that the summative evaluations will take place at only one point in time rather than accompanying emerging change process over time. This will require more focused data collection and analysis than envisaged for the prospective evaluations, for example as regards exploring possible alternative explanations for observed changes.

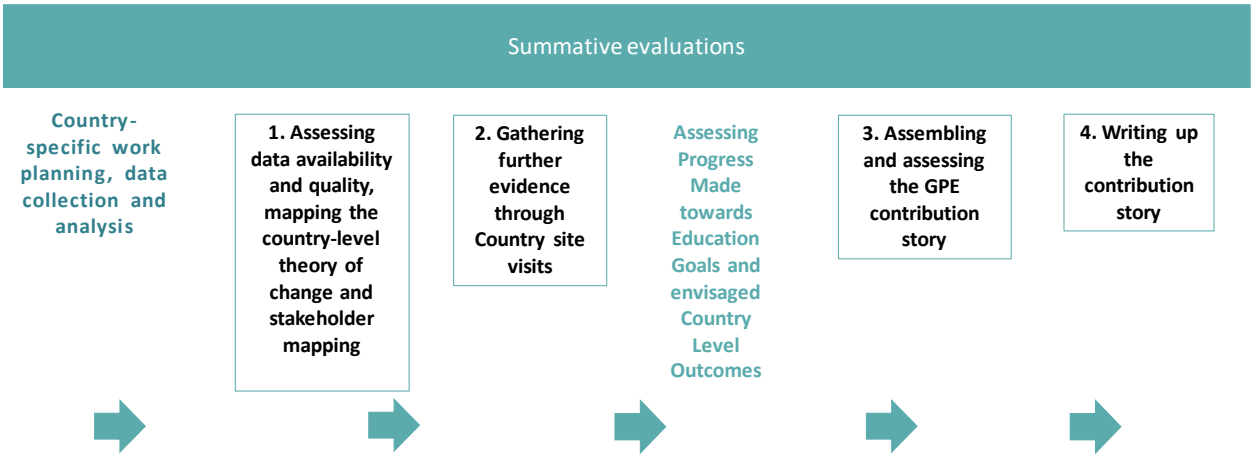
38. The key evaluation questions that will be answered through each of, as well as the synthesis of, the 22 summative country evaluations are presented in the evaluation matrix in section 2.2.1 and Appendix III. All summative evaluations will include data collection through a **site visit** (described in paragraph 45 below).

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39. The first two summative country evaluations (Burkina Faso and Sierra Leone) will have a **pilot** function in that they will allow the evaluation team to test and, if and as needed, modify its approach and/or improve data collection, data sources and analysis tools. In addition, following the completion of the first two batches of (in total seven) summative evaluations (see section 2.2.2), the evaluation team and the Secretariat will jointly review emerging findings and the relevance of the summative evaluations approach to assess whether modifications are required

40. Figure 2.3 provides an overview of the **key stages** for conducting the summative country evaluations.

Figure 2.3 Overview of Stages for Summative Country Evaluations



Country-specific work planning, data collection and analysis for summative evaluations

41. **Stage One: `Assess data availability and quality, mapping the country-level theory of change and stakeholder mapping.**

42. Data availability and quality: Planning each of the summative evaluations requires a clear understanding of the types and quality of existing data that the evaluation team can draw upon. To this end the evaluation team will review:

- The completeness and reliability of country-specific data available on the results and progress indicators as outlined in the GPE (global) results framework and/or their adaptations at the country level. This includes country-specific quantitative education data as well as previous education sector reviews or evaluations conducted by different development partners.[34]
- The nature and quality of data available in each country on the functioning of the GPE country operating model (e.g., LEG meeting notes, coordinating agency reports);
- The types and quality of data already available on assessing GPE (interim) contributions to results, such as baseline assessments and formative evaluations.

[34] See section 2.2 for further details on data sources.

43. Preliminary mapping against the generic country-level ToC: Based on a review of available country-level documents, the evaluation team will identify which aspects of the generic country-level theory of change apply in the respective country. This will result in a first descriptive summary of the types of support that GPE has provided in a country, during which parts of the country planning cycle, and of the main behavior/practice changes that GPE support aimed to contribute to. This first mapping will allow the identification of the specific GPE contribution claims and related assumptions that the summative country evaluation will need to test.

44. Stakeholder mapping: The evaluation team will map key stakeholders at the national level that should be consulted during the evaluation. The main categories of stakeholders to be consulted, as shown in Box 4, are the same for all 22 summative evaluations. Appendix V provides a generic stakeholder analysis for the overall assignment. This analysis will be adapted for each summative country evaluation and appended to the evaluation report. Country-specific nuances and specific individuals representing the main stakeholder groups will be identified in consultation with the respective Secretariat country lead, the grant agent and/or the coordinating agency during the work-planning for each of the 22 summative evaluations.

Box 4: Key Types of Stakeholders to be Consulted[35]

* Developing country partner government representatives (Ministry of Education, Ministry of Finance, other relevant line ministries and government institutions);

* Grant agents, executing agencies (where used), and coordinating agencies;

* Development partners (donors, multilateral agencies) engaged in the LEG or its equivalent;

* Civil society and private sector representatives, including, but not limited to, organizations represented on the LEG or equivalent;

* Other education sector stakeholders, including teacher training institutions, textbook producers, educational research institutions and philanthropic foundations if relevant to ESP development, implementation or monitoring in the respective country.

For selected country evaluations, if deemed relevant by the Secretariat country leads, GPE government focal points, grant agent and coordinating agency, the evaluation team may conduct one or more school visits. These may involve consultations with teachers and/or education administrators and would take place in a school relevant for illustrating specific (envisaged) effects of, or challenges to, GPE contributions. These would not elicit representative data, but would provide a 'reality check' to illustrate realities at the local level.[36]

45. **Stage two: Gather further evidence through country site visits**: The evaluation team will work with the Secretariat and country-level stakeholders to identify suitable dates for country-level data collection as early as possible. We will then work with country-based stakeholders on establishing an itinerary and inviting stakeholders to take part in key informant interviews or focus group discussions. Resulting agreements will be captured in a brief evaluation workplan for each of the 22 summative country program evaluations. These workplans will form internal working documents for the evaluation team and will not be submitted to the Secretariat or other stakeholders. Further details on the conduct of country site visits are provided in section 2.2.3.

[35] Given the ex-post nature of the summative evaluations, some key stakeholders may have moved on from positions held during the period of the most recent ESPIG. The evaluation team will identify and consult with such stakeholders, too, provided they can be traced and are willing to be consulted.

[36] The evaluation team does not foresee conducting formal consultations with school-aged learners as this would have complex legal and ethical implications e.g., related to obtaining parental consent prior to the visits.

Assessing progress made towards education goals and envisaged country level outcomes

46. **Stage three: Assembling and assessing the GPE contribution story.** This stage will consist of two complementary steps. *First*, the evaluation team will gather and analyze data to answer the question 'during the period under review, what progress has been made in strengthening the country's education sector?' To answer this question, the evaluation team will systematically review available secondary data on country-level progress made in relation to the three results levels depicted in the generic theory of change and the evaluation matrix:

a) Impact-level change related to improved and more equitable learning outcomes and increased equity, gender equality and inclusion.

b) Intermediate outcomes related to more effective and efficient education systems). To this end, the goal-level indicators outlined in the GPE results framework have been adjusted to apply to individual countries rather than to the proportion of DCPs supported by GPE. In addition, the evaluations will draw upon system-level indicators outlined in the respective sector plan of the reviewed country (see full evaluation matrix in Appendix III).

c) Country-level outputs on sector planning, policy implementation and mutual accountability.[37]

47. Assessing progress made against these dimensions will be guided by the relevant questions and sub-questions outlined in the evaluation matrix (section 2.2.1). For data sources used to inform the analysis, see section 2.2.3.

48. *Second*, the evaluation team will address the question 'why have things changed, and how has GPE contributed to the observed changes? It will also consider whether changes encompass good practices as identified in the literature. To this end, evidence derived from analyzing education sector data will be complemented with evidence deriving from primary data collected through stakeholder consultations in country and through key informant interviews at the global level.[38] Data will be organized using the evaluation questions and sub-questions in the evaluation matrix (section 2.2.1 and Appendix III). Qualitative data deriving from interviews will be coded in an Excel template, categorizing information into (i) positive/confirming the generic country-level theory of change; (ii) negative/contradicting the generic ToC; and (iii) neutral/inconclusive as regards the validity of the country ToC.

49. Overall, assessing GPE contributions to sector-level change will be based on:

- Identifying the (qualitative and quantitative) evidence supporting the key explanations/factors behind the country theory of change (see Appendix IV), and a discussion of the quality of this evidence.
- Assessing the likelihood of the different explanations/factors having actually occurred;
- Based on this likelihood, identifying implications for the contribution claim linked to the reviewed interventions or change processes.

[37] The evaluation team has chosen the country-level theory of change as the reference point rather than the GPE country-level strategic objectives (SOs) as defined in the GPE results framework. This is due to the fact that the SOs focus on GPE contributions to change processes, whereas the intent during this first step is to obtain a description of what changes have taken place during the stages of the policy cycle, without yet assessing GPE contributions to these changes.

[38] See section 2.2.3 for a description of the proposed approaches to stakeholder consultations.

50. In assembling the GPE contribution story, the evaluation team will also explore what factors other than, or parallel to, those directly influenced by GPE are likely to have affected changes at education system or sector level.

51. **Stage four (Deliverable): Writing up the contribution story**. The main deliverable for each of the 22 summative evaluations that will be informed by the steps described above will be a country **summative evaluation report**, which will feed into the annual synthesis report as well as the final synthesis report in 2020. Please see section 4.7 for details on assignment deliverables, and section 3.1 for anticipated reporting timelines.

2.1.5 Approach to the prospective country evaluations

52. The eight prospective evaluations will focus on exploring the ways in which countries are making progress towards intermediary outcomes, identifying areas where GPE inputs and the partnership can be strengthened and, by the completion of the evaluation, whether and how GPE support (including but not limited to GPE grants) are likely to lead to the desired impact. Where applicable, the evaluations will also capture (positive or negative) unintended effects deriving from GPE support.

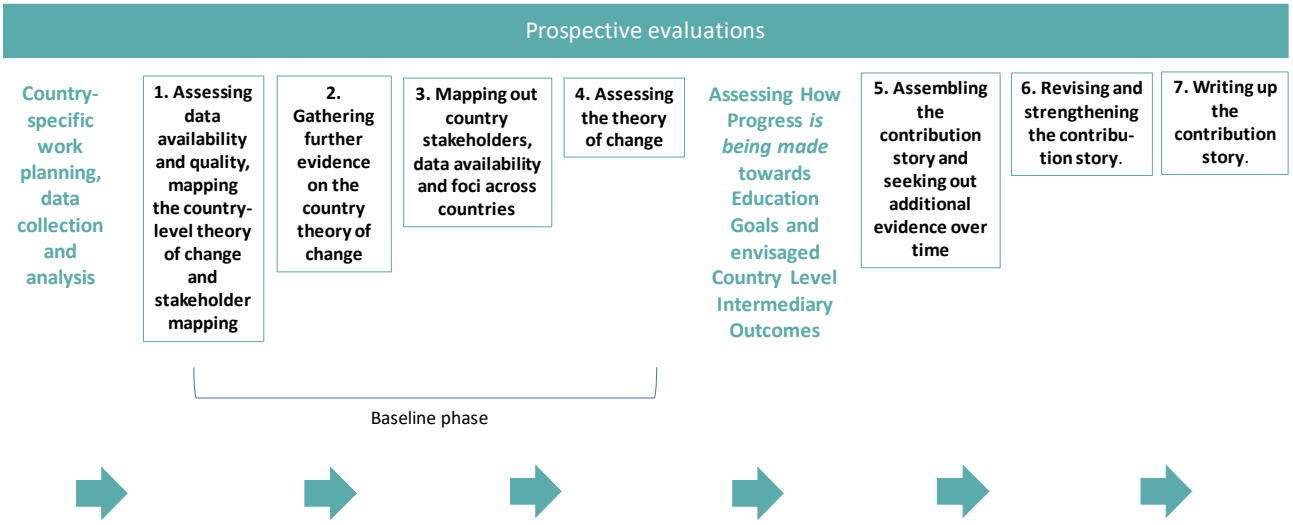
53. As with the summative country program evaluations, the prospective evaluations will use **contribution analysis** as the primary approach. The emphasis of the prospective evaluations will be to understand if GPE support is working (or not) in each country, and **how** and **why** outputs from GPE support lead and contribute (or do not) to outcomes and impacts and **who** benefits. The prospective evaluations will build the contribution story **over the lifecycle of the evaluation**, across eight countries, by tracing GPE inputs along the expected causal pathways. Each round of reporting will provide opportunities for **course correction and learning** by focusing on whether GPE implementation is on track, the quality of the partnership at the country level and GPE inputs to sector planning and dialogue (associations between GPE inputs and intermediary outcomes, early in the causal pathway).

54. The key evaluation **questions** to be addressed through each of the eight prospective country evaluations are presented in the evaluation matrix in section 2.2.1 and Appendix III. All prospective evaluations will include an **initial virtual data collection period** to inform stage one of the evaluation (see steps below) and data collection through **three country site visits**. In order to avoid repetition, the following section specifically describes the ways in which the prospective country evaluations will differ from the summative evaluations in terms of approach, methodology, stakeholder engagement, and outputs.

55. In total, the envisaged process for conducting the prospective country evaluations includes seven stages as shown in Figure 2.4. The first four stages focus on establishing a solid **baseline** for each of the eight countries. All seven stages are further described below.

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Figure 2.4 Overview of Stages for Prospective Country Evaluations



Country-specific work planning, data collection and analysis for prospective evaluations

56. **Stage One: Assessing data availability and quality, mapping the country-level theory of change and stakeholder mapping. This will include:**

- Assessing data availability and quality: As with the summative evaluations, the evaluation team will ensure gaining a clear understanding of the types and quality of existing data and evidence that the prospective evaluations can draw upon.[39]
- Preliminary input mapping against the generic theory of change**:** Based on the review of available country-level documents, the evaluation team will identify which aspects of the generic country-level theory of change apply in the respective country. This will result in a descriptive summary of the types of support GPE is likely to provide in a country during the evaluation period.
- Stakeholder mapping and country calendar**:** In addition to mapping key stakeholders at the national level to be consulted during the evaluation, the prospective country evaluators will seek to map the likely activities taking place over the evaluation period. For example, we will look at the timing of joint sector reviews and seek to make sensible decisions about country mission timing based on in-country activities, to the extent possible within the evaluation workplan.

57. **Stage Two: Gather further evidence on the country-specific theory of change through virtual missions.** An important part of contribution analysis is to gather and assemble existing data and information against the country-specific theory of change before data collection starts in earnest to identify possible evidence gaps. To this end, the evaluation will hold (virtual) discussions with Secretariat staff, grant agents, coordinating agencies, representatives from country partner governments and civil society organizations, as well as with selected education experts with knowledge of the targeted countries. Country-specific nuances will be identified at this stage, to the extent possible. For each country, the evaluation team will develop a country-specific theory of change and identify specific points in the theory of change most likely to yield the greatest insights into if and how GPE contributed to outcomes. These

[39] Please see section 2.2 for details on proposed data sources.

points in the theory of change will become the key focus of the country evaluation in order to provide information for lessons and course correction and will be fully explored and adapted throughout the evaluation period, as information comes to light.

58. **Stage three: Review stakeholders, data availability and evaluation foci across countries**. After completing stages one and two for each country, the evaluation team will review country stakeholders, data availability and foci across the eight countries and look for synergies and divergence. The point of this exercise is to take a strategic perspective on what lessons we will likely learn as a result of the prospective evaluations collectively, and to ensure there will be enough diversity across managing agent, available data and focus in the theory of change to provide a complete picture of GPE contributions. Following this cross-country review, the evaluation team will consider if focus points in the theory of change for any country/ies require revisions.

59. **Stage four: Assess the theory of change:** The final step in the baseline phase will be to use the evidence assembled under stages two and three to construct an initial, or baseline, assessment of the theory of change for each prospective evaluation country. This step will involve:

- Assessing the logic of the links in the theory – looking at the plausibility of assumptions within each country-specific theory of change to identify where weak points are.
- Identifying potential alternative explanations**.** This firstly involves considering how plausible it is that other factors, independent of GPE country-level support, will play a major role in bringing about the desired results, and then doing some initial research about what the most likely factors will be and what data will be required to confirm or refute alternative explanations.
- Assembling the existing evidence against the country- specific theory of change, to identify the main weaknesses and gaps in the theory of change, and identify where additional data would be useful.

60. The main output from stages one to four will be a **baseline (desk) report** for each of the eight prospective country evaluations which sets out the assessment of the GPE country-level theory of change in these countries. See section 4.7 on assignment deliverables.

Assessing how progress *is being made* towards education goals and envisaged country level intermediary outcomes

61. The prospective evaluations are forward-looking and will assess if GPE inputs are pushing education sector planning, implementation and monitoring towards the intermediary outcomes as outlined in the adapted country-specific theory of change. They will closely observe initial decisions, document the perspectives of decision-makers and focus on the activities and involvement of key stakeholders early in the period under review in order to understand '**is progress being made?'** and '**is GPE is making a contribution?'**. Course correction will be possible because the information will be available to key stakeholders in real time.

62. For prospective evaluations, the time under review is 2017 – early 2020. Therefore, the virtual inception period will establish a baseline for each country and the first and second missions will seek to understand if progress is being made, and assess the quality of the partnership. After the third country mission, final prospective evaluation reports will then seek to outline what progress was made, if GPE contributed and how GPE contributions took place.

63. **Stage five: Assembling the contribution story and seeking out additional evidence over time:** The evaluation team will assemble the contribution story over time, by collecting and analyzing data and then conducting further rounds of data collection in order to assemble, build up and strengthen the contribution story over time – seeking additional evidence to address weaknesses in the story and probing

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alternative explanations in more detail. In the context of the prospective country evaluations, this iterative data collection will take the form of country field work, as well as collection of new secondary data produced in between missions, during 2018, 2019 and 2020. The specific methods of data collection we will utilize are set out in section 2.2.3.

64. As with the summative evaluation, data will be organized and coded using the generic country-level ToC (adapted, as needed, to the specific country). The prospective country evaluations will initially examine if and how stronger sector planning and implementation and effective and inclusive national policy dialogue is taking place and the role of GPE in any outcome changes. Other factors that may be influencing outcomes will also be documented.

65. **Stage six: Revise and strengthen the contribution story:** In the final stages of the evaluation, the prospective evaluation team will assess the GPE contribution story to ask, *'what* progress has been made', *why* have things changed, and *how* has GPE contributed to the observed changes?' At this point, the evaluation team will construct the GPE contribution story from inputs to intermediary outcomes by complementing the evidence derived from three country missions with secondary data collected during the course of the assignment. See Box 5.

Box 5: GPE Contribution Story

The evaluation team will apply an organizing framework that collates evidence against the following four dimensions: a) GPE-supported activities (to assess whether programs were implemented as planned), b) intended GPE outcomes (whether they were observed or not observed), c) how and why change happened (i.e., through testing the country specific theory of change assumptions in order to assess whether GPE support was in fact a necessary part of the causal package that explained the outcome), and d) other factors (that might have influenced the outcomes, and their relative importance). Finally, the evaluation team will assess the extent to which country-level outcomes are likely to lead to the desired education system changes, and changes in equity, access and learning.

66. **Stage seven: Write up the GPE contribution story:** The aim of contribution analysis is to build a compelling case that examines the extent to which a) the country-specific theory of change is verified and b) other key influencing factors are accounted for. Critically, in order to infer that GPE support in the targeted countries has made an important contribution to a desired result, each country contribution story will provide a description of the observed outcomes, together with evidence in support of the assumptions behind the key links in the country theory of change.

67. The main outputs deriving from the prospective country evaluations will be a set of **Annual Prospective Evaluation Reports** prepared in 2018 and 2019, which document progress across the eight prospective country evaluation countries. Please see section 4.7 on deliverables.

2.1.6 Approach to cross-country analysis and synthesis

68. The evaluation team will compile two annual, as well as one final synthesis reports to facilitate learning and wider use of evaluation findings. Synthesizing the country-level evaluations will be guided by a set of high-level **global evaluation questions** shown in section 2.2.1, and by related hypotheses that build on the country-level evaluation questions.

69. To answer the global evaluation questions, findings deriving from different country-level evaluations will be approached in two ways: (a) **Descriptive**: What common (or diverging) themes and issues emerge from the summative and prospective country evaluations conducted during the period

covered by the synthesis report? and (b) **Analytical**: What key factors are likely to have influenced common strengths or weaknesses of GPE support to countries observed across the individual country evaluations?

70. While the country evaluation reports will describe phenomena within individual cases (countries), the synthesis reports will compare individual cases (countries) and compare groups of cases (by the internal and external factors listed below) and test the GPE country-level theory of change across cases. Based on Ryan's 'Standards of Rigor for Qualitative Research',[40] the analysis will follow the four standardised aims of qualitative research:

a) Exploration – What is present in each case and how are these things related to each other?

b) Description – What does each case look like? What does each group look like?

c) Comparison – How is Case X different to Case Y? How is Group A different to Group B?

d) Model Testing – To what degree does each case conform to the proposed model (here: theory of change and related assumptions/hypotheses)? To what degree does a group of cases conform to the proposed model?

71. The cross-case analysis will be approached using **Qualitative Comparative Analysis** (QCA), a case based method which allows valuators to systematically compare cases in order to identify different combinations of factors that are critical to a given outcome, in a given context. QCA is a rigorous method in that, when the analysis process is made transparent, the results of the analysis can be replicated by anyone and produce the same findings. Qualitative Comparative Analysis is well-suited for testing theories of change and related underlying assumptions by helping to identify which, of the factors tested, are necessary or sufficient to obtain a successful result. In doing so, GCA does not limit itself to looking at isolated factors, but aims to explore how different combinations of factors can lead to success. This allows avoiding a linear understanding of how change happens and places heavy emphasis on specific environments. As such, QCA is not about identifying context-free 'best practice', but about exploring what works best under certain circumstances. [41]

72. Applying Qualitative Comparative Analysis in the context of this assignment will involve the following steps.

a) Identifying which internal and external factors are to be applied in the cross analysis. A preliminary set of potentially relevant such factors is shown in Box 6. Based on the findings of the first two batches of (seven) summative evaluations and the first annual prospective evaluation progress reports, the evaluation team, in consultation with the Secretariat, will decide which factors to include so as to test emerging hypotheses on the main reasons for noted differences (see (b) below).

b) Formulating working hypotheses on the influence of specific factors (or combinations thereof) based on the findings of summative and prospective evaluations, which will be explored through the cross-analysis. A list showing examples of possible such hypotheses is shown in Table 2.1 below. As the assignment unfolds, these will be refined and complemented by additional and more granular hypotheses deriving from the findings of individual summative and prospective evaluations.

[40] Ryan, G. (2005): What are Standards of Rigor for Qualitative Research? Available at https://www.alnap.org/system/files/content/resource/files/main/ryan-paper.pdf

[41] Baptist, C. and Befani, B. (2015): Qualitative Comparative Analysis: A Rigorous Qualitative Method for Assessing Impact. Available at: http://www.coffey.com/assets/Ingenuity/Qualitative-Comparative-Analysis-June-2015.pdf .

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c) Coding key findings deriving from summative and prospective evaluation (progress) reports based on whether the chosen internal and external factors are present or absent in the respective case. This will involve qualitatively defining scoring criteria and then using the qualitative data available for each country case to rate a particular factor against these criteria.[42]

d) Analyze the data to test the assumptions/logical linkages identified under (a) and identify implications of related findings for the GPE generic country-level theory of change and operational model. Depending on the number of factors that will be included, the evaluation team will conduct this analysis either in Excel or by applying a specialized QCA software such as *fs/QCA*.

Box 6: Preliminary list of factors for cross-case analysis

Internal factors related to the nature, quality or extent of GPE support provided in country:

* Number and types of GPE grants country has received during policy cycle under review

* Size of GPE disbursements as share of total aid to education

* Type of organization acting as grant agent and/or coordinating agency

* Extent/nature of support provided through the GPE Secretariat (including, for example, number of country leads responsible for the country during period under review)

* Composition and/or level of engagement of the LEG or equivalent

* Modalities chosen for GPE grant implementation (e.g. project, pooled fund, budget support)

External factors related to the specific country context

* Economic status

* Geographic location

* Status as fragile or conflict affected states (and, in consequence, type of sector plan as ESP or TSP)

* Political stability

* Buy-in or leadership from government

* Length of country's membership in GPE

Table 2.1 Examples of working hypotheses to be explored in the cross-case analysis

AREA OF EXPLORATION	HYPOTHESES	EXAMPLES OF POSSIBLE HYPOTHESES BY FACTORS[43]
Contributions of GPE support to achieving country-level objectives	Key internal and external factors positively or negatively influence the relevance, effectiveness and/or	Internal factors: • GPE contributions to country-level objectives are/are perceived to be more significant the larger the size of GPE disbursements as share of total aid to education in the respective country.

[42] The scores are usually one or zero. However, more fine-grained scales can be applied where deemed necessary. For example, while the factor 'fragile or conflict affected country' can be applied on a 'yes/no' basis, a factor such as 'political stability' may require further nuancing.

[43] These are mere examples of possible hypotheses. Actual hypotheses will be developed once the first two batches of summative evaluations have been finalized.

AREA OF EXPLORATION	HYPOTHESES	EXAMPLES OF POSSIBLE HYPOTHESES BY FACTORS[43]
	efficiency of GPE support to country-level objectives related to (a) education sector planning, (b) education sector plan implementation, and (c) inclusive and evidence-based sector dialogue and monitoring.	• Given that all grant agents must meet minimum standards, the type of organization acting as grant agent does not strongly influence the relevance, effectiveness or efficiency of technical support provided to in-country actors. External factors: • Economic, political, or social instability negatively affect progress towards country-level objectives. • Government ownership and leadership are key for ensuring mutual accountability for progress in the education sector.
Contributions of country-level objectives to system-level changes	Key external factors can positively or negatively influence the extent to which country-level objectives contribute to system-level changes.	External factors: • System level changes are more likely to be achieved if education sector plans are implemented fully. • The stronger the sector plan, the more likely it is to contribute to system level change. • Economic, political, or social instability negatively affect the extent to which system-level change can be obtained.
Contributions of system-level changes to changes in learning outcomes, equity, equality and inclusion	There is a time lag between system-level change and visible effects on learning outcomes and equity, equality and inclusion.	External factors: • Economic, political, or social instability negatively affect the extent and speed of changes in learning outcomes, equity, equality and inclusion.

2.2 Data Collection

2.2.1 Evaluation Matrix

73. The evaluation team has drawn upon the evaluation questions outlined in the assignment Terms of Reference, on the generic country-level theory of change (section 2.1.2) and on a preliminary review of GPE documents to develop a **full evaluation matrix**, presented in Appendix III. The full matrix elaborates on specific types of analysis, triangulation of data sources and judgment criteria, as well as on the main sources of information for each (sub)question. Appendix XVI illustrates how the questions in the matrix relate to the draft evaluation questions outlined in the assignment ToR as well as to the main contribution claims implied by the generic country-level theory of change. Please also see Box 7.

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74. Table 2.2 below lists the key questions and related evaluation questions that the evaluation team will aim to answer. This includes **country-level evaluation questions** (CEQ), which will guide individual summative and prospective country evaluations as well as corresponding **global (or synthesis) evaluation questions** (GEQ), which will guide cross-evaluation analysis to inform the annual and final synthesis reports.

Box 7: Addressing value for money

Across aid agencies, value for money is broadly understood as minimizing the cost of inputs, maximizing the conversion of inputs to outputs, ensuring outcomes and impacts are achieved and ensuring fairness in distribution across the value chain. This is referred to as the 4Es; **economy, efficiency, effectiveness and equity**.

Undertaking a full Value for Money (VfM) analysis involves tracing and benchmarking unit costs (economy), quantifying the extent to which inputs are converted into outputs and outcomes (efficiency), assessing outcomes and impact (effectiveness) and assessing the extent to which costs, inputs, outputs, outcomes and impacts are fairly distributed across groups (equity). A VfM analysis is dependent on good indicators and data and involves a detailed analysis across the value chain. VfM analysis requires the collection of cost data disaggregated at a level that facilitates calculating costs per output and outcome.

Conducting a full VfM analysis is outside of the scope of this evaluation. However, elements of VfM will be integrated into the country evaluations. We will use the notion of value for money as a high-level concept to guide the interpretation of evidence and to guide the formulation of conclusions and suggestions of ways to increase value for money of GPE's spending. Data interpretation will thus be guided by the following high-level questions:

1. Does GPE support doing the right things in each country? This is mainly a relevance question that involves exploring the extent to which grants and other types of GPE support have been designed strategically to address country priorities. Relevant evidence will derive from answering country evaluation questions (CEQ) 2 and 3 in the matrix.

2. Does GPE support doing these things in the 'right way'? These cover efficiency and effectiveness questions that focus on the extent to which grants and GPE-supported activities have been implemented as designed, or effectively adapted over time based on data and evidence. This enquiry also incorporates the concept of coherence as incoherence across actors and education system interventions reduces efficiency and effectiveness. Relevant evidence will derive from answering country evaluation questions CEQ 1 and 2 in the matrix.

3. Does GPE support sustainability at the country level? This question highlights the need to assess (1) the extent to which GPE grant agents effectively support sustainable national capacity, (2) the ability of GPE partners to make appropriate adjustments to GPE grants, (3) GPE contributions to national programmatic preparedness for providing a sustained effective and efficient education system, and (4) the extent to which GPE partners help to facilitate and prepare the country to generate sustainable levels of future domestic funding. Relevant evidence will derive from answering evaluation questions CEQ 4-7 in the matrix.

4. Is GPE contributing to achieving a greater impact at the country level? Here the enquiry is focused on impact and looks at improvement in equitable national and sub-national education outcomes. Relevant evidence will derive from answering CEQ 6-7 in the matrix.

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Table 2.2 Key Questions and Related Evaluation Questions

COUNTRY-LEVEL QUESTIONS AND SUB-QUESTIONS – TO BE ANSWERED THROUGH EACH COUNTRY-LEVEL EVALUATION	GLOBAL LEVEL QUESTIONS – TO BE ANSWERED THROUGH SYNTHESIS OF COUNTRY-LEVEL EVALUATIONS
Key question I: Has GPE support to [country] contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?[44] If so, then how?	
CEQ 1: Has GPE contributed to education sector planning and sector plan implementation in [country] during the period under review? [45] **How?** **CEQ 1.1** What have been strengths and weaknesses of education sector planning during the period under review? **CEQ 1.2** What have been strengths and weaknesses of sector plan implementation during the period under review? **CEQ 1.3** Has GPE contributed to the observed characteristics of sector planning? How? a) Through the GPE ESPDG grant (funding, funding requirements) b) Through other support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice advocacy and facilitation)[46] **CEQ 1.4** Has GPE contributed to the observed characteristics of sector plan implementation? How? **CEQ 1.5** Has GPE contributed to leveraging additional education sector financing and improving the quality of financing? a) Leveraging of additional finance from the government	**GEQ 1.1**: How relevant, effective and efficient have been GPE contributions to Sector Plan preparation and implementation in the reviewed countries? What additional influences can explain observed changes? **GEQ 1.2**: How relevant, effective and efficient have been GPE contributions to furthering mutual accountability through inclusive policy dialogue and sector monitoring in the reviewed countries? What additional influences can explain observed changes? **GEQ 1.3:** What key (internal and external)[47] factors have positively or negatively influenced the relevance,

[44] OECD DAC evaluation criteria of relevance, effectiveness and efficiency.

[45] **The core period under review varies for summative and prospective evaluations**. Prospective evaluations will primarily focus on the period early 2018 to early 2020 and will relate observations of change back to the baseline established at this point. The summative evaluations will focus on the period covered by the most recent ESPIG implemented in the respective country. However, for selected indicators (and subject to data availability) the summative evaluations will look back up to 5 years prior to the country becoming a GPE member to conduct a trend analysis of relevant data.

[46] Technical assistance and facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy can include inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed -upon standards).

[47] 'Internal factors' refer to characteristics of GPE financial and non-financial support provided in the reviewed countries, whereas 'externa' factors are influences deriving from characteristics of the respective country contexts (political, economic, socio-cultural etc.).

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COUNTRY-LEVEL QUESTIONS AND SUB-QUESTIONS – TO BE ANSWERED THROUGH EACH COUNTRY-LEVEL EVALUATION	GLOBAL LEVEL QUESTIONS – TO BE ANSWERED THROUGH SYNTHESIS OF COUNTRY-LEVEL EVALUATIONS
b) Leveraging of additional finance from other partners through the GPE multiplier funding mechanisms (where applicable) c) Leveraging of additional finance from other partners through means other than the multiplier funding mechanism? d) Improvements in the quality of education finance (e.g. short, medium and long-term predictability, alignment with government systems)?	effectiveness and/or efficiency of GPE contributions to country-level objectives?
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? How? **CEQ 2.1** Has sector dialogue changed during the period under review? **CEQ 2.2** Has sector monitoring changed? **CEQ 2.3** How has GPE contributed to observed changes in sector dialogue and monitoring: a) Through GPE grants and funding requirements? b) Through other support[48]?	
CEQ 3 Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring? **CEQ 3.1** What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector plan development, sector financing and plan implementation, and in sector dialogue and monitoring? **CEQ 3.2** During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?	

[48] Technical assistance, advocacy, standards, quality assurance, guidelines, capacity building, facilitation, and cross-national sharing of evidence/good practice.

COUNTRY-LEVEL QUESTIONS AND SUB-QUESTIONS – TO BE ANSWERED THROUGH EACH COUNTRY-LEVEL EVALUATION	GLOBAL LEVEL QUESTIONS – TO BE ANSWERED THROUGH SYNTHESIS OF COUNTRY-LEVEL EVALUATIONS
Key question II: Has the achievement of country-level objectives[49] contributed to making the overall education system in the reviewed country/countries more effective and efficient?	
CEQ 4 During the period under review, how has the education system changed in relation to: a) Quality of teaching/instruction? b) Evidence-based, transparent decision making? c) Country-specific areas of system strengthening for furthering equity and/or learning, and for ensuring effective and efficient use of resources?	**GEQ 2.1:** What types of changes have occurred in the education systems in the reviewed countries? **GEQ 2.2:** What evidence exists to link system-level changes to changes in sector planning, sector plan implementation, sector dialogue and monitoring? What additional influences can explain observed changes? **GEQ 2.3:** What key (external) factors have positively or negatively influenced the extent to which system-level change has been obtained or can be verified?
CEQ 5 How have changes in sector planning, plan implementation, and mutual accountability contributed to observed changes at education system level?	
Key question III: Have changes at education system level contributed to progress towards impact?	
CEQ 6: During the period under review, what changes have occurred in relation to (a) learning outcomes (basic education), (b) equity, gender equality and inclusion in education?	**GEQ 3.1**. During the period under review, what changes have occurred in relation to (a) learning outcomes (basic education), (b) equity, gender equality and inclusion in education? **GEQ 3.2:** Is there evidence to link changes in learning outcomes, equity, gender equality and inclusion to system-level changes? What other/alternative influences can explain changes in learning outcomes, equity etc.?
CEQ 7 Is there evidence to link changes in learning outcomes, equity, gender equality and inclusion to system-level changes identified under CEQ 4? What other factors can explain changes in learning outcomes, equity etc.?	

[49] GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

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2.2.2 Sampling Strategy

75. The consortium, in consultation with the Secretariat, developed a sampling strategy for selecting countries for the eight prospective and 22 summative evaluations. The selected countries constitute a **purposeful sample** to allow the evaluations to focus on particular characteristics relevant to answering the evaluation questions. The sampling strategy contains inclusion criteria as well as exclusion criteria with a purposeful mix of countries across various regions, as well as consideration of FCA S and language representation. The **full sampling strategy** is included as Appendix VI.

76. Out of the 65 countries currently supported by GPE, there are 51 in which the ESPIG is scheduled to close sometime during the period 2017 to 2020. These 51 countries constituted the core population from which the samples for prospective and summative evaluations were chosen.

77. The locales for the eight prospective evaluations have to be countries where GPE is operational at an early stage of grant implementation so that the entire lifecycle of GPE support can be examined. The primary criterion for selection were therefore ESPIG start dates and closing dates between 2017 and 2020. Out of the 51 countries to choose from, this criterion applied to 13. This group was then narrowed down to seven countries by applying the exclusion criteria of: weak access to government and local stakeholders, security issues, and/or political instability. One eighth country was added based on the positive selection criteria of focusing on fragile and conflict-affected states.

78. The ESPIG start and closing dates was also the primary criterion for selecting locales for the summative evaluations: ESPIGs had to end as close as possible to the date of conducting the summative evaluation, i.e. in or after 2017. Excluding the eight countries selected for prospective evaluations from the population of 51, there were 43 countries from which to choose from. Out of this group, 22 countries were selected by applying the positive selection criteria of geographic distribution, DCP income level, fragility and/or conflict affected, degree of grant and sector risk and, whether the current ESPIG incorporates the new GPE funding model. . The aim was for the resulting sample to reflect a diverse set of examples for each of these criteria. The selection was further based on the exclusion criteria of: weak access to government and local stakeholders, lack of data, ongoing security issues, and political instability.

79. Table 2.3 below shows the resulting **sample of proposed countries** for the eight prospective and 22 summative country evaluations.

Table 2.3 Proposed Countries for Prospective and Summative Evaluations

EVALUATION	PROPOSED COUNTRIES
Eight prospective evaluations	**Democratic Republic of Congo, Ethiopia, Kenya, Malawi, Mali, Nepal, Nigeria, Zimbabwe**
22 summative evaluations	First batch: two pilot evaluation draft reports by February 2, 2018 **(Burkina Faso)** and February 22, 2019 **(Sierra Leone)**. Second batch: five evaluation draft reports by May 4, 2018: **Cambodia (TBD)**, **Cote d'Ivoire, Gambia, Liberia, Pakistan.**[50] Third batch: five evaluation draft reports by October 19, 2018: **Mauritania, South Sudan, Tajikistan, Uganda, Zambia.**

[50] The Cambodia and Gambia evaluations are likely to be completed by May 11. See also table 3.1.

EVALUATION	PROPOSED COUNTRIES
	Fourth batch: five evaluation draft reports by March 15, 2019: **Bangladesh, Guyana, Kyrgyz Republic, Mozambique, Togo.** Fifth batch: five evaluation draft reports by October 18, 2019: **Guinea, Organization of Eastern Caribbean States (OECS)[51], Lesotho, Rwanda, Senegal.**

2.2.3 Data sources and methods of data collection

80. Both summative and prospective country evaluations will use the following methods of data collection: (a) Document and literature review; (b) review of additional country-level education sector data; (c) field visits to the selected countries including stakeholder interviews and focus groups; and (d) global key informant interviews.

81. The full evaluation matrix (Appendix III) indicates how the various lines of enquiry with their respective data collection methods and tools will be used and triangulated to address the evaluation questions in the matrix.

Document and literature review

82. Each prospective and summative country evaluation will be based on a systematic review of relevant country-related documents and selected literature. Table 2.4 provides a preliminary overview of the main types of documents that require a review.

Table 2.4 Examples of Types of Documents/Literature

TYPES OF DOCUMENTS	EXAMPLES
Documents on relevant aspects of the respective country and GPE backgrounds	• DCP government policies relevant to education • GPE monitoring and evaluation strategy • GPE results framework and country-level data (see Table 2.4) • GPE Strategy 2020 • Board meeting minutes, decisions, presentations relevant to country • GPE guidance on grant applications, country-level operating model, roles of grant agent and coordinating agency; quality standards for ESPs and joint sector reviews, any other relevant guidance. • GPE portfolio reviews and results reports (sections relevant to countries)
Documents on ESP design, implementation and monitoring	• Country-specific grant applications • Education sector strategic plan(s) or transitional education plans and associated documents including sector analyses • Documentation on any extensions and restructuring of grants/budgets • Country lead quality assurance reports • Coordinating Agency and Grant Agent reports • Back to office reports/memos from Secretariat • Joint Sector Reviews

51 Dominica, Grenada, St. Lucia, and St. Vincent and the Grenadines.

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TYPES OF DOCUMENTS	EXAMPLES
	• Public expenditure reports, medium term expenditure frameworks and national budgets; education financing studies • CSO reports • Other documents suggested by the Secretariat or in-country stakeholders
Evaluative documents and research/studies	• Relevant program or sector evaluations, including reviews preceding the period of GPE support under review • Reports or studies commissioned by other development partners and/or the DCP government • Any literature relevant to understanding or explaining developments in the respective country's education sector during the period under, as well as on practices identified to be effective in the education sector

83. All identified documents and articles will be systematically analyzed to address the questions in the evaluation matrix. To ensure consistency, the evaluation team will use document review templates tailored to the 22 summative and eight prospective evaluations respectively to capture evidence deriving from document and literature reviews. All evaluations will then use the same tool (the contribution analysis database described in Appendix IV) to synthesize this evidence and link it to the contribution claims and assumptions underlying the country-level theory of change.

Review of country-level education sector data

84. Both summative and prospective evaluations will include thorough reviews of available education sector performance data, with a focus on information relevant to the evaluation questions and related indicators on education system and impact-level changes as described in the full evaluation matrix (Appendix III). The questions and indicators in the evaluation matrix are aligned with the indicators for GPE Goals 1-3 as shown in the GPE results framework.[52] Table 2.5 illustrates key types of education sector data sources and policy documents that both prospective and summative country-level evaluations will draw upon to address the overarching question 'during the period under review, what has changed in the education system and in sector outcomes'? In addition, for some indicators,[53] pre-post comparisons of data points before and during the current sector policy cycle will feed into assembling the GPE contribution story.

Table 2.5 Education Sector Data to be Reviewed for Prospective and Summative Evaluations

FOCUS AREA	KEY SOURCES OF EDUCATION SECTOR DATA
Learning outcomes (GPE Goal 1)	Relevant country- specific data available from the World Bank, UIS, UNICEF, bilateral donors Country's Education Management Information System (EMIS) and Teacher Development Information System (TDIS) where these exist Relevant national and regional education/learning assessments (e.g., SACMEQ in Southern and Eastern Africa, NEQMAP in Asia Pacific, ASER in India and Pakistan, PASEC in

[52] As was illustrated in Figure 2.2, summative evaluations will look backwards to assess GPE contributions to existing progress. Prospective evaluations will analyze education sector data on an ongoing basis to assess the likely future impact of GPE support on education outcomes.

[53] Please see the full evaluation matrix in Appendix III for details

FOCUS AREA	KEY SOURCES OF EDUCATION SECTOR DATA
	Francophone Africa, national examinations and EGRA/EGMA)[54] conducted as close to the period of review as possible Decisions regarding the period of review will be determined based on the data availability within each country and the context of each country. For example, where countries have previously received GPE support, the period of review may be longer.
Equity, gender equality and inclusion (Goal 2)	Country's Education Management Information System (EMIS) Relevant country specific data from the World Bank, UNESCO/UIS (e.g., world inequality database on education), UNICEF (e.g., Multiple Indicator Cluster Surveys, Demographic and Health surveys), UN Women Access and learning data will be disaggregated where possible, in order to shed light on equity, gender equality and inclusion. Data on out-of-school children where available.
Effective and efficient education systems (Goal 3)	Public expenditure reviews OECD DAC Creditor Reporting System Data on teachers; EMIS data National Education Accounts (in the rare cases they exist) World Bank ratings/data, e.g. from Systems Approach for Better Education Results (SABER) The relationship between education financing and education outcomes will be analyzed, where possible, by reviewing the financial inputs to education against key equity and learning data. This analysis will provide a sense of the efficiency of the education system.

Country field visits including interviews and focus groups with key stakeholders

Field visits for summative country evaluations

85. The country field visits constitute the core of the summative country evaluations as they permit direct observations and consultations with relevant stakeholders on the ground. Each of the 22 summative evaluations will include **one such visit**. Each country visit will utilize approximately **18 person days** in the field (see anticipated average level of effort in section 3.2), and will usually be conducted by one international senior evaluation consultant and one national or regional consultant at a minimum. The evaluation team may decide to augment the team composition as required to deliver the best product.

86. The field visits will be organized and undertaken according to the following steps.

- In consultation with the responsible Secretariat country lead, grant agent, coordinating agency and/or GPE focal point in the country, the evaluation team will agree upon specific **dates** for each of the site visits and on a preliminary list of **stakeholders** to be interviewed or consulted through focus groups.
- Prior to the field visits, the evaluation team will conduct an in-depth **review of available documents and data** on GPE support and on education sector performance during the period under review as described above.

[54] SACMEQ = Southern and Eastern Africa Consortium for Monitoring Educational Quality. NEQMAP = Network on Education Quality Monitoring in the Asia-Pacific. PASEC = Programme d'Analyse des Systèmes Éducatifs de la CONFEMEN (*La Conférence des Ministres de l'Éducation des pays ayant le français en partage).* EGRA/EGMA = Early Grade Reading/Math Assessment.

- During the subsequent site visit, the evaluation team will conduct in-country data collection through **individual and small group interviews**. A generic interview protocol that, for each site visit, will be adapted for key stakeholder groups is included as Appendix VIII. Should any key informants not be available for interviews during the site visit, the evaluation team will try to conduct interviews by telephone or Skype following the field visits.
- In selected countries, the evaluation team may conduct one or more **school visits** provided that such a visit is deemed relevant by the Secretariat country focal point and country-level stakeholders for assessing GPE contributions. School visits would be used to observe school infrastructure and teaching, and, if appropriate and feasible, conduct consultations with teachers and/or education administrators. These consultations can be conducted as individual or small group interviews, or as focus groups depending on the number of available counterparts and their preferences. Where applicable, related interview protocols or focus group questions would be developed during field visit preparations and tailored to the specific outcomes that GPE support aimed to contribute to in the country.
- On the last day of each mission, the consultants leading the visit will facilitate an interactive **debriefing session** with key stakeholders in order to present and discuss emerging evaluation findings. Ideally, the session will be attended by DCP government representatives and available LEG members. The specific participants of this debriefing session, as well as its location, format and duration will be determined during the work-planning stage for each of the summative evaluations in consultation with country-level contacts. A draft outline for a debrief session is included as Appendix X.

Field visits for prospective country evaluations

87. For the eight prospective country evaluations, regular country site visits permit direct observations and iterative consultations with relevant stakeholders on the ground. **Each of the eight prospective evaluations will include three such visits throughout 2020**.

88. Field visits will utilize **10 to 15-person days** per mission. Each mission will be conducted – at a minimum – by one international senior evaluation consultant and one national or regional consultant. The exact timing of each site visit will be determined in consultation with the Secretariat and country-level actors based on the number and availability of key stakeholders to be consulted during the visit. As feasible, the timing of field visits will be aligned with LEG meetings, joint sector review missions or similar events that will offer additional opportunities for observation and stakeholder consultations. The field visits will be organized and undertaken according to the steps outlined under the summative evaluation and may include one or more school visits if relevant to assessing GPE contributions.[55]

89. On the last day of the second and third missions, the consultants leading the visit will offer a half-day **debrief and/or working session** with key stakeholders in order to present emerging evaluation findings and to provide feedback. It will be too early in the process to present firm conclusions or recommendations; however, will we encourage stakeholders to reflect on whether the emerging themes are reasonable.

[55] If school visits are conducted, the evaluation team will explore whether it will be feasible and useful to (try and) visit the same school(s) on each of the three site visits per country.

Global Level informant interviews

90. In addition to the extensive stakeholder consultations conducted during the site visits, for each of the summative and prospective evaluations the evaluation team will also conduct selected telephone or Skype interviews with the following types of stakeholders.

- Country leads in the Secretariat and other relevant Secretariat staff. These individuals will be consulted before as well as after (if considered relevant to clarify outstanding issues) country site visits;
- Board members from the visited developing country (if it has not been possible to consult these during the site visit and if specific questions to these individuals have emerged);
- Grant agent or coordinating agency staff who have since moved out of the respective country;
- In some cases, headquarter-based representatives of key donor agencies involved in supporting the education sector in the respective country, for example to explore reasons for changes in the respective donor's investments in a country's education sector.

91. An interview protocol for Secretariat country leads is included in Appendix VIII. As protocols for the two other mentioned groups will need to be very context specific, they will be developed if a related need is identified for a summative or prospective evaluation. In that case, a draft version of the protocol will be shared with the Secretariat prior to conducting the interview.

2.3 Data Analysis and Data Quality Assurance

92. To maximize the quality of data and mitigate the risks and constraints inherent in each individual data collection tool, the evaluation team will use several processes to check and clean the data.

- Country visits will be conducted by two team members who will compare and check accuracy of each other's' observations and analysis, and, if applicable, identify areas requiring clarification or follow up;
- Data deriving from stakeholder interviews will be coded by using the questions in the evaluation matrix, and stored using a tailored Excel template dedicated to interview data. This will allow retrieving and analyzing interview data by country, by question and by group of stakeholders;
- Document review data will be excerpted, as much as possible, directly from the respective sources to ensure accuracy;
- Data analysis and aggregation within and across individual prospective and summative evaluations will be guided by the evaluation matrix, and stored within the contribution analysis database shown in Appendix IV. The evaluation team will utilize a copy of the CA database for each country-level evaluation, as well as for the synthesis reports.

93. To analyze data, the evaluation team will employ qualitative (descriptive, content, comparative) and quantitative techniques.[56] Table 2.6 below illustrates how these approaches will be applied in individual summative and prospective country evaluations, as well as in their synthesis.

[56] Contribution analysis is not listed as a method of data analysis as it constitutes our overall approach, which includes various forms of quantitative and qualitative analysis.

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Table 2.6 Data Analysis

METHOD OF DATA ANALYSIS	SUMMATIVE AND PROSPECTIVE COUNTRY EVALUATIONS	SYNTHESIS OF COUNTRY EVALUATIONS
Descriptive analysis	Will be used as a first step to understand and describe the respective country contexts and the nature and extent of GPE support in each country before moving to more interpretative approaches.	Will be used as a first step to describe key features of the portfolio of countries addressed through the country-level evaluations covered by the respective synthesis report, and of GPE support in these countries.
Content analysis	Will be used across the different lines of enquiry • to analyze and identify common trends, themes, and patterns in relation to the country-level evaluation questions • to flag diverging views or evidence on certain issues. Emerging issues and trends deriving from this analysis will constitute the raw material for crafting preliminary findings that will feed into country-level evaluation reports.	Will be used across the different lines of enquiry • to analyze and identify common trends, themes, and patterns deriving from individual country-level evaluations in relation to the global evaluation questions • to flag differences in the findings and supporting evidence emerging from different country-level evaluations. Emerging issues and trends deriving from this cross-country analysis will constitute the raw material for crafting preliminary findings that will feed into the annual and final synthesis reports.
Comparative analysis	Elements of comparative analysis will be used for example when comparing emerging findings with those of earlier evaluations and studies of the respective country and/or of GPE contributions in the country's education sector.	Will be used to understand and explain differences in findings and trends emerging from the different country-level evaluations.
Quantitative/statistical analysis	Will be used to capture relevant trends in each country's education sector (sector outcomes as well as sector financing) as well as in relation to GPE's financial additionality during the period under review.[57] Summative evaluations will focus on education sector trends at the impact and outcome level, while prospective evaluations will focus on education sector trends in intermediary outcomes.	Will be used to capture overall trends and/or differences in country-level education sectors, as well as trends or differences related to GPE financial additionality across the portfolio of country-level evaluations.

94. To ensure consistency, the evaluation team will use the Excel **contribution analysis database** (Appendix IV) as the main tool to guide data collection, data analysis, and storing of evidence. One such database will be utilized for each of the prospective and summative country-level evaluations respectively, and for each of the synthesis reports and the final report.

[57] Our approach to assessing financial inputs and answering questions of financial additionality is outlined in Appendix VII.

95. **Triangulation** will be used to ensure the reliability of information and to increase the quality, integrity and credibility of the evaluation findings and conclusions. Wherever possible, evaluation findings will be based on several lines of enquiry and data sources. Country-specific evaluation reports and synthesis reports will **explicitly indicate cases where triangulation has not been possible**.

2.4 Eliciting Stakeholder Feedback

96. Throughout the conduct of the assignment, the evaluation team will seek out and facilitate opportunities for eliciting feedback from relevant global and country-level stakeholders to inform deliverables and improve subsequent data collection and analysis. Related efforts will include:

- Country debrief and working sessions with available members of the local education group and DCP government representatives at the end of each field visit to share and elicit feedback on emerging findings.
- Engaging with the respective country leads in the Secretariat Country Support Team during the work planning and data collection phases of each of the summative and prospective country evaluations to elicit feedback on envisaged approaches to and foci of data collection and analysis in specific countries.
- Eliciting feedback on draft deliverables from the Secretariat and the Independent Technical Review Panel. For prospective evaluations, the evaluation team will share the annual prospective evaluation reports with the respective countries' LEG and will discuss findings and recommendations with LEG members during the next country site visit. [58]

97. Please also see section 4.9 on the learning strategy for the overall assignment.

[58] The evaluation team will decide on a case-by-case basis, whether and what types of recommendations are appropriate at the level of individual country-level evaluations. It is possible that recommendations may emerge primarily (though not solely) from annual and final synthesis report(s) given that the purpose of the evaluations is not to assess how well each DCP is doing in implementing GPE grants, but how well GPE is doing in supporting the country in strengthening its education sector.

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3 Work Plan

3.1 The pace of the assignment

98. Table 3.1 provides an overview of the anticipated dates for submitting the final versions of all required deliverables during the course of the whole assignment. A more detailed timeline that provides information on dates for submitting draft versions of deliverables, anticipated periods of review through the Secretariat and ITRP, and on Strategy and Impact Committee (SIC) and Board meeting dates is provided as Appendix II.

Table 3.1 Deliverables Deadlines

DELIVERABLES	DEADLINE SUBMITTING DRAFT REPORT	DEADLINE GPE REVIEWING DRAFT REPORT	DEADLINE SUBMITTING FINAL REPORT
1. Inception Report	October 27, 2017	November 10, 2017	November 24, 2017
2. First batch of summative evaluations (2)	February 22, 2018	March 15, 2018	April 5, 2018
3. Baseline studies prospective evaluations	March 16, 2018	March 30, 2018	April 13, 2018
4. Second batch of summative evaluations (5)	May 4, 2018 May 11,2018 (Guyana and Gambia)[59]	May 25, 2018 June 1, 2018 (Guyana and Gambia)	June 15, 2018 June 22, 2018 (Guyana and Gambia)
5. Prospective evaluations: first annual country missions' reports	June 1, 2018	June 15, 2018	June 29, 2018
6. Third batch of summative evaluations (5)	October 19, 2018	November 9, 2018	November 30, 2018
7. Synthesis report 2018	November 9, 2018	November 30, 2018	December 21, 2018
8. Fourth batch of summative evaluations (5)	March 15, 2019	April 5, 2019	April 26, 2019
9. Prospective evaluations: second annual country missions' reports	May 24, 2019	June 7, 2019	June 21, 2019
10. Fifth batch of summative evaluations (5)	October 18, 2019	November 8, 2019	November 29, 2019

[59] Tentative date based on currently assumed date of country missions, which still needed to be confirmed at the time of finalizing the inception report.

DELIVERABLES	DEADLINE SUBMITTING DRAFT REPORT	DEADLINE GPE REVIEWING DRAFT REPORT	DEADLINE SUBMITTING FINAL REPORT
11. Synthesis report 2019	November 8, 2019	November 29, 2019	December 20, 2019
12. Prospective evaluations: third annual country missions' reports	March 6, 2020	March 20, 2020	April 3, 2020
13. Final synthesis report	April 17, 2020	May 8, 2020	May 29, 2020

3.2 Twenty-two summative country evaluations

99. A pilot batch of two summative country evaluations (Burkina Faso and Sierra Leone) will be completed by February 22, 2018 (draft reports) so as to test methodologies and the format of deliverables. Five additional summative country evaluations will be undertaken through to June 30, 2018, the duration of the initial annual contract with the Secretariat. Tentatively, and subject to contract negotiations, five more will be conducted in the latter half of 2018, thus providing a sufficient critical mass of 12 summative country evaluations to inform the first synthesis report. The remaining 10 evaluations will be conducted in 2019. The sampling strategy presented in section 2.2.2 laid out the distribution of DCPs across these four batches of summative country evaluations.

100. Each of the summative evaluations is expected to require 92 person days on average as is illustrated in the detailed level of effort shown in Exhibit 3.1. The exact number and distribution of person days per evaluation may vary by country to accommodate more or less complex environments. Each of the teams undertaking the summative evaluations will consist of a senior evaluation professional as the team leader, an evaluation consultant, a research assistant and a national consultant.

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Exhibit 3.1 Level of Effort – Individual Summative Evaluations

	Phase and Activity	TL-SNR	EC	A/RA	LC	TOTAL
1: Preparation						
1.1	Initial Liaison with GPE Secretariat, DCP government, country-level stakeholders	1			1	2
1.2	Preliminary Review of Country Documentation	2	1		2	5
1.3	Preliminary telephone consultations	2	1		2	5
1.4	Stakeholder mapping and adaptation of country-level ToC, CA database and interview protocols	1	1		1	3
1.5	Preparation of internal evaluation workplan	1				1
	Sub-Total Phase 1	7	3		6	16
2: Home-based document review and key informant interviews						
2.1	In-Depth Desktop Review of GPE documentation from all relevant sources	3	3	5	3	14
2.2	Conduct key informant phone semi-structured interviews	2	2		2	6
2.3	Prelimary data analysis	3	2	2		7
	Sub-Total Phase 2	8	7	7	5	27
3: Field Work						
3.1	Conduct field mission, including pre-departure debriefing on preliminary findings	9			9	18
3.2	Conduct follow-up work (interviews, document tracing)				2	2
	Sub-Total Phase 3	9			9	18
4: Analysis and Reporting						
4.1	Overall data analysis, findings, conclusions, and recommendations	3	2	1	3	9
4.2	Draft Summative Report to the internal, independent and external quality assurance	4	2	1	3	10
4.3	Draft Summative Report to GPE Secretariat and ITRP	3	1		1	5
4.5	Final Summative Report to GPE Secretariat and dissemination to DCP	2	2		1	5
	Sub-Total Phase 4	12	7	2	8	29
	TOTAL	**36**	**17**	**9**	**28**	**90**

TL-SNR Team Leader for the Summative Country Evaluation - Senior Evaluation Consultant
EC Evaluation Consultant
A/RA Analyst / Research Assistant
LC Local Consultant

101. As shown in Exhibit 3.2, each summative evaluation will take approximately four and a half months from preparation to submitting the final report to GPE. This incorporates three weeks for the Secretariat and the ITRP to review the draft report and provide feedback.

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Exhibit 3.2 Gantt – National Summative Evaluations

Phases and Activities	FY 2017/2020																			
	Month 1					Month 2				Month 3				Month 4				Month 5		
Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1: Preparation																					
1.1 Initial Liaison with GPE Secretariat, DCP government, country-level stakeholders	■																				
1.2 Preliminary Review of Country Documentation	■																				
1.3 Preliminary telephone consultations		■																			
1.4 Stakeholder mapping and adaptation of country-level ToC, CA database and interview protocols		■																			
1.5 Preparation of internal evaluation workplan			★																		
2: Home-based document review and key informant interviews																					
2.1 In-Depth Desktop Review of GPE documentation from all relevant sources			■	■																	
2.2 Conduct key informant phone semi-structured interviews					■	■															
2.3 Prelimary data analysis						■															
3: Field Work																					
3.1 Conduct field mission, including pre-departure debriefing on preliminary findings							■	■													
3.2 Conduct follow-up work (interviews, document tracing)								■	■												
4: Analysis and Reporting																					
4.1 Overall data analysis, findings, conclusions, and recommendations									■	■	■										
4.2 Draft Summative Report to the internal, independent and external quality assurance											■	★									
4.3 Draft Summative Report to GPE Secretariat and ITRP													★								
4.4 GPE to review Draft Summative Report														▨	▨	★					
4.5 Final Summative Report to GPE Secretariat and dissemination to DCP																	▨	▨	★		

▨ Turnaround time for deliverables

★ Deliverables and Milestones

3.3 Eight prospective country evaluations

102. The development of the eight prospective country-level evaluations will begin immediately after the approval of the Inception Report. There will be four key batches of deliverables for the prospective country evaluations, each batch consisting of eight stand-alone documents, i.e., one per country: The baseline desk studies (due March 16, 2018), two annual reports (due June 2018 and May 2019 respectively) and final reports (due March 2020).

103. Turning to the work for each evaluation, Appendix IX lays out the level of effort per prospective country evaluation, which results in the expenditure of **217-person days** on average for each of these prospective evaluations. This includes 48 person days for the design and baseline stage for each of the prospective evaluations; 53 person days each (for a total of 106 person days) for conducting the first and second round of annual missions, and compiling the related prospective annual reports; 63 person days for conducting the final round of country missions and compiling the final prospective evaluation report, which includes revising and strengthening the GPE contribution story assembled over the course of the evaluations.

104. The specific activities to be undertaken during the **baseline** phase for the prospective evaluations are shown in Exhibit 3.3. Specific activities for the three rounds of country missions are included as Appendix IX. It should be emphasized that this estimate of 217-person days is an average across what will be a diverse set of countries over a long period of time. It may be appropriate in some contexts to intensify resources at a critical stage in some countries, and allocate fewer resources than planned at other stages.

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Exhibit 3.3 Level of Effort – Individual Prospective Evaluations Baseline

	Phase and Activity	ICSE	PTL	CL	2local	TOTAL
Baseline Desk study						
1.1	Preliminary Review of Country Documentation			2	2	4
1.2	Workshop for CLs on methodologies and reporting standards	0.5	0.5	1		2
1.3	In-depth desk based review - data quality and availability, stakeholder mapping, initial mapping of country-specific theory of change			8	6	14
1.4	Virtual Inception Mission to the Country			3	3	6
1.5	Review the country-specific theory of change		1	2	2	4
1.6	Review country stakeholders, data availability and foci across countries	1	1	2	1	3
1.7	Assess the logic of, and exisiting evidence against, the country-specific theory of change			4	3	7
1.8	Develop and submit draft prospective baseline report (less Executive Summary)			3	2	5
1.9	Finalize draft prospective baseline report (incorporate Executive Summary and Appendices)			2	1	3
	TOTAL	1.5	2.5	27	20	48

CL= Country Lead for the Prospective Country Evaluation, a senior professional
2local = one or two junior or local consultants from the country in question
PTL = Prospective Evaluation Team Leader, managing all CLs
ICSE=Itad coordinator and senior evaluator

105. Each of the teams undertaking prospective evaluations will consist of a country lead (being one of our senior evaluation professionals) and a national or regional consultant. The prospective evaluation team leader will be responsible for inducting prospective country leads, ensuring country leads are conducting the country evaluations in line with the methodologies, templates and approaches agreed with GPE and supervising day to day the work of the country leads. The team leader will work with the Itad Coordinator and senior evaluation advisor to develop methodological and analytical tools to the country progressive evaluations and develop report templates for consistency across progressive evaluations.

106. Exhibit 3.4 below illustrates the envisaged flow and duration of the **baseline phase** for the prospective country evaluations and for the first annual mission and related reporting. Similar Gantt charts for the second and third annual missions are provided in Appendix IX.

Exhibit 3.4 Gantt – Prospective Evaluations Baseline

Phases and Activities		2017/2018																	
		November				December				January				Feburary				March			
	Weeks	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Baseline Desk study																					
1.1	Preliminary Review of Country Documentation																				
1.2	Workshop for CLs on methodologies and reporting standards																				
1.3	In-depth desk based review																				
1.4	Virtual Inception Mission to the Country																				
1.5	Review the country-specific theory of change																				
1.6	Review country stakeholders, data availability and foci across countries																				
1.7	Assess the logic of, and exisiting evidence against, the country-specific theory of change																				
1.8	Develop and submit draft prospective baseline report (less Executive Summary)															«					
1.9	Finalize draft prospective baseline report (incorporate Executive Summary and Appendices)																			«	
	Turnaround time for deliverables																				
«	Deliverables and Milestones																				

4 Assignment Management

4.1 Governance of the assignment

107. The client for the overall assignment is the Secretariat. As such, the Secretariat will be the evaluation team's primary source for feedback on all deliverables. The Secretariat evaluation manager will collate all feedback on draft deliverables received from other stakeholders, including from the Independent Technical Review Panel, and share it with the evaluation team. For the evaluation team, the team leader, Dr. Adrien, will be the primary point of contact for the Secretariat and the ITRP.

4.2 Team organization and staffing

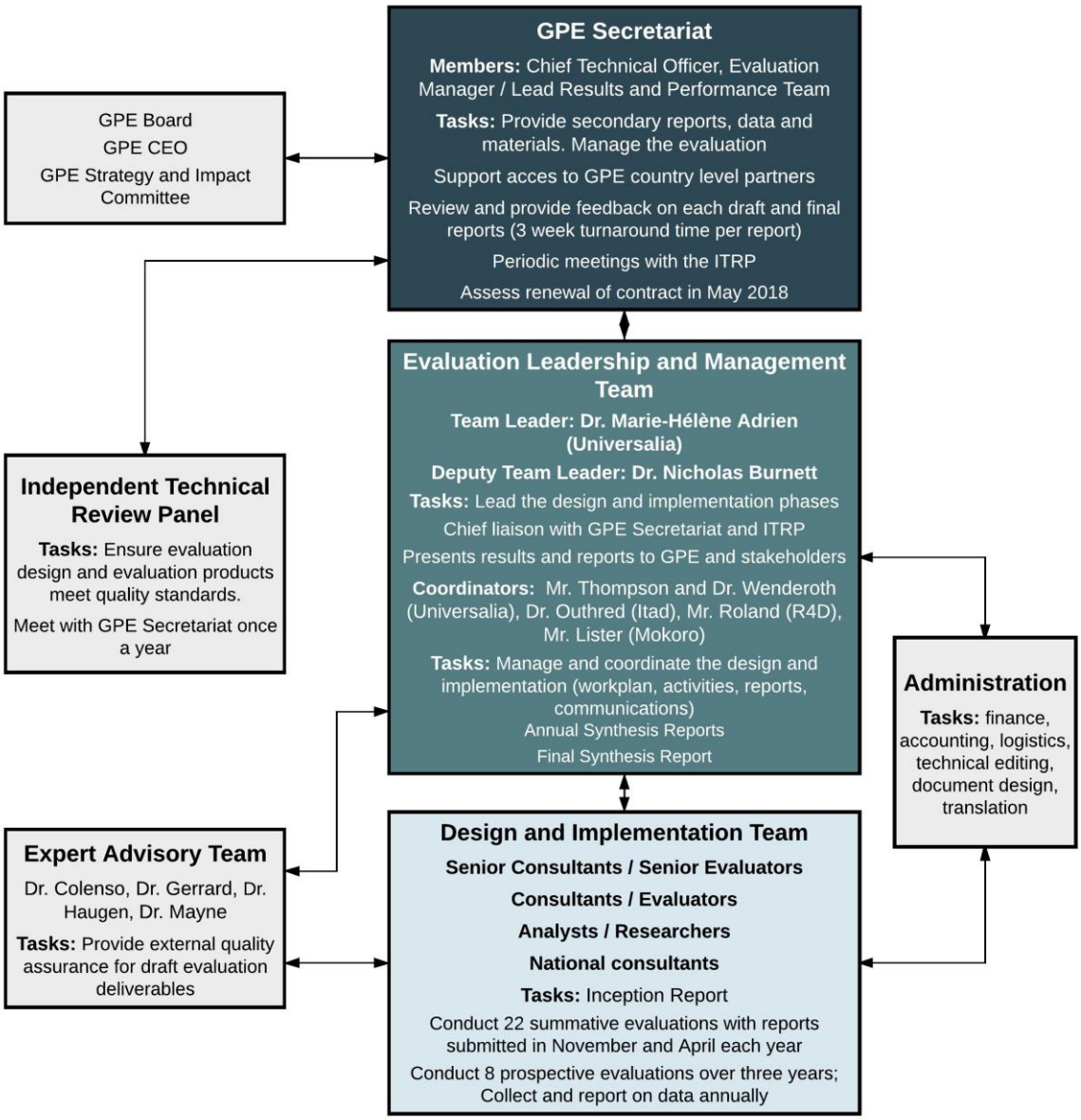
108. The complex and multi-year nature of this assignment requires robust managerial oversight, coordination and organization to ensure consistency and coherence across the individual country evaluations, which in turn form the basis for evidence-based and insightful annual and final synthesis reports.

109. Figure 4.1 illustrates the overall management structure for this assignment and the anticipated roles and responsibilities of the Secretariat and the Consortium. The consortium's **Leadership and Management Team** will be responsible for coordinating and supervising the work of the **Design and Implementation Team**, which is led by senior consultants, who in turn organize the work of the country-level evaluation teams (i.e., consultants, analysts and national consultants). Members of the Leadership and Management Team will lead and participate in several country-level evaluations and will also be responsible for the production of the synthesis reports.

110. To provide external quality assurance of draft deliverables, the evaluation team has assembled a four-person **Expert Advisory Team** consisting of Dr. Peter Colenso, Dr. Chris Gerrard, Dr. Valerie Haugen, and Dr. John Mayne. Brief profiles of these individuals are provided in Appendix XI, table xi-3. Dr. Colenso and Dr. Haugen will provide quality assurance for deliverables related to the prospective country evaluations, and Dr. Gerrard and Dr. Mayne on those related to summative evaluations. Feedback on draft synthesis reports will be provided by at least two of the four expert advisory team members, depending on their availability.

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Figure 4.1 Assignment Architecture



111. Universalia will assume the majority of the responsibilities for the centralized functions related to the production of the major deliverables (i.e., Inception and Synthesis Reports, and dissemination activities), assisted by the senior members of other consortium partners. Personnel drawn from Itad and Mokoro will assume major responsibility for conducting the eight prospective evaluations. Universalia and R4D personnel will assume major responsibility for undertaking the 22 summative country-level evaluations.

112. Members of the Leadership and Management Team are listed as key personnel in the assignment contract and are expected to be permanent for the duration of the assignment. The **specific roles and responsibilities** assigned to the individuals in this group, as well as to other team members are described in Appendix XI.

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4.3 Quality assurance of deliverables

113. Our consortium is committed to providing high-quality reports to GPE. The team leader and deputy team leader, working with the Itad coordinator, will play the principal roles with respect to liaison and coordination with the Secretariat regarding quality assurance throughout the assignment. Table 4.1 provides an overview of our approach to ensuring the high quality of all deliverables submitted to the Secretariat. The team leader, Dr. Adrien, is responsible for ensuring that the described quality assurance processes are implemented as planned.

Table 4.1 Quality Assurance Processes

PHASE	QUALITY CONTROL MEASURES
Summative country evaluations	• **Internal quality assurance**: One of the assignment coordinators working on the summative evaluations (Mr. Thompson, Mr. Roland, Dr. Wenderoth) will review all major outputs of team leaders for the summative country evaluations. The review will ensure that reports are clear, coherent, aligned with the ToR, the inception report, and international standards for evaluation. During finalization of reports, the coordinators will further ensure that feedback received from the Secretariat and the Independent Technical Review Panel has been adequately addressed in the final deliverable. • **Independent quality assurance**: Draft deliverables will be reviewed by one of the senior consultants not participating in the particular summative evaluation. This review will be more qualitative in nature and will include comparisons across a particular batch of summative country reports to ensure consistent clarity and presentation. The evaluation team leader and deputy team leader will coordinate this review round. • **External quality assurance**: will be provided through members of the Expert Advisory Panel who will conduct a review of draft deliverables in parallel to reviews conducted by the Secretariat and the ITRP.
Prospective country evaluations	• **Internal quality assurance**: The Itad Coordinator and Senior Evaluation Advisor, Dr. Rachel Outhred will review (from drafting stage to finalization stage) all major outputs of country team leaders for the prospective country evaluations. During finalization of reports this will include ensuring that feedback received from the Secretariat and the ITRP has been addressed. • **Independent quality assurance**: will be provided by the Itad Quality Advisor Sam MacPherson, an Itad Director external to the evaluation team, who will provide written comments on all major deliverables once reviewed by Dr. Outhred and revised by the country team leaders. • **External quality assurance**: will be provided through members of the Expert Advisory Panel who will conduct a review of draft deliverables in parallel to reviews conducted by the Secretariat and the ITRP.
Synthesis reports and learning products	• **Internal quality assurance**: Draft synthesis reports will be reviewed by all members of the leadership and management team including the team leader, Dr. Adrien, and deputy team leader, Dr. Burnett. Workshops, presentations, and/or briefings are planned in consultation with GPE to ensure that they are relevant and helpful for the assignment, and that the proposed methodology is culturally and contextually appropriate. • **External quality assurance** will be provided through at least two members of the Expert Advisory Panel.

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4.4 Risk management and contingency planning

114. Table 4.2 below outlines the key anticipated **risks** and related potential **limitations** that may negatively affect the conduct of the progressive and summative country evaluations, as well as proposed **mitigation** strategies. Additional context-specific risks may emerge in the conduct of individual country-level evaluations. As such risks emerge, tailored mitigation strategies will be developed in consultation with the Secretariat.

Table 4.2 Key Anticipated Risks and Limitations, and Proposed Mitigation Mechanisms

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
Delays in the timing of the 46 country visits Consequences: some country evaluation reports are submitted later than required to inform GPE Strategy and Impact Committee and/or Board meetings, or to feed into Synthesis report. *Likelihood: High*	If full evaluation/progress reports are not yet complete, the evaluation team will provide the Secretariat with at least an overview of emerging key findings at the agreed upon timelines that are linked to SIC and Board meetings or the submission of synthesis reports. The full reports will be submitted as soon as possible thereafter and will be reflected in subsequent synthesis reports in case important information was missed.
Conflict or fragility undermine the ability of our teams to conduct in-country data collection for summative or prospective evaluations Consequences: international consultants cannot conduct in-person data collection on the ground. Delays in conduct of site visits and of subsequent deliverables. *Likelihood: Medium to High*	Change timing of site visits, and postpone related deliverables. Change order in which 22 summative evaluations are being conducted and/or make use of the contingency provision of two extra countries included in the sample for summative evaluations. Collect data from individual in-country stakeholders via email, telephone, Skype; use electronic survey to reach several stakeholders at once. Increase Level of Effort of national consultant(s) to ensure in-country data collection.
Interventions are not implemented within the lifecycle of the evaluation This constitutes a risk in particular for the prospective evaluations. While a lack of implementation can create learning opportunities in impact evaluations, such situations do not present value for money. *Likelihood: Medium*	If interventions are not implemented within the lifecycle of the evaluation, data on bottlenecks, barriers, contextual factors and the political economy will be able to shed light on why implementation didn't take place and the extent to which such factors were within GPE's control.
Large data and evidence gaps Consequences: Inability to conduct reliable trend analysis. Lack of a solid basis on which to assess country progress made in strengthen the overall education system and education outcomes, as well as GPE contributions along the theory of change. *Likelihood: Medium, but varying by country*	Inclusion of data availability as a consideration in the sampling strategy. Work with the Secretariat and in-country stakeholders to fill data gaps. For prospective evaluations, if gaps identified as baseline cannot be filled, adjusting the prospective evaluation focus to make the most of alternative data that may be available.

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ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
	Use of qualitative data, e.g., based on stakeholder consultations, to reconstruct likely baseline for key issues relevant for assembling the contribution story. Clearly identifying data gaps and implications for data analysis in all deliverables.
Structure of available data is limiting To assess education sector progress, the evaluation team will use the best data available at country level. However, the format of available data may vary by country. For example, countries may use different criteria to define 'inclusion' in their data. This can pose challenges to synthesizing findings on GPE contributions in the respective area. *Likelihood: Medium*	The evaluation team will generally use GPE definitions and indicators for key concepts, and will indicate (if/where applicable) where the structure of available quantitative country data prevent synthesizing information. Further, as qualitative synthesis does not bring the same limitations, we will mitigate this risk by describing differences in measurement criteria across countries.
Inaccessibility of in-country partners, resulting in incomplete data sets, limited triangulation, partners not fully seeing their views reflected in, and therefore reject evaluation findings and forward-looking suggestions; increase in costs and time required for data collection; delays in completing data collection and submitting deliverables. *Likelihood: Medium*	Reaching out to in-country stakeholders as early as possible before scheduled mission to explore their availability. Data collection via email, telephone Skype, or through local consultant before or after site visit. Close collaboration with the Secretariat country lead and in-country focal point (e.g., Coordinating Agency) to identify and gain access to all key in-country stakeholders. Consult other individuals from same stakeholder group if key envisaged informants are not available.
Being part of an evaluation changes the behavior of actors, independent of GPE support GPE partners within prospective evaluation countries may, involuntarily, perceive the prospective evaluation countries as showcase examples and increase efforts due to the evaluation. *Likelihood: Medium to Low*	The evaluation team will review the performance data for the full set of GPE countries and see if the prospective evaluation countries have moved in their performance ranking over the lifecycle of the evaluation.
Evaluations (perceived to be) not sufficiently independent from the Secretariat Consequences: Negative effects on credibility of evaluation findings and forward-looking suggestions in the eyes of key stakeholders. Limited use of evaluations to inform decision making and/or behaviors of key stakeholders. Reputational damage for the Secretariat and consortium members. *Likelihood: Medium to Low*	Findings, conclusions and forward-looking suggestions will be based on clearly identified evidence. Review of all draft deliverables by an Independent Technical Review Panel. The evaluation team will incorporate feedback received on draft deliverables as follows: (a) factual errors will be corrected; (b) for other substantive comments, the evaluation team will decide based on the available evidence whether and how to incorporate them or not. If comments/suggestions are not accepted, the evaluation team will explain why.

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ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
Prospective country evaluation teams becoming excessively sympathetic to GPE or others through repeat visits This can result in overly positive reports that miss areas requiring constructive criticism. *Likelihood: Medium to Low*	The internal, independent and external quality assurance mechanisms described in section 4.3 as well as feedback received from the ITRP will allow identifying any cases where prospective evaluation reports provide insufficient evidence for overly positive assessments.
Countries no longer willing to participate, or wish to withdraw partway through an (prospective) evaluation Consequences: An unbalanced sample of summative or prospective evaluations. Difficulty completing all eight prospective evaluations in a consistent manner. *Likelihood: Medium to Low*	Transparent selection/sampling process. Early work with GPE country leads and in-country implementing partners to build support for all country-level evaluations. Early and ongoing direct engagement with senior decision-makers in DCPs to ensure that key stakeholders understand the nature and anticipated duration of especially the prospective evaluations.

4.5 Duty of care

115. When working in contexts characterized by conflict and insecurity, Universalia as contractor of record is responsible for ensuring that the other consortium partners all have adequate systems in place to assess and mitigate threats and to oversee security and evacuation processes if and as needed. All travelling staff will be fully briefed on Universalia's Duty of Care policies and operating procedures before travel to ensure that all processes are understood.

4.6 Data management

116. Following the inception visit to Washington from September 18-20, 2017, the Secretariat has established and shared with the evaluation team a common data platform using OneDrive to make available all relevant information. All key staff of the evaluation team have been provided with access to this platform.

117. Throughout the course of the assignment from 2017 to 2020, the evaluation team will work with the Secretariat to ensure that key documents are shared on the common platform, including all draft and final deliverables related to the prospective and summative evaluations, progress and synthesis reports, as well as the supporting data that underlie the findings and conclusions of country evaluation and synthesis report. This will facilitate a potential re-analysis of data in the context of the envisaged summative GPE evaluation in 2020.

4.7 Deliverables

118. This section briefly describes the main deliverables for the overall assignment as outlined in the Terms of Reference. All deliverables will be submitted to the Secretariat in **English and one other language**

(either the respective country's official language, or French for countries whose official language is English). All reports will be written in **clear and understandable language** to ensure their relevance and accessibility to a range of stakeholder.

119. For all deliverables, the Secretariat will provide synthesized feedback **within three weeks** after receiving a draft deliverable. The evaluation team will produce a revised and final version **within three weeks** after receiving this feedback.

120. The evaluation team will incorporate feedback received on draft deliverables as follows: (a) factual errors will be corrected; (b) for other substantive comments, the evaluation team will decide based on the available evidence whether and how to incorporate them or not. If comments/suggestions are not accepted, the evaluation team will explain why. Feedback/suggestions received on draft reports, as well as the evaluation team's response to these comments, will be summarized in a feedback matrix submitted alongside the final report.

Reports for 22 summative country evaluations

121. For each of the 22 summative country-level evaluations the consultant will prepare one evaluation report of no more than 40 pages (plus Appendices) to present evaluation findings, conclusions, supporting evidence, and – if and as applicable – forward looking advice or recommendations.

122. All 22 summative country evaluation reports will follow the same report outline, a draft version of which is presented in Appendix XII. Based on this outline, the evaluation team will develop a standardized report template for the first two (pilot) summative evaluations. This template will be reviewed and, if needed, revised based on GPE feedback on these reports. The envisaged timeline for submitting batches of draft and final summative country evaluation reports is described in section 3.1 and Appendix II.

Reports for eight prospective country evaluations

123. There will be four evaluation reports for each prospective evaluation country. The prospective evaluation reports will use a broadly standardized framing in order to facilitate the annual synthesis, and will incorporate some tailoring to the specific country context – to better enable country-specific course correction. For each of the eight countries in which prospective evaluations will take place, a baseline report, two annual reports (2018 and 2019) and a final report (2020) will be delivered. In terms of overall length, the main text of each report will be less than 40 pages in length.

Baseline reports for eight prospective country evaluations

124. The baseline reports will include: (i) a **stock taking of available data**, highlighting data gaps that may be possible to address between baseline and the final report delivery. This may include recommendations to fill data gaps; (ii) a **preview** of relevant reviews, evaluations and further evidence expected to take place in the coming two years, explaining how the prospective evaluation approach will take advantage of these documents; (iii) stakeholder mapping; (iv) a **country-specific theory of change**, identifying a subset of issues to focus on in the first two annual reports and in the final assessment on GPE contribution. This will include an assessment of the logic of the links in the theory, identification of potential alternative explanations based on factors independent of GPE country-level support and assembling of existing evidence against the country-level theory of change.

Annual progress reports on eight prospective country evaluations

125. The two Annual Prospective Evaluation Reports will provide:

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- An update on data issues, responding to the proposals of the baseline report or previous annual report;
- A check on sector plan implementation, outlining reasons for any delays or adjustments to in-country activities;
- An assessment of the quality of the partnership and of GPE inputs to sector planning, implementation and dialogue, and education financing in the preceding year, referencing analyses to the country-specific theory of change; progress made, as well as whether GPE has contributed (see Figure 2.2);
- A contribution story that is to be revised/strengthened over time (see Figure 2.4)
- Report on any specific issues that the baseline report identified for follow-up;
- A limited number of practical suggestions related to efficiency improvement or course-correction if and as required;
- Any required updates to the country-level theory of change.

126. The findings, conclusions and suggestions presented in these reports will be the main point of engaging with the Secretariat and DCPs to support learning and course correction and will feed into the preparation of the annual synthesis report.

Final reports for eight prospective country evaluations

127. The final prospective evaluation reports that will be submitted in May 2020 will be very similar to a summative evaluation final report in that they will assess, revise, strengthen and write up the GPE contribution story over the evaluation period. Final prospective reports will differ somewhat from summative evaluation reports due to the longer-term nature of prospective evaluations, the greater depth of analysis, and earlier identification and mitigation of any data deficiencies. In addition to the content expected of a summative country report, prospective evaluation reports will include a summary of the findings and recommendations of the two preceding annual reports and how they were or were not taken up by GPE and other stakeholders.

Quarterly progress reports

128. The Quarterly Progress Reports constitute an opportunity for the evaluation team and the Secretariat to take stock of progress made in implementing this multi-year assignment. Progress reports will focus on evaluation activities completed during the respective reporting period, as well as on any issues arising from implementation at that point. A draft outline for the progress reports is provided as Appendix XIV.

Annual synthesis reports

129. Draft Annual Synthesis Reports of no more than 30 pages (plus Appendices) on summative and prospective country-level evaluations will be delivered to the Secretariat in November of 2018 and 2019 respectively. A final version of the annual synthesis reports will be submitted three weeks after receiving feedback from the Secretariat.

130. The annual synthesis reports will provide a cross-analysis of findings and conclusions deriving from evaluation activities conducted during the reporting period.[60] The focus of the reports will be on identifying common and diverging themes across countries and explanations for differences, as well as related implications for GPE. The methodology for conducting the cross-case analysis is described in section 2.1.6. A draft outline for annual synthesis reports is included as Appendix XIII.

Final synthesis report

131. A final synthesis report on the entire portfolio of summative and formative country-level evaluations will be compiled and delivered in April 2020 (draft). An outline for the final synthesis report, and an estimate of its envisaged approximate length, will be developed in 2019 based on Secretariat feedback on the first annual synthesis report and on prospective and summative country-evaluation documents submitted up to that point.

132. The final synthesis report will combine a backward looking, summative perspective with a forward looking one and will place considerable emphasis on identifying implications of insights deriving from the cross-analysis of individual country evaluations for GPE's future design, and on formulating related recommendations.

4.8 Client liaison and engagement

133. The evaluation team leader and the Secretariat Project Manager will liaise via telephone or Skype on a weekly basis to discuss project progress and any emerging issues. Should urgent issues arise that require immediate attention from the Secretariat, the team leader will inform the Project Manager by email or telephone in between these scheduled meetings. For further information on the proposed approach to client engagement, please see section 4.9.

4.9 Dissemination and learning

134. Given the formative nature of the overall assignment, summative and prospective country-level evaluations and related synthesis reports aim to facilitate learning among key stakeholders at global and country levels throughout the assignment. The evaluation team's dissemination and learning strategy focuses on identifying effective ways for gleaning relevant information from the evaluations and presenting them in ways that facilitate different stakeholder groups' understanding and willingness to consider the presented evidence in their future decision making.

135. There are different levels of potential "users" or "communities" for dissemination and learning. The evaluation team distinguishes between such communities at the **country** level (DCP government and LEG members in the countries participating in the evaluations) and at the **global** level (the Secretariat and the Board).

136. The evaluation questions outlined in the evaluation matrix provide the guiding framework for dissemination and learning through the main components of the assignment.

[60] December 2017 to October 2018 for the first annual synthesis report, November 2018 to October 2019 for the second annual synthesis report.

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- Summative evaluations provide the opportunity to engage countries in a reflection on their experience with the partnership process, the policy cycle and the progress made on sector-level results. These studies are retrospective, but can inform thinking about the future. The evaluation team will engage country-level stakeholders in discussion of the evidence and its implications for their future work.
- Prospective evaluations provide on-going and more frequent feedback to key stakeholders at global and country levels, and allow for course-corrections during implementation.
- Insights deriving from the annual and the final synthesis reports, that bring together and analyze findings deriving from several summative and prospective country evaluations, can be relevant for country-level stakeholders, but are of particular interest to global level stakeholders concerned with continuously improving GPE performance.

137. Through different dissemination and learning tools to be developed as part of this assignment, the evaluation team aims to:

- Promote active stakeholder participation in reviewing any emerging" findings and providing feedback;
- Extract key messages that are most relevant for the respective stakeholder group;
- Formulate these messages in clear and understandable ways;
- Present messages in accessible and appealing formats (e.g., use of visuals);
- Provide supporting evidence;
- Encourage reflection about the messages and evidence being presented;
- Embed learning opportunities in existing evaluator and stakeholder commitments (e.g., previously scheduled Board or SIC meetings).

138. Based on these guiding principles, the team proposes a preliminary set of dissemination and learning tools presented in Tables 4.3 and 4.4 that fit the intent to support learning and that can be delivered within the existing level of effort for the evaluations. The evaluation team and the Secretariat will collaborate throughout the assignment to identify additional opportunities for and approaches to facilitating learning as part of conducting country-level evaluations and/or disseminating related results.

Table 4.3 Country Level Stakeholders: Proposed Dissemination and Learning Tools

TOOL	DESCRIPTION
Dissemination tools – gleaning relevant information from country-level evaluations and presenting them to stakeholders in accessible, relevant ways.	
Country-specific evaluation reports	Summative evaluation reports on individual countries will provide specific examples of where/how far the GPE ToC holds, and where there are gaps (either in the operating model or in its implementation), and how the particular country has addressed any challenges. Reports will include visual aids such as infographics to ensure that they are reader-friendly and focused on key messages. Prospective evaluation reports will take a similar approach.

TOOL	DESCRIPTION
Webinars with DCP/LEG members from participating countries	For the summative evaluations, two webinars (one in 2018 and one in 2019) are proposed in order to reflect on insights learned during the year, drawing on examples from the countries visited. For the prospective evaluations, two webinars (one in 2019 and one in 2020) are proposed. All DCP/LEG members from all participating countries will be invited to participate.
Blogs prepared by GPE country leads	If GPE country leads prepare a blog about one of the countries participating in summative or prospective evaluations, we can review and contribute additional insights where feasible.
Learning tools – facilitating/enabling processes to help stakeholders understand and consider the presented evidence in their future decision making.	
Debrief and discussion workshops with DCP and LEG	Summative evaluations: A debrief and discussion workshop will take place at the end of the country missions. The workshops will enable a more collaborative approach to interpret data and will be used to present/discuss emerging findings of the summative evaluations. Prospective evaluations: In-country briefings will be held at the end of each country mission. They will provide opportunities for co-creation in interpreting the meaning of the findings at baseline and midline, to strengthen the contribution story.
Structured stakeholder discussion sessions – at Annual Meeting	At the Annual Meeting of DCPs and Secretariat, the evaluation team leader will present and facilitate a discussion with stakeholders on the emerging findings.

Table 4.4 Global Level Stakeholders: Proposed Dissemination and Learning Tools

LEARNING TOOL	DESCRIPTION
Dissemination tools – gleaning relevant information from country-level evaluations and presenting them to stakeholders in accessible, relevant ways.	
Synthesis evaluation reports	Synthesis reports allow for cross-country comparisons to point to emerging common issues, gaps, learning on assumptions underlying the overall, or the country-level ToC. Reports will include visual aids such as infographics to ensure that they are reader-friendly and focused on key messages.
Learning tools – facilitating/enabling processes to help stakeholders understand and consider the presented evidence in their future decision making.	
Structured stakeholder discussions at GPE SIC meetings or Board meetings	Each year, the evaluation team leader will present and facilitate a discussion with either the SIC of the full Board on the insights deriving from data collection and analysis for both summative and prospective evaluations. These discussions will include summary presentations or infographics as appropriate.
Brownbag lunch sessions	A “Reflect and Lunch” session on emerging findings with GPE country leads (on site and via internet technology) will be organized after each batch of summative evaluation country missions are completed. These discussions will include summary presentations or infographics as appropriate.

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LEARNING TOOL	DESCRIPTION
	A Brownbag lunch session will be organized after the second or third set of country missions in order to ensure national level stakeholder agreement on emerging findings prior to presentations to broader audiences.

4.10 Ethical standards

139. The members of our consortium will abide by and uphold internationally recognized ethical practices and codes of conduct for evaluations, especially when they take place in humanitarian and conflict situations, and with affected and vulnerable populations.

140. The work of the evaluation team will be guided by: OECD-DAC Evaluation Quality Standards for Development Evaluation;[61] UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System;[62] the World Bank's principles and standards for evaluating global and regional partnership programs;[63] ALNAP's Evaluation of Humanitarian Action Guide;[64] the Sphere Handbook and Standards for Monitoring and Evaluation;[65] and guidance on Ethical Research Involving Children.[66]

[61] http://www.oecd.org/development/evaluation/qualitystandards.pdf
[62] http://www.uneval.org/document/detail/21 and http://www.uneval.org/document/detail/22 , http://www.uneval.org/document/detail/102 and http://www.unevaluation.org/document/detail/100
[63] http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/sourcebook.pdf
[64] http://www.alnap.org/resource/23592.aspx
[65] http://www.sphereproject.org/silo/files/sphere-for-monitoring-and-evaluation.pdf
[66] http://childethics.com/

Appendix I Assignment Terms of Reference

DESCRIPTION OF EVALUATION SERVICES
DESIGN AND IMPLEMENTATION OF GPE 2020 COUNTRY-LEVEL EVALUATIONS, 2017-2020

A. Project Background and Objectives

Established in 2002, the Global Partnership for Education ("Global Partnership" or GPE), formerly the Education for All Fast-Track Initiative, is a multi-stakeholder partnership focused on supporting and financing education in low and lower middle-income countries, contributing to the achievement of Sustainable Development Goal on Education (SDG 4).

In December 2015, the GPE Board of Directors adopted a new strategic plan, GPE 2020, which sets out the goals and objectives for the partnership between 2016 and 2020.

In June 2016, GPE adopted a Monitoring and Evaluation (M&E) strategy, which includes a Results Framework that is used to monitor progress across the three goals and five strategic objectives in the partnership's theory of change. In addition, the strategy calls for a linked set of evaluation studies that explore how well GPE outputs and activities contribute to outcomes and impact, i.e. how elements of GPE' s theory of change contribute to the achievement of education results within GPE developing country partners (DCPs) in the areas of learning, equity and systems. In contrast to past practice, the strategy proposes a movement away from a singular investment in summative evaluation at the end of GPE's five-year plan as, instead, programmatic, thematic and country-level evaluations will be conducted between 2017 and 2020, feeding in to a summative evaluation to be undertaken in 2020.

B. Purpose

GPE's strategic goals and objectives over the period 2016-2020 are to achieve improvements in learning outcomes, equity and inclusion through its support for strengthened educational systems across its 65 developing country partners. Because of the centrality of country-level results within GPE 2020, the majority of GPE 2020 evaluation resources will be used to assess how GPE adds value at country level through its support for national education sector planning; its focus on inclusive policy dialogue and mutual accountability; and through its financing for the implementation of sector plans.

Two types of country-level evaluations are proposed in the GPE M&E Strategy, to allow for both formative and summative insights into GPE's impact at the country level:

a. **Summative country program evaluations** in a sample of countries will be conducted at or around the time of grant completion to assess GPE's outputs and contributions to outcomes and results through a full policy cycle from sector analysis and plan development through to program implementation. The summative country program evaluations may build upon evaluations that are completed by grant agents, which might include mid-term evaluations, Randomized Controlled Trials (RCTs) and other assessments. However, these evaluations will go beyond evaluations of GPE grants, to assess the overall impact of GPE's support for sector analysis and planning, inclusive policy

dialogue and results-focused financing on sector-level results in the areas of learning and equity in the given DCP.

b. **Formative or 'prospective' country evaluations'** will follow GPE's activities and programs in a different, small sample of countries for the period up until 2020, to provide a continuous review of the effectiveness of GPE's operational model and theory of change, including the country-level funding model introduced in 2014, so that program evaluation can be studied during implementation and course correction and improvements can be made.

C. Evaluation Questions

The country-level evaluations will focus on assessing the relevance, efficiency and effectiveness of GPE's theory of change at the country level, and the related achievement of goals and objectives established in GPE 2020. Both the summative and prospective evaluations will answer the following questions, albeit possibly from a different angle:

1) How relevant, efficient and effective is the support provided by GPE and its Secretariat at the country level in strengthening education systems, improving learning outcomes for all children, and increasing equity, gender equality and inclusion? [*Strategic Goals 1-3; Strategic Objectives 1-3]*

2) Specifically, how might GPE further strengthen its support in the following areas:

   a. GPE support for education sector planning and policy implementation *[Strategic Objective l]*

   b. GPE support for mutual accountability through inclusive sector policy dialogue and joint monitoring *[Strategic Objective 2]*

   c. GPE financing of sector plan implementation programs (including through the leverage of specific requirements and a results-based financing component) *[Strategic Objective 3]*

3) How can GPE further improve the effectiveness of its country-level operational model, i.e. the effectiveness of GPE grant agents in assuring sustainable national capacity; value for money and appropriate adjustments to the grant; and the functioning of the local education groups and coordinating agencies?

4) What effect or additionality has GPE had on the flow of resources (at the national and international levels) for education at the country level? *[Strategic Objective 4: More and Better Financing]*

5) How effectively is GPE leveraging the strengths of the partnership (including through mutual accountability for results, global and cross-national support for knowledge exchange, innovation and advocacy) to support achievement of strong educational outcomes at the country level? [*Strategic Objective 5: Build a Stronger Partnership]*

In tackling any and all of these questions, it will be important to relate performance of the partnership at the country-level with the partnership work at the global level, on the one hand and, where possible, the relation between the partnership work at the country level with national systemic change (outcome level), on the other.

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D. Scope of Work/Professional Services

This assignment will focus on **the design and implementation of GPE's country-level evaluation portfolio.** It will include the development of an overall approach to summative country-level and prospective country-level evaluations. These evaluations will be designed to assess the relevance, efficiency and effectiveness of GPE's theory of change and its country-level operating model. The Contractor will design an evaluation with the power to analyze whether, to what extent and how GPE is achieving the GPE 2020 goals and objectives.

The present evaluation program should be guided by the WB/IEG Global and Regional Partnership Program (GRPP) Evaluation Sourcebook, the UNEG Norms and Standards and the OECD DAC's development evaluation criteria, which set quality standards for global program evaluations. Innovative approaches to evaluation of country progress, and of partnership working, particularly at the country level, are encouraged.

During the design phase, the Contractor will, at a minimum:

- Assess the availability of documentation.
- Conduct a literature review.
- Propose a cost-effective approach to summative and prospective country-level evaluations for the period between September 2017 and mid-2020. This approach should ensure that evaluations are organized to assess the achievement of GPE 2020's strategic goals and objectives at the country level and are designed to answer the evaluation questions set out above.
- Propose a robust, well-justified sampling strategy that ensures geographic balance, includes countries affected by fragility and conflict and reflects the diverse country educational system characteristics across the partnership. The sampling design will take into account factors such as size of grants and context, sector, grant risk as per GPE's Operational Risk Framework, income levels, etc. The vendor should include a good argument for which variables should be considered. Lastly, the DCPs sampled for summative evaluations should all be at or around the end of program implementation, and the DCPs sampled for prospective evaluations should be at early stage of program implementation.
- Ensure that robust quantitative and qualitative methodologies are developed to triangulate findings (along with sound data collection instruments), as well as a data analysis strategy, a strategy for data quality assurance, and a strategy to elicit evaluation stakeholders feedback. Any techniques to obtain and analyze quantitative, statistics-based, objectively verifiable 'hard' evidence (in addition to techniques. to collect qualitative, perceptions/opinion-based data from stakeholders) would be particularly valuable (either secondary data where available, or primary data when feasible).
- Develop a thorough evaluation matrix for each type of evaluation (summative and prospective).
- Propose a comprehensive, actionable and realistic multi-year work plan for evaluation activities and deliverables, also including a contingency component and delineating roles/responsibilities. The should include processes for each of the 30 evaluations specifically (at a macro level), such as the sharing of the data collection protocols with GPE, field visits, survey administration, etc. In this context, certain data collection protocols will need to be shared just once, if they will be used across cases for summative and/or prospective evaluations.
- Propose mitigation approaches to anticipated challenges.

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- Propose an approach to annual reporting of evaluation findings that aligns with, and strengthens existing reports (such as GPE's Annual Portfolio Review, its new Results Report, and the monitoring reports, research and evaluations conducted by grant agents).
- Propose a protocol to liaise and engage with different actors within the GPE Secretariat during the conduct of the evaluation, and especially the GPE Evaluation Manager.
- Propose an approach that can support and feed into other evaluations proposed in GPE's Monitoring and Evaluation Strategy (including thematic, programmatic and final summative evaluations). Assess the need for further strengthening of Secretariat-level data collection to support effective country-level evaluations and propose appropriate systems or approaches to doing so.
- Propose appropriate approaches to dissemination and learning from these evaluations. The vendor will develop a robust strategy for communication and learning at both the country and global levels, specifically with respect to helping identify actions for improvement and enable GPE and the DCPs to learn from the evaluation findings. This would for example entail recommendations for implementation at country level and the use of cross-cutting analyses to inform GPE's work at both global and country level.
- In the spirit of the Paris Declaration, the Contractor will also work with GPE to explore opportunities to harmonize country-level evaluations with those of other partners.[67]
- Provide suggestions of ways to increase value for money of GPE' s spending.

In the execution of country-level evaluations, the following minimum scope and design features should be present:

- At a minimum, there will be 22 summative country-level evaluations and 8 prospective country-level evaluations over the course of the contract (2017-2020).
- All evaluations will include a thorough desk-based review and analysis of GPE funding documents, national education sector plans, monitoring reports, grant agent (evaluation) reports, aide memoire and technical and sector products produced at the country level, country metrics derived from GPE's results framework and relevant international statistics.
- All evaluations should include collection of qualitative data from key country-level partners (e.g. through interviews, surveys, etc.).
- Field-level collection of data should be present in all evaluations. Engagement with national and regional research and evaluation experts, and plans for reporting findings to national stakeholders will be expected.
- Prospective evaluations should collect and report on data annually over the contract period (2017-2020).
- Data should be collected at a minimum from the Ministry of Education, Ministry of Finance, grant agents, coordinating agencies, other key stakeholders in the sector/members of local education groups and civil society and should include data from teachers and learners.
- Findings for each evaluation question should be stated clearly and be based on evidence. Analytic methods and results must be fully documented and assumption strengths and limitations of the analysis clearly described.

[67] For example, building on the model of the Joint Evaluation of External Support for Basic Education

- All evaluation recommendations, to be provided at the country and global levels, should follow logically from evidence and conclusions and be specific and actionable.

Throughout the design and implementation phases:

- The GPE Secretariat will support the Contractor by providing secondary reports, data and materials and will support access to GPE country-level partners.
- The Contract will be managed by an Evaluation Manager within the GPE Results and Performance team, who will ensure behavioral and organizational independence of the evaluation, provide information and ensure appropriate, independent quality assurance of all (final) reports.

While the use of Subcontractors for specific elements of this work is encouraged, the Contractor will be ultimately responsible for the quality of the work of any Subcontractors.

F. Deliverables/Specific Outputs

The present country-level evaluation portfolio will be designed and executed over a period of three years approximately, commencing in September 2017 and ending December 31, 2020.

An annual schedule of evaluation deliverables will be finalized as part of the first deliverable-the Inception Report.

1) Inception Report, with evaluation design and sampling proposal (in late 2017). The Contractor will complete an inception report of no more than 50 pages (excluding annexes) that sets out the work programs and design features of the country-level summative and prospective evaluations. The Inception Report will be presented to the GPE Secretariat and the Chair of the GPE Strategy and Impact Committee for feedback before finalization. At a minimum, the Inception Report should describe the elements noted for the design phase in Section E of the present ToR.

2) Quarterly reports on progress commencing the first quarter after Contract start.

3) Baseline (desk) report for prospective evaluations (early 2018).

4) Field-based annual analyses for prospective evaluations component (once per year, starting in 2018). These are to be provided in the annual synthesis reports described below.

5) Country summative evaluation reports (in three batches per year).

6) Annual synthesis reports on summative and prospective country-level evaluations delivered to GPE Secretariat (December of each year, starting in 2018), presented to the GPE Strategy and Impact Committee (April of each year) and/or Board. These annual reports will contain cross analyses of summative and prospective evaluations conducted in the year, and provide a year-on year perspective.

7) Final synthesis report on entire portfolio of summative and formative country-level evaluations (early 2020). This should include a cross-case analysis of findings from both the summative and prospective sub-portfolio.

8) Presentation of findings for review and feedback at the country level, and to DCP meetings or other regional events (1 DCP meeting per year). On a case-by-case basis, presentation of findings

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at the country level may take place in-person or at a distance, varying based on the context, depending on factors such as whether good quality distance conferencing options are available and/ or presence is preferable.

Please note:

- The Contractor should ensure that all data are collected according to ethical standards and that collected data are organized, secured and preserved for potential re-analysis in the summative GPE evaluation.
- All data and findings will remain the property of GPE at the conclusion of the Contract.
- The Contractor should allow three weeks for the Secretariat to provide feedback on a given report (this may vary by report type and number of reports delivered at once).
- The evaluation reports should be written clearly and be impartial and constructive in tone. Each draft should be professionally edited. There should be creative use of tables and high-quality graphics.
- The Contractor will be responsible for editing, designing, translating and printing (i) the annual synthesis report on country-level evaluations [50 copies each, of the English versions], (ii) all summative country-level evaluations [50 copies each, of the English versions], and (iii) the final synthesis report [250 copies of the English version] on summative and prospective evaluations (all once final and approved). The Contractor should follow the GPE guidelines and standards for publications in terms of style and language.
- The Contractor will be expected to participate in the dissemination of findings from the evaluation as required by GPE.
- No less than (i) 22 summative country-level evaluations and no less than (ii) 8 prospective country-level evaluations will be conducted.
- It will not be necessary to have evaluation reports translated in more than two languages. For example, in the case that a summative evaluation focuses on a DCP with Spanish or Portuguese as its official language, the report should be available in that language, along with a version in English, but not necessarily in French. The annual synthesis reports and final synthesis report should be available in English and French.

Printed reports should be delivered to the GPE Secretariats main office located in Washington, DC.

- The costs associated with the use of (as well as the management of) Subcontractors hired by the Contractor will be borne by the Contractor itself.
- Any other applicable costs required for successful delivery of the services will be the responsibility of the Contractor.

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Appendix II Overall Evaluation Timeline

Please refer to separate Excel file submitted with the inception report.

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Appendix III Full Country-Level Evaluation Matrix

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key question I: Has GPE support to [country] contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?[68] If so, then how?			
CEQ 1: Has GPE contributed to education sector planning and sector plan implementation in [country] during the period under review? [69] How?			
CEQ 1.1 What have been strengths and weaknesses of education sector planning during the period under review?	• Extent to which the country's most recent sector plan meets GPE/UNESCO IIEP appraisal criteria.[70] – Plan preparation process has been country-led, participatory, and transparent – Plan constitutes a solid corpus of strategies and actions addressing the key challenges of the education sector – Issues of equity, efficiency, and learning are soundly addressed to increase sector performance – There is consistency between different components of the sector plan – Financing, implementation and monitoring arrangements offer a good perspective for achievement	• Current and past sector plans (including from period prior to country joining GPE if available) • GPE ESP/TSP quality assurance documents • JSR reports • Other relevant reports or reviews that comment on the quality of previous sector plans • Interviews	• Pre-post analysis (where data on previous policy cycles is available) • Triangulation of data deriving from document review and interviews

[68] OECD DAC evaluation criteria of relevance, effectiveness, and efficiency.

[69] The core period under review varies for summative and prospective evaluations. Prospective evaluations will primarily focus on the period early 2018 to early 2020 and will relate observations of change back to the baseline established at this point. The summative evaluations will focus on the period covered by the most recent ESPIG implemented in the respective country. However, for selected indicators (and subject to data availability) the summative evaluations will look back up to five years prior to the country becoming a GPE member to conduct a trend analysis of relevant data.

[70] Global Partnership for education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Available at: file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge_8wekyb3d8bbwe/TempState/Downloads/2015-06-gpe-iiep-guidelines-education-sector-plan-appraisal.pdf

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Extent to which previous sector plans met current GPE or other (e.g. country specific) quality standards (if and where data is available) • Stakeholder views on strengths and weaknesses of (most recent and previous) sector planning processes in terms of: – Leadership for and inclusiveness of sector plan preparation – Relevance and coherence of the sector plan – Adequacy of sector plan in addressing equity, efficiency and learning issues – Timeliness of plan preparation processes		
CEQ 1.2 What have been strengths and weaknesses of sector plan implementation during the period under review?	• Progress made towards implementing sector plan objectives/meeting implementation targets of current/most recent sector plan. (If data is available: compared to progress made on implementing previous sector plan) • Extent to which sector plan implementation is fully funded (current/most recent plan compared to earlier sector plan if data is available) • Stakeholder views on timeliness, effectiveness and efficiency of sector plan implementation, and on changes therein compared to earlier policy cycles, due to: – Extent to which plans are coherent and realistic – Implementation capacity and management – Funding – Other (context-specific)	• Current and past sector plans (including from period prior to country joining GPE if available) • DCP government ESP/TSP implementation documents including mid-term or final reviews • Relevant programme or sector evaluations, including reviews preceding the period of GPE support under review • JSR reports • Reports or studies on ESP/TSP commissioned by other development partners and/or the DCP government • CSO reports • Interviews	• Pre-post analysis (where data on previous policy cycles is available) • Triangulation of data deriving from document review and interviews

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
CEQ 1.3 Has GPE contributed to the observed characteristics of sector planning? How? a) Through the GPE ESPDG grant- (funding, funding requirements) b) Through other support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice)[71]	a) Contributions through GPE ESPDG grant and related funding requirements: • ESPDG amount as a share of total resources invested into sector plan preparation. Evidence of GPE ESPDG grant addressing gaps/needs or priorities identified by the DCP government and/or LEG b) Contributions through other (non ESPDG-related) support: • Support directed at priority needs/gaps identified by the DCP government and/or LEG • Support adapted to meet the technical and cultural requirements of the specific context in [country] • Support aimed at strengthening sustainable local/national capacities for sector planning or plan implementation • Stakeholder views on relevance and appropriateness of GPE technical assistance, advocacy, standards, guidelines, capacity building, facilitation, CSEF and ASA grants, and knowledge exchange in relation to: – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat)	• ESP implementation data including joint sector reviews • GPE grant agent reports and other grant performance data • Secretariat reports, e.g. country lead back to office/mission reports • GPE ESP/TSP quality assurance documents • Other documents on technical assistance/advocacy • Country-specific grant applications • Interviews • Education sector analyses • Country's poverty reduction strategy paper	• Triangulation of data deriving from document review and interviews • Where applicable: Comparison of progress made towards ESPIG grant objectives linked to specific performance targets with those without targets (variable tranche)
CEQ 1.4 Has GPE contributed to the observed characteristics of sector plan implementation? How?	a) Contributions through GPE EPDG and ESPIG grants, related funding requirements and variable tranche (where applicable)	• ESP implementation data including joint sector reviews	• Triangulation of data deriving from document review and interviews

[71] Technical assistance and facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy can include inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange includes cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

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MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
a) Through GPE EPDG, ESPIG grants-related funding requirements and the variable tranche[72] b) Through non-financial support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, and facilitation, and cross-national sharing of evidence/good practice)[73]	• Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education • Maximum allocation amounts and actual amount a country received from GPE through the fixed and/or the variable tranche and reasons for not receiving the total MCA; • Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG. • Progress made towards targets outlined in GPE grant agreements as triggers for variable tranche, compared to progress made in areas without specific targets (where applicable) • Proportion of overall sector plan funded through GPE ESPIG • Proportion of textbook purchases planned under current/most recent sector plan funded through GPE grant • Proportion of teachers trained under current/most recent sector plan funded through GPE grant • Proportion of classrooms built under current/most recent sector plan funded through GPE grant • Progress made towards objectives/targets outlined in GPE grant agreement (where applicable: compare progress made in areas with specific targets as triggers for release of variable tranche compared to progress made in areas without specific targets)	• GPE grant agent reports and other grant performance data • Secretariat reports, e.g. country lead back to office/mission reports • GPE ESP/TSP quality assurance documents • Other documents on technical assistance/advocacy • Country-specific grant applications • Interviews • Education sector analyses • Country's poverty reduction strategy paper	• Where applicable: Comparison of progress made towards ESPIG grant objectives linked to specific performance targets with those without targets (variable tranche)

[72] Where applicable.

[73] Technical assistance and facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy – including inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange - including cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	• Timeliness of implementation of GPE grants (Education Sector Plan Development Grant, Program Development Grant, Education Sector Plan Implementation Grant) • Grant implementation is on budget b) Contributions through non-financial support • GPE support aimed at strengthening sustainable local/national capacities for plan implementation • Stakeholder views on relevance and appropriateness of GPE non-financial support in relation to: – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat)		
CEQ 1.5 Has GPE contributed to leveraging additional education sector financing and improving the quality of financing? a) Leveraging of additional finance from the government? b) Leveraging of additional finance from other partners through the GPE multiplier funding mechanisms (where applicable)? c) Leveraging of additional finance from other partners through means other than the multiplier funding mechanism? d) Improvements in the quality of education finance (e.g. short, medium and long-	a) Leveraging additional finance from government • Changes in country's public expenditures on education during period under review (by sub-sector if available) b) Leveraging additional finance through multiplier funding • Extent to which country has achieved, maintained or exceeded 20% of public expenditures on education during period under review • Amount received through the GPE multiplier fund (if applicable). c) Leveraging additional finance through other means • Amounts and sources of domestic resources mobilized through GPE advocacy efforts (b and c): • Changes in relative size of GPE financial contribution in relation to other donor' contributions • Trends in external and domestic financing channelled through and outside of GPE, and for basic and total	• Interviews with national actors (e.g. Ministry of Finance, Ministry of Education, Local Education Groups/ Development partner groups) • GPE data (e.g. grant documents, country commitments and disbursements, donor pledges and contributions) • Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, school censuses and surveys, National Education Accounts, Joint	• Trend analysis for period under review • Comparative analysis (GPE versus other donor contributions) • Triangulation of quantitative analysis with interview data

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MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
term predictability, alignment with government systems)?	education, to account for any substitution by donors or the country government • Changes in donor aid to country; Extent to which GPE Program Implementation Grant-supported programs have been co-financed by other actors or are part of pooled funding mechanisms; Amounts and sources of non-traditional financing (e.g. private or innovative finance) that can be linked to GPE leveraging d) Quality of education finance • Alignment of GPE education sector program implementation grants with GPE's system alignment criteria (including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively) • Possible reasons for non-alignment or non-harmonization (if applicable)	Sector Reviews, public expenditure reviews)	
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, then how?			
CEQ 2.1 Has sector dialogue changed during the period under review?	• Composition of the country's LEG (in particular civil society and teacher association representation), and changes in this composition during period under review • Frequency of LEG meetings, and changes in frequency during period under review • Stakeholder views on changes in sector dialogue in terms of: – Inclusiveness – Frequency, consistency, clarity of roles and responsibilities – Relevance (i.e. perceptions on whether stakeholder input is taken into account for decision making) – Quality (evidence-based, transparent)	• LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • ESP/TSP, and documents illustrating process of their development • Back to office reports/memos from Secretariat • Interviews	• Pre-post comparison • Triangulate results of document review and interviews • Stakeholder analysis and mapping

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
CEQ 2.2 Has sector monitoring changed?	• Frequency of joint sector reviews conducted, and changes in frequency during period under review • Extent to which joint sector reviews conducted during period of most recent ESPIG met GPE quality standards (if data is available: compared to JRSs conducted prior to this period) • Evidence deriving from JSRs is reflected in DCP government decisions (e.g. adjustments to sector plan implementation) and sector planning • Measures in the current sector plan to strengthen sector monitoring (especially monitoring the quality of teaching and learning, equity, equality and inclusion) are implemented • Stakeholder views on changes in JSRs in terms of them being: – Inclusive and participatory – Aligned to existing sector plan and/or policy framework – Evidence based – Used for learning/informing decision-making – Embedded in the policy cycle (timing of JSR appropriate to inform decision making; processes in place to follow up on JRS recommendations)[74] • Stakeholder views on extent to which current practices of sector dialogue and monitoring amount to 'mutual accountability' for the education sector.	• LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews	• Pre-post comparison • Triangulate the results of document review and interviews

[74] Criteria adapted from: Global Partnership for Education. Effective Joint Sector Reviews as (Mutual) Accountability Platforms. GPE Working Paper #1. Washington. June 2017. Available at: https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews

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MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
CEQ 2.3 Has GPE contributed to observed changes in sector dialogue and monitoring? How? a) Through GPE grants and funding requirements b) Through other support[75]	a) Grants and funding requirements • Proportion of EMIS-related improvements outlined current/most recent sector plan funded through GPE grant b) Non-grant related support • Support is targeted at issues identified as priorities by DCP government and/or LEG • Support is adapted to meet the technical and cultural requirements of the specific context in [country] • Support is aimed at strengthening local/national capacities for conducting inclusive and evidence-based sector dialogue and monitoring a) and b) • Stakeholder view on relevance and appropriateness of GPE grants and related funding requirements, and of technical assistance in relation to: – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. around JSRs)	• LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews	• Triangulate the results of document review and interviews
CEQ 3: Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring?			
CEQ 3.1 What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector plan development, sector financing and plan	• Changes in nature and extent of financial/non-financial support to the education sector provided by development partners/donors (traditional/non-traditional donors including foundations) • Contributions to sector planning, plan implementation, sector dialogue or monitoring made by actors other than GPE	• Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors related implications for [country] • Relevant studies/reports commissioned by other	• Triangulate the results of document review and interviews

[75] Technical assistance, advocacy, standards, quality assurance, guidelines, capacity building, facilitation, and cross-national sharing of evidence/good practice

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
implementation, and in sector dialogue and monitoring?	• Changes/events in national or regional context(s) – Political context (e.g. changes in government/leadership) – Economic context – Social/environmental contexts (e.g. natural disasters, conflict, health crises) – Other (context-specific)	education sector actors (e.g. donors, multilateral agencies) regarding nature/changes in their contributions and related results • Government and other (e.g. media) reports on changes in relevant national contexts and implications for the education sector • Interviews	
CEQ 3.2 During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?	• Types of unintended, positive and negative, effects on sector planning, sector financing, sector plan implementation, sector dialogue and monitoring deriving from GPE funding (grants) • Types of unintended, positive and negative, effects deriving from other GPE support.	• All data sources outlined for CEQs 1 and 2 above • Interviews	• Triangulate the results of document review and interviews
Key question II: Has the achievement of country-level objectives[76] contributed to making the overall education system in [country] more effective and efficient?			
CEQ 4 During the period under review, how has the education system changed in relation to: a) Quality of teaching/instruction b) Evidence-based, transparent decision making[77]	a) Quality of teaching/instruction • Changes in pupil/trained teacher ratio during period under review • Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school) b) Evidence-based, transparent decision making	• Education Management Information System (EMIS) • UIS data • World Bank data • Household survey data • ASER/UWEZO other citizen-led surveys	• Pre-post comparison of statistical data for periods under review • Triangulate the results of document review with

[76] GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

[77] Sub-questions a) and b) reflect indicators under Strategic Goal #3 as outlined in the GPE results framework. Sub-questions c) explores additional, country-specific indicators for system-level change.

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MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
c) Country-specific areas of system strengthening for furthering equity and/or learning, and for ensuring effective and efficient use of resources.	• Changes in number of education indicators that country reports to UIS during period under review • Changes in whether country has quality learning assessment system within the basic education cycle during period under review • Other, country-specific indicators illustrating changes in evidence-based, transparent data collection, reporting and decision making c) Indicators for specific areas of education systems strengthening as outlined in the country's current sector plan related to: • Sector management (e.g. changes in ministerial, district and/or school level management structures, guidelines, staffing, financing, approaches to ensuring effective and efficient use of resources) • Learning (appropriate and available education inputs, additional country-specific efforts to enhance the quality of teaching/instruction, e.g. through new/improved incentives for schools/teachers) • Equity (removal of barriers to school participation for all learners; creating inclusive learning environments) (a-c): Stakeholder perceptions of areas within the education system that have/have not changed during period under review	• Grant agent progress reports • Implementing partner progress reports • Mid-term Evaluation reports • GPE annual Results Report • Appraisal Reports • Public expenditure reports • CSO reports • SABER database • Education financing studies • Literature on good practices in education system domains addressed in country's sector plan • Interviews	statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening
CEQ 5 How have changes in sector planning, plan implementation, and mutual accountability contributed to observed changes at education system level?	• The specific measures put in place as part of sector plan implementation address previously identified bottlenecks at system level • Alternative explanations for observed changes at system level (e.g. changes due to external factors, continuation of trend that was already present before current/most recent policy cycle, targeted efforts outside of the education sector plan) • Stakeholder perceptions of reasons for observed changes	• Sources as shown for CEQ 4 • Literature on good practices in education system domains addressed in country's sector plan • Education sector analyses • Country's poverty reduction strategy paper	

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key question III: Have changes at education system level contributed to progress towards impact?			
CEQ 6: During the period under review, what changes have occurred in relation to: a) Learning outcomes (basic education)? b) Equity, gender equality and inclusion in education?	a) Learning outcomes: • Changes in learning outcomes (basic education) during period under review. • Changes in percentage of children under five (5) years of age in COUNTRY who have been developmentally on track in terms of health, learning and psychosocial well-being. Or changes in other early childhood care and education measures from country-level surveys b) Equity, gender equality, and inclusion: • Changes in proportion of children who complete (i) primary, (ii) lower-secondary education • Changes in out of school rate for (i) primary, (ii) lower-secondary education • Changes in the distribution of out of school children (girls/boys; children with/without disability; ethnic, geographic and/or economic backgrounds) • Education sector plan sets gender parity index/targets for (i) primary, (ii) lower-secondary education • Extent to which these targets have been achieved • Stakeholder perceptions on extent of, and reasons for, impact-level changes during period under review (a and b): Additional country-specific indicators as outlined in current sector plan and/or related monitoring framework	• Sector performance data available from GPE, UIS, DCP government and other reliable sources • Teacher Development Information System (TDIS) • Education Management Information System (EMIS) • National examination data • International and regional learning assessment data • EGRA/EGMA data • ASER/UWEZO other citizen-led surveys • Grant agent and Implementing partner progress reports • Mid-term Evaluation reports • GPE annual Results Report • Appraisal Reports • Interviews	• Pre-post comparison of available education sector data during period under review • Triangulation of statistical data with qualitative document analysis and interviews
CEQ 7 Is there evidence to link changes in learning outcomes, equity, gender equality, and inclusion to system-level changes identified under CEQ 4? What other factors can explain changes in learning outcomes, equity, etc.?	• Changes in country's change trajectory related to learning outcomes, equity, gender equality, and inclusion during period under review • Additional explanations for observed changes in learning outcomes, equity, gender equality, and inclusion other than system-level changes noted under CEQ 4 and 5 • Stakeholder perceptions on extent of, and reasons for, impact-level changes during period under review	• Studies/evaluation reports on education (sub)sector(s) in country commissioned by the DCP government or other development partners (where available)	• Pre-post comparison of available education sector data during period under review

MAIN EVALUATION QUESTIONS AND SUB- QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
		• Literature on key factors affecting learning outcomes, equity, equality, and inclusion in comparable settings • Interviews	• Triangulation of statistical data with qualitative document analysis and interviews • Weigh supporting and refuting evidence of GPE contributions to sector outcomes during period of review

Appendix IV Contribution Analysis Database

To capture and synthesize evidence related to individual country evaluations, prospective and summative evaluations alike will use an **Excel format tool** – referred to as the "contribution analysis (CA) database".

The tool maps evaluation questions to explanatory mechanisms and related underlying assumptions in the generic theory of change, and lists the key indicators to be checked to answer the evaluation questions. It then allows the evaluation team to:

i. Enter key evidence deriving from different lines of enquiry including, where applicable, links to specific data sources. For prospective evaluations, the tool allows capturing data at baseline, midline and endline next to each other;

ii. Assess the quality of evidence for each evaluation question;

iii. Assess whether the available evidence confirm, refutes, or provides inconclusive information on the occurrence of the respective explanatory mechanism in the theory of change;

iv. Formulate implications for the contribution claim that the respective explanatory mechanism and related assumptions relate to.

Table iv.1 illustrates the basic structure of the CA database tool.

Table iv.1 Contribution analysis database structure

Explanatory mechanism(s) for contribution claim in theory of change	Assumptions	Link to which Evaluation questions?	Indicators	Baseline Findings (prospective CLEs)	Midline Findings (prospective CLEs)	Endline Findings (prospective CLEs)/Findings summative evaluations	Quality of evidence (does data indeed measure the assumption/explanatory mechanism?	Likelihood of explanatory mechanism based on available evidence	Implications for the GPE country-level theory of change

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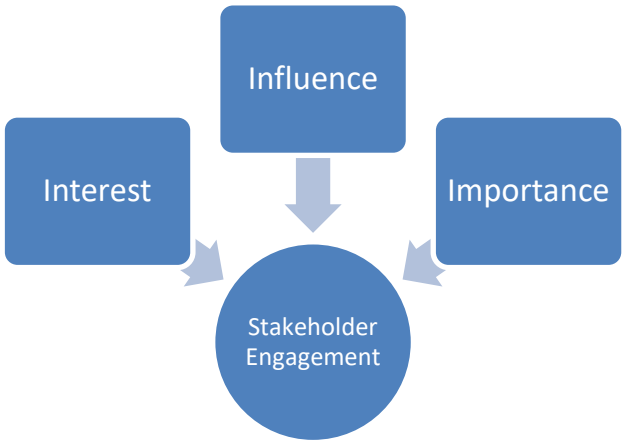
Appendix V Stakeholder Analysis

Stakeholder Analysis

Based on the key stakeholder groups noted in the ToR,[78] the evaluation team developed a stakeholder matrix, presented in Appendix V. The matrix will assist the evaluation team in ensuring that appropriate groups are consulted during data collection, and engaged in dissemination and learning activities.

The stakeholder analysis is based on the three "I"s framework shown in Figure v.1 below, which helps identify the nature of the "stakes" that different groups are likely to have in GPE country-level programming. These, in turn, affect how the evaluation team will engage different types of stakeholders in the summative and prospective evaluations.

Figure v.1 Stakeholder Analysis: The 3 "I"s that Inform Stakeholder Engagement



Interest: This dimension captures why, to what extent, and in what ways the respective stakeholder group is (likely to be) interested in and/or affected by GPE country-level performance.

Influence: The level of influence depends on the quantity and type of resources and power the stakeholder can marshal to promote its position or interests in GPE country-level performance.

Importance: Based on the above two criteria, the evaluation team has proposed levels of priority (high, medium, low) for engaging with the respective group during data collection and learning activities.

[78] ToR section E

Stakeholder	Interest in/Influence on GPE country-level programming Importance for the evaluation	Implications for the evaluation
Global		
Secretariat	**Interest**: High. **Influence**: High. The Secretariat operationalizes guidance on overall direction and strategy issued by the Board. **Importance**: High	The main internal stakeholders and users of the evaluation; Key informants; facilitate the evaluation team's contacts with external stakeholders. Country leads for sample countries will be consulted for each of the prospective and summative evaluations.
Board members (from developing countries included in the sample)	**Interest**: High. **Influence**: High. Board members influence the direction, strategy development and management of GPE, and they ensure resources. The extent to which DCP Board members are involved in and intimately familiar with GPE grants in their respective countries likely varies. **Importance**: High	Informants. Board members representing countries included in the sample for summative or prospective evaluations will be interviewed by telephone if/as feasible.
Country-level		
Developing country partner government		
Ministry of Education	**Interest**: High **Influence**: High. Responsible for shaping and implementing education sector policy and managing related financing. **Importance**: High. In most countries, main partner for GPE grant design and implementation.	Key informants at country level. Will be interviewed in person during country visits.
Ministry of Finance	**Interest**: Medium-High, depending on level of priority that education currently has in the respective country. **Influence**: High. Responsible for budget allocations to the education sector and key informants for questions on additionality of GPE funding. Important for donor harmonization and use of mechanisms such as pooled funding. **Importance**: High.	Key informants at country level. Will be interviewed in person during country visits.
Other Line Ministries involved in, or relevant for (basic) education, equity and equality issues	**Interest**: Medium **Influence**: Medium-Low, depending on proximity/influence of ministry's work for basic education.	Informants. Will be interviewed during country visits if consultation is advised by Ministry of Education, other LEG members and/or grant agent.

Stakeholder	Interest in/Influence on GPE country-level programming Importance for the evaluation	Implications for the evaluation
	Importance: Medium-Low	
Key Education Sector Stakeholders (national level)		
Grant Agents	**Interest**: High **Influence**: High. Key in ensuring that the GPE grants are appropriately managed and fully aligned with broader education sector developments and add value to the country-level processes and results. **Importance**: High	Key informants at country level. Will be interviewed in person during country visits.
Coordinating Agencies	**Interest**: High **Influence**: Medium-High. Through its facilitating roe, the Coordinating Agency plays key role in ensuring harmonized support for development effectiveness, as well as mutual accountability and transparency across the partnership. **Importance**: High	Key informants at country level. Will be interviewed in person during country visits.
Development Partners (donor agencies, multilateral organizations)	**Interest**: High **Influence**: Medium-High, both through their participation in, and contributions to the LEG and to GPE grant implementation and monitoring, as well as through other development partner activities in the education sector and degree to which these are harmonized with the Education Sector Plan and implementation activities funded through the ESPIG. **Importance**: High	Key informants at country level. Will be interviewed in person during country visits. If deemed relevant to assess the notion of additionality of GPE funding in a particular country, additional telephone consultations may be held with development partner representatives at HQ level.
Non-governmental organizations	**Interest**: High **Influence**: Medium-Low. In most countries, members of the LEG, albeit with varying degrees of influence and capacity. Key stakeholders within the GPE operational model. **Importance**: High	Key informants at country level. Will be interviewed in person during country visits – regardless of whether nongovernmental organizations are or are not part of the LEG.
Teacher organizations, Educational Institutions in country (e.g., textbook producers,	**Interest**: High **Influence**: Medium-Low. Should be part of the LEG, or at least otherwise engaged in sector dialogue processes. Degree of influence on education sector developments vary by country. Key	Informants. Will be interviewed during country visits if/as feasible and relevant. If not represented on the LEG, the evaluation team will elicit suggestions from the DCP government, grant agent and (other) LEG members on what

Stakeholder	Interest in/Influence on GPE country-level programming Importance for the evaluation	Implications for the evaluation
teacher training institutions)	stakeholder group in view of ensuring quality instruction to facilitate learning outcomes. **Importance**: Medium-High	organizations/institutions and related individuals to consult with.
Private sector representatives	**Interest**: Medium-High **Influence**: Medium-Low. In some countries members of the LEG. Relevance and influence of private sector actors varies by country. **Importance**: Medium	Informants. Will be interviewed during country visits if represented on the LEG. If not members of the LEG, the evaluation team will elicit suggestions from the DCP government, grant agent and (other) LEG members to identify private sector representatives positioned and willing to be consulted.
Philanthropic Foundations	**Interest**: Medium-High **Influence**: Medium-Low, depending on the nature and extent of their financial and non-financial support to the education sector, and their global standing and related influence. **Importance**: Medium	Informants. Will be interviewed during country visits if so suggested by the Secretariat and/or LEG members and DCP government.
Education Sector stakeholders (local/school level)		
Teachers	**Interest**: High **Influence**: Low. While teachers as a group are key for ensuring quality instruction to facilitate learning outcomes, individual teachers at the community level have low influence on the overall performance of GPE support in a particular country. **Importance**: Low. Community level stakeholders may provide valuable insights on how policy changes have improved teaching and learning, and have positively affected the lives of specific individuals. At the same time, it is difficult to directly attribute individual cases to GPE support. Furthermore, conducting school visits may run the risk of implying that the country evaluations aim at assessing how well the respective country is implementing education sector reforms, rather than focusing on the relevance, effectiveness and efficiency of GPE support.	Informants who can provide evaluators with a 'reality check' on whether and how policy change supported by GPE has affected practice. Teachers and education administrators will be consulted during school visits, only if the Secretariat country leads, DCP government, grant agent and coordinating agency deem this relevant for understanding and assessing GPE contributions in the respective country.

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Stakeholder	Interest in/Influence on GPE country-level programming Importance for the evaluation	Implications for the evaluation
Education administrators at school or sub-national level	**Interest**: High **Influence**: Low. While education administrators play an important role for ensuring that education sector policy is implemented on the ground, individual administrators have low influence on the overall performance of GPE support in a particular country. **Importance**: Low	

Appendix VI Sampling Strategy

Purpose

To set out the listing for the locales of the summative and prospective country evaluations.

Background

The ToR for this assignment in Section laid out a fairly comprehensive approach to the selection of DCPs for both types of evaluations. The revised ToR, dated July 26, 2017 noted specifically that:

> **"Lastly, the DCPs sampled for summative evaluations should all be at or around the end of program implementation, and the DCPs sampled for prospective evaluations should be at early stage of programme implementation".**

The evaluation team took this as a starting point to begin to add additional criteria in the form of an informal decision tree. Based on data provided by the Secretariat, we identified 62 DCPs[79]. Of this number five had an ESPIG ending in 2015 or earlier, effectively ruling out these DCPs based on the above primary criteria. As well, a further six had ESPIGs ending in 2016, making them less fitting than those ending in 2017 and onward. The remaining population of countries to select a sample from was therefore **51**.

Overall Sampling Methodology

Our selection of countries is rooted in the sampling method purposive sampling, which is also known as selective or subjective sampling. Purposive sampling relies on a qualitative judgment when it comes to selecting the units to be studied (in this case the DCPs). The primary goal of purposive sampling is to focus on particular characteristics of a population (such as the quality of ESPs, enrolment rates, income levels, or sizes and start dates of the ESPIGs) that will best allow answering the evaluation questions contained in the ToR. As a result, the sample that is being studied is intentionally not representative of the overall population, nor is it random. It reflects factors that have been identified as salient to this assignment.

There are certain disadvantages with purposeful sampling, in particular that it can open the evaluation up for bias (by the evaluators) in selecting the samples. This subjective element of purposeful sampling is resolved by using clear criteria and a well-defined framework for selecting the samples, based on the data indicators selected.

Eight Prospective Evaluations

The eight prospective evaluations will run from the commencement of the assignment in the third quarter of 2017 through to early 2020. The eight country locales have to be countries where GPE is operational, preferably at an early stage of grant implementation so that the entire lifecycle of the GPE process can be examined. **The primary criterion for selection was therefore the ESPIG starting date and closing date** (2017, 2018, 2019 or 2020).

[79] The four OECS states being considered as on DCP

Further considerations applied as positive selection criteria included:

- Geographic distribution
- DCP income level
- Degree of grant and or sector risk
- Representation of fragile or conflict affected DCPs

Exclusionary criteria included:

- Data availability
- Weak access to government and local stakeholders
- Ongoing security issues
- Political instability

Out of the 51 GPE developing countries that constituted the population from which to select the sampled countries, there are 13 DCPs[80] to which the primary criterion of "start and end dates" applies. They are: Bangladesh, Congo DR, Organization of Eastern Caribbean States (OECS), Ethiopia, Kenya, Lao PDR, Malawi, Nepal, Nigeria, Rwanda, Tanzania, Yemen, and Zimbabwe.

From this group, Bangladesh, Lao PDR and Yemen were removed based on the exclusion criteria of: weak access to government and local stakeholders, security issues, and/or political instability; the OECS and Rwanda were removed, but included in the sample for summative evaluations; and Tanzania was removed as the country had been selected as a case study in the 2015 interim evaluation. Mali was added to the list based on the request of the GPE Secretariat to ensure greater balance with regards to French speaking countries.

The resulting list of countries for the eight progressive country evaluations thus consists of: **Congo DR, Ethiopia, Kenya, Malawi, Mali, Nepal, Nigeria and Zimbabwe.** The sample represents modest geographic distribution, but, as is shown in table vi.1 below, includes several fragile states and high grant risk environments, as well as a mix of grant agents, ESP quality ratings and ESPIG grant sizes.

[80] The 4 OECS Caribbean states being considered to be one grant entity.

Table vi.1 DCPs for Prospective Country Evaluations

Country	Region	Country Characteristics					ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016	Grant Agent	Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets GPE quality criteria?
Ethiopia	Africa 3	Yes		L	102,40	IBRD	2014/2017	2018/2019	200	YES	Medium		
DRC	Africa 2	Yes		L	78,74	IBRD	2013/16	2017/21	200	YES	High	2016-2025	Yes
Kenya	Africa 1			LM	48,46	IBRD	2015	2019	88,4		Medium	2013-2018	Yes
Malawi	Africa 1			L	18,09	IBRD	2016	2020	44,9	YES	Medium	13/14-17/18	No
Mali	Africa 2	Yes		L	17.99	IBRD	2013	2017	41.7		Medium	2015-2016	No
Nepal	Asia-Pacific	Yes		L	28,98	IBRD	2016	2018	59,3	YES	Low		
Nigeria	Africa 3	Yes		LM	185,99	IBRD	2015	2019	100		Critical		
Zimbabwe	Africa 1	Yes		L	16,15	UNICEF	2014/16	2016/19	44,2	YES	Low	2011-2015	No

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22 Summative Country Evaluations

The purpose of the summative country evaluations is to review the entire lifecycle of GPE's work post-facto in a particular country, starting from preliminary activities, through to the design of education sector plans and including to the greatest extent possible grant implementation at final or next to final stages.

The primary selection criterion for the summative evaluations was therefore the **ESPIG start and closing dates** (anticipated closing dates in 2017 to 2020 window). The start and end dates of ESPIGs were seen as a proxy for the extent to which GPE-supported activities in a particular country reflect more recent enhancements of the overall GPE model and the amendments to the overall funding model in particular.

As noted above, there are 51 developing countries currently supported by GPE where the GPE Education Sector Program Implementation Grant(s) ends either in 2017, 2018 or 2019. From this population, the eight countries selected for prospective evaluations were removed. The remaining pool of 43 countries was then narrowed down to 22 based on the following considerations.

Positive selection criteria were:

- geographic distribution (aiming for a reflection of GPE's focus on Africa, but also reflecting countries from other regions)
- DCP income level (aiming to reflect the diversity of income levels in GPE-supported countries, but with a focus on low and lower middle-income countries)
- Fragility or conflicted affected (aiming for the sample to include both fragile and/or conflict affected states and others)
- degree of grant and or sector risk (aiming for a mix of contexts with higher and lower risk)
- whether the current grant incorporates the new funding model as a proxy for the extent to which the GPE's work in the DCP reflects its new approaches and priorities, and,

Exclusionary criteria included: lack of data; weak access to government and local stakeholders; ongoing security issues; and political instability.

The suggested DCPs reflect a deliberate oversampling of countries where the new GPE funding model has been used for the current ESPIG. This reflects to considerations that are primary to the overall evaluation; first, that the evaluation assesses the effectiveness of new GPE procedures; and, that the summative evaluations also focus on results achieved via these new procedures. There was also a conscious oversampling of fragile and conflict afflicted states, so as to reflect the GPE's strategic priorities with respect to these particular locales.

Tables vi.2-6 below illustrate key characteristics of the countries selected for each of the five batches of summative evaluations.

Table vi.2 Suggested Locales for Summative Country Missions – First/Pilot "Batch" (by February 2018)

Country	Region	Country Characteristics				Grant Agent	ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016		Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets quality?
Burkina Faso	Africa 2			L	18.65	IBRD	2013	2017	78.2		Medium	2017-2030	Yes
Sierra Leone	Africa 3	*Yes*		L	7,40	IBRD	2014	2017	17,0		High	2014-2018	No

Table vi.3 Suggested Locales for Summative Country Missions - Second Batch (by June 30, 2018)

Country	Region	Country Characteristics				Grant Agent	ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016		Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets quality?
Cote d'Ivoire	Africa 2	Yes		LM	23,7	IBRD	2012	2017	41,4		Medium	2016-2025	Yes
Gambia	Africa 3	Yes		L	2,04	IBRD	2014	2018	6,9		Low	2014-2022	Yes
Liberia	Africa 3	Yes		L	4,61	IBRD	2010	2016	40		High	2017-2021	Yes
Pakistan	Asia-Pacific	Yes		LM	193,20	IBRD	2015	2017/2018	100		Low/ Medium	Multiple	No
Guyana	LAC		Yes	UM	0,77	IBRD	2015	2018	1,7		Low	2014-2108	Yes

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Table vi.4 Suggested Locales for Summative Country Missions – Third Batch (by December 30, 2018)

Country	Region	Country Characteristics				Grant Agent	ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016		Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets quality?
Mauritania	Africa 2			LM	4,30	IBRD	2014	2017	12,4		Low		
South Sudan	Africa 3	Yes		L	12,23	UNICEF	2013	2017	36,1		High	2012-2017	Yes
Tajikistan	EEMECA			LM	8,73	IBRD	2013	2017	16,2		Medium	2012-2020	No
Zambia	Africa 1			LM	16,59	DFID	2013	2018	35,2		Low	2011-2015	Yes
Uganda	Africa 1	Yes		L	41,49	IBRD	2014	2018	100		High		

Table vi.5 Suggested Locales for Summative Country Missions – Fourth Batch (by March 15, 2019)

Country	Region	Country Characteristics				Grant Agent	ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016		Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets quality?
Bangladesh	Asia-Pacific			LM	162,95	IBRD	2016	2018	100		Low	2011-2017	Yes
Cambodia	Asia Pacific	Yes		LM	15,76	IBRD	2014	2017	38,5		Low	2014-2018	Yes
Kyrgyz Republic	EEMECA			LM	6,08	IBRD	2014	2018	12,7		Medium	2012-2020	No
Mozambique	Africa 1			L	28,83	IBRD	2015	2018	57,9	YES	Medium	2015-2018	Yes
Togo	Africa 2	Yes		L	7,61	IBRD	2015	2018	27,8		Medium	2014-2025	Yes

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Table vi.6 Suggested Locales for Summative Country Missions – Fifth Batch (by October 18, 2019)

Country	Region	Country Characteristics				Grant Agent	ESPIG					ESP Quality Assessment	
		FCAC	SIDS	Income	Pop (m) 2016		Start	End	Value (m)	NFM?	Grant Risk	ESP Period	ESP meets quality?
OECS (4)	LAC		Yes	UM	0,47	IBRD	2016	2019	2	YES	Low		
Guinea	Africa 2			L	12,40	IBRD	2015	2018	37,8		High	2015-2017	Yes
Lesotho	Africa 1			LM	2,20	IBRD	2017	2020	2,1	YES	Medium	2017-2020	Yes
Rwanda	Africa 1	Yes		L	11,92	DFID	2015	2018	25,2	YES	Medium	2013/14 – 2017/18	Yes
Senegal	Africa 2			L	15,41	IBRD	2013	2018	46,9		Low	2013-2025	Yes

Appendix VII Additionality of GPE Financing

Approach for assessing the additionality of GPE financing at country level

Definition of (financial) additionality

We define financial additionality as having two qualities: an increase in the total amount of funds available for a given purpose, without the substitution or redistribution of existing resources, and an increase in the quality of funding. Dimensions of quality are explored below.

As such, we separate the exploration of GPE contributions to financial additionality from the broader question of GPE's value added to strengthening DCP education systems.

Approach

There are two main steps in assessing GPE's financial additionality. In the first step, we will explore trends in public expenditure on education to better understand how public financing in a country has evolved during the period of review. In the second, we assess how GPE may have contributed to changes in national education financing, looking at GPE's effect on total resources available and quality of financing in a country. The approach for each of the two phases is described below.

1. Identify changes in public expenditure on education

The following indicators will be used to assess trends in public expenditure on education by country. It is important to note that data for these basic indicators are often incomplete (not available for every year, every country, or every indicator). For a given country, collecting the most robust series of longitudinal data will often require using various sources, including Education Management Information Systems (EMIS), school censuses and surveys, National Education Accounts (NEA), and public expenditure reports. Data from UIS will also be used to provide a level of standardization and comparability needed for any comparative country analysis. The table below summarizes the key indicators and sources of data.

PUBLIC EXPENDITURE ON EDUCATION	SOURCES OF DATA
(i) Public expenditure on education as % of GDP	National data*, UIS
(ii) Public expenditure on education as % of total public expenditure**	National data, UIS
(iii) Public expenditure on education in absolute amount	National data, UIS
Public expenditure on education by sub-sector	**Sources of data**
(i) Public expenditure by education sub-sector as % of total public expenditure on education	National data, UIS
(ii) Public current expenditure by education sub-sector as % of total public current expenditure on education	National data, UIS
(iii) Current spending on items other than teacher remuneration as % of total current spending education sub-sector	National data, UIS

PUBLIC EXPENDITURE ON EDUCATION	SOURCES OF DATA
(iv) Public expenditure by sub-sector, absolute amount	National data, UIS

*National data include but are not limited to EMIS, school censuses and surveys, NEA, Joint Sector Reviews, and public expenditure reviews

** While this indicator shows the priority given by governments to education relative to other areas of investment, such as health care, social security, defense and security, it can sometimes underrepresent education spending since many off-budget public spending can bloat total public expenditure figures.

2. Assess the effect or additionality of GPE on changes in education finance at country level

Assessing the additionality of GPE is inherently difficult because a valid counterfactual will be lacking. For example, it is difficult to assess how aid or domestic financing for education in a country would differ had it not received grants from GPE. While an analysis of financial trends pre- and post- GPE intervention could indicate GPE's effect, determining the causality or magnitude of GPE's effect on that change is difficult.

It is important, therefore, that this assessment of additionality adopts both quantitative and qualitative approaches using a three-part taxonomy. At the country level, we will analyze:

1) The **direct** effect of GPE financing on the total *amount* of financial resources. This explores whether GPE itself has had a marginal effect in total available financing.

2) The **indirect** effect GPE has on increasing total education financing, beyond direct GPE financing, by crowded in additional funding sources and by successfully advocating for increased domestic funding.

3) The effect GPE has on the **quality** of education financing.

To assess the direct effect of GPE on education financing, we will look at trends in the total amount committed and disbursed by GPE to a particular country, looking also at the trends in external and domestic financing channeled through and outside of the GPE, and for basic and total education, in order to account for any substitution or redistribution by donors or the country government.

The purpose of gathering these kinds of data is to understand how the share of total aid to education represented by GPE disbursements has evolved overtime and whether there is correlation with changes in other donor disbursements to the education sector, including the education sub-sectors. Substitution may be implied if GPE disbursements to a country have increased as donors decreased their aid to basic education but increased their aid to other sub-sectors.

Redistribution may be possible if the amount a donor contributes to GPE is comparable to any corresponding decrease in aid to basic education to a particular country. In addition, we will interview selected donors and country officials from the Ministry of Education and Ministry of Finance to better understand whether there have been shifts in their (global or country-specific) education strategy or policy that could support assumptions of substitution or redistribution based on the quantitative analysis.

The indirect effect of GPE on increasing total education financing will be explored by asking two primary questions: whether GPE financing leads to co-financing or are part of pooled funding mechanisms, and whether GPE financing leads to an increase in non-traditional financing. As stated in their "investment case," GPE aims to crowd in harmonized financing around education sector plans. This includes but is not limited to private sector engagement, co-financing arrangements, domestic resource mobilization, and

pooled funding at country level. We will analyze pertinent documents such as GPE Education Sector Program Implementation Grants, national budgets and expenditure reviews, and interview key stakeholders to measure the indirect effect of GPE on education financing. We will also explore the effects of the GPE Multiplier Fund, a new financing facility for countries that are able to mobilize three additional US dollars of external funding for every dollar from the Multiplier Fund.

The table below summarizes the ten main indicators and data sources that will be used to inform an assessment of GPE's direct and indirect effects on total education financing at country level.

DIRECT EFFECT OF GPE	SOURCES OF DATA
Aid to education to a country by donor	
(i) Aid to education total and basic education, absolute	Creditor Reporting System (CRS) from the OECD-DAC
(ii) Aid to education total and basic education as shares of ODA	CRS
(iii) Aid to other social sectors such as health, absolute	CRS
(iv) GPE disbursement as share of ODA	GPE financial data, CRS
(v) Donor contributions to GPE[81]	GPE financial data
Domestic financing	
(vi) Public expenditure on total and basic education, absolute	National data
INDIRECT EFFECT OF GPE	**SOURCES OF DATA**
(i) Number of GPE grants that are co-financed, or are part of pooled funding mechanisms[82] (ii) Amount and share of co-financing in GPE grants (iii) Amount of domestic resources mobilized	GPE data, Interviews with national actors, National data
(iv) Amount of non-traditional financing catalyzed, e.g. private or innovative finance (v) Amount of external finance leveraged as part of GPE Multiplier fund	GPE data, Interviews with national actors, National data

In addition to the two dimensions noted above, we will also investigate whether GPE has helped improve the quality of education finance by investigating two lines of inquiry: the extent to which GPE grants improves the predictability of aid and whether they align with national systems.

Aid predictability is important for allowing countries to plan medium term budget plans. GPE's New Funding Model has sought to simplify the allocation formula so countries have a clear understanding of how much money is available and the requirements for gaining access to funds. By elucidating eligibility and requirement criteria for GPE funding, GPE has sought to make aid more predictable. At country level,

[81] Contributions are payments received by GPE. Pledges are amounts as per signed contribution agreements; comprise those made at the time of the replenishment as well as the ad-hoc additional contributions agreements signed subsequently

[82] Co-financed project funding refers to funding coming from more than a single partner to support a common project. Sector pooled funding refers to a diverse group of grant or credit modalities with varying instruments and mechanisms to support implementation of an endorsed national education sector plan. The specificity for sector pooled funds is that multiple contributing partners deliver funds in a coordinated fashion to support implementation of the national education plan, or specific parts thereof.

we will interview Ministry of Education and Ministry of Finance stakeholders to investigate whether the expected effects of the funding model are seen in practice.

The Paris Declaration on Aid Effectiveness states that alignment between external aid and countries' systems is critical for improving aid effectiveness and strengthening national capacity. We will assess whether GPE grants are aligned to national systems by leveraging GPE's system alignment criteria, as described in the GPE's results framework methodology. Importantly, we will also conduct interviews with national stakeholders to explore whether GPE's grants are perceived to align with national systems, and importantly, whether such alignment is viewed to strengthen national systems.

Data sources and types of analyses that will be used for assessing the effect of GPE on the quality of education finance are summarized in the table below.

IMPROVING THE PREDICTABILITY OF AID	SOURCES OF DATA
(i) Assessing whether GPE financing is included or considered in national medium-term budgets (ii) Comparison of maximum country allocation and actual GPE grant amounts (iii) Perception from national actors that GPE aid is predictable	• Interviews with national actors, including officials from Ministries of Education and Finance • GPE data on maximum country allocation amounts • GPE Grants, absolute amount committed
Aligning with national systems	
(iv) Assessment of alignment using GPE's system alignment criteria (v) Perceptions from national actors that GPE financing is aligns with national systems	• Interviews with national actors • Education sector plans • GPE M&E data

Limitations

To reemphasize, any study of additionality will have the following limitations:

- Lack of robust longitudinal education data at country level
- Data may not be available or available at the required level of detail
- Lack of counterfactual to assess additionality

These limitations will differ across country (e.g. some countries have much better data on domestic financing nor UIS does not have a full set of data for every year for every country) and data gaps will be highlighted in individual country studies.

As noted above, qualitative information will be triangulated across a range of stakeholders (donors, government representatives, civil society) in each country in order to validate emerging trends.

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Appendix VIII Interview Protocols

A. Generic interview protocol for country-level stakeholders

During country field missions, interview questions below will be tailored to different stakeholder groups, given that not every question will be relevant or appropriate in every interview.

Introduction

1. **Please briefly introduce yourself**: How long have you worked in the education sector, in what role(s)? How long have you been in your current position?
2. **What are your current roles and responsibilities**
   - 2.1. In relation to the GPE Secretariat?
   - 2.2. With regard to managing or monitoring GPE grant(s)/interaction with the grant agent?
   - 2.3. Within/in relation to the [LEG or equivalent]?
   - 2.4. In relation to the GPE Board?

What has characterized the most recent sector policy cycle? How has GPE contributed to the different stages if this cycle?

Country-level outputs in the GPE overall theory of change

3. What have been strengths and weaknesses of the process of developing the [years covered] sector plan?

- 3.1. Was the process government owned and driven?
- 3.2. Was the process sufficiently funded?
- 3.3. Was the process of plan development participatory? What role did the [LEG or equivalent] play in the planning process?
- 3.4. What are strengths of the resulting sector plan? What are weaknesses/gaps?
  - Are issues of equity, efficiency, and learning are soundly addressed to increase sector performance?[83]
  - Does the plan include realistic provisions for financing, implementation and monitoring?
  - Is there coherence between different components of the plan?
- 3.5. **How has GPE supported sector plan development?** What difference did GPE support make?
  - GPE funding and related funding requirements

[83] Bullet points under sub-questions will be used as prompts in case the respondents' initial answer to the sub-question does not touch upon the respective issue.

- Technical assistance, quality assurance, facilitation and advocacy provided by GPE Secretariat, grant agent or coordinating agency
- Global knowledge, standards, tools shared by GPE
- GPE global advocacy/overall partnership influence (e.g. influence on development partners collaborating in country and working through LEG)
- Other (please specify)

3.6. What other factors have positively or negatively affected education sector planning?

- Contribution of other actors/development partners
- Contextual factors

4. **What have been strengths and weaknesses in the process of <u>implementing</u> the [years covered] sector plan (to date)?**

4.1. Has there been/is there political will across government to support sector plan implementation?

4.2. Has sector plan implementation been sufficiently funded? (domestic funding, external funding)?

4.3. Has the process of sector plan implementation been managed effectively? Has it been transparent? What have been related challenges?

4.4. How has GPE supported sector plan implementation and with what effects?

- GPE funding and related funding requirements (e.g. if applicable: results based component/targets)
- Technical assistance, advice, facilitation provided by GPE Secretariat, grant agent or coordinating agency
- Global knowledge, standards, tools shared by GPE
- GPE global advocacy/overall partnership influence (e.g. influence on availability of international financing for education)
- Other (please specify)

4.5. What other factors have positively or negatively affected sector plan implementation?

- Contribution of other actors/development partners
- Contextual factors

5. How have policy dialogue and sector monitoring evolved over the past [xx] years?

5.1. Are the right numbers and types of actors involved in the [LEG or equivalent in country]?

5.2. Do actors in the [LEG or equivalent] have equal voice/influence?

5.3. How useful is the information gathered through joint sector reviews (or equivalents) for improving sector planning or implementation? Is it being used? If not, why not?

5.4. How has GPE supported effective and inclusive sector policy dialogue and monitoring? With what effects?

- GPE funding requirements
- Technical assistance, advice, facilitation, advocacy provided by GPE Secretariat, grant agent or coordinating agency

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- Global knowledge, standards, tools shared by GPE
- GPE global advocacy/overall partnership influence
- Other (please specify)

5.5. What other factors have positively or negatively affected policy dialogue and sector monitoring?

- Contribution of other actors/development partners
- Contextual factors

6. Has GPE support had an effect or 'additionality' on education sector financing?

6.1. What has been GPE's contribution to the *amounts* of available education sector financing in [country] through:

- direct provision of additional finance by GPE (grants)?
- (indirect) leveraging of additional finance from the government?
- (indirect) leveraging of additional finance from other partners (e.g. through co-financing from other partners), including non-traditional donors?

6.2. Has GPE funding – positively or negatively- affected the amounts and/or allocation of education sector funding through other donors?

6.3. Has GPE had an effect on the *quality* of resources and/or the efficiency of spending?

- Has GPE managed to 'crowd in' harmonized financing around the ESP?
- Has it contributed to an increased use of pooled funding mechanisms?

How have the overall education system and its results evolved? Why have things changed, and are changes linked to GPE contributions?

Intermediary outcome and impact levels in GPE overall theory of change

7. How has the overall education system changed over the past x years in terms of its effectiveness and efficiency?

7.1. How has the education system changed in terms of:

- Expenditures on education?
- Quality of teaching (including availability of sufficient # of trained teachers)?
- Education infrastructure and learning materials?
- Transparency/reporting on sector progress and expenditures, and using data for decision making?
- Learning assessments in basic education?
- Sector management at national, district, school levels?
- Sector efficiency (e.g. domestic and international resources available for education; quality of education funding)?
- Other areas addressed in the most recent sector plan?

7.2. How have these system level changes been influenced by changes that have occurred during the most recent policy cycle (i.e. sector plan preparation, implementation, policy dialogue, sector monitoring)?

8. How have education sector results changed over the past x years?

8.1. What have been changes in learning outcomes at pre-primary, primary and lower secondary levels?

8.2. What have been changes in relation to equity, gender equality and inclusion in education?

8.3. Are changes in learning outcomes and equity related to the system-level changes discussed before (e.g. quality of teaching, education financing etc.). How do you know? What other factors have, to your knowledge, influenced changes in learning outcomes and equity?

Further strengthening GPE support

9. How can GPE further improve its support to strengthening the country's education system?

9.1. Financing (grant mechanisms and related funding requirements including results portion, leveraging additional funding globally or domestically, quality of funding, predictability of funding)

9.2. Technical support, quality assurance, advocacy and facilitation through the GPE Secretariat, grant agent, coordinating agency

9.3. Global or regional knowledge exchange, innovation

9.4. Global advocacy/influence

9.5. Other

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B. Interview protocol for Secretariat staff (focus on country lead interviews to be conducted prior to country missions).

About yourself

1. How long have you been country lead for [country]? What other countries are in your portfolio?

About [country]

2. Please give us a sense of the key actors in [country]'s education sector and their relationships. Are there any sensitivities that we need to be aware of?
    a. Ministry of Education (influence/status/budget within government, leadership, governance/management at different levels, technical capacity, history)
    b. Other line ministries (relationship to Ministry of Education, supportive/challenging?)
    c. Local Education Group (composition, dynamics, influence, role of coordinating agency)
        i. Development Partners – influence, coordination, alignment with ESP
        ii. Civil Society – capacities, influence, status, thematic foci
    d. Others (teacher associations, private sector, academia)

3. In broad terms, can you describe how [country] 'has been doing' in strengthening its education sector?
    a. What have constituted key challenges to sector plan implementation -both in terms of sector-specific factors (financing, capacities at different levels, political will) and broader contextual factors (e.g. economic development, socio-cultural issues, political stability)?
    b. Where have you observed most progress (be it in relation to specific processes/interventions, changes at education systems level, or changes in the political will for change)? Are there specific factors that can explain positive changes?

4. What are current priorities in/for [country]?
    a. If applicable: Is the country is implementing recommendations deriving from the mid-term review of the sector plan?
    b. Is [country] in the process of preparing another ESPIG application? If yes, how is that going?

About GPE's support

5. How has GPE supported [country] during the period under review?
    a. Relevance/effects of EPDG and ESPIG (if applicable)
    b. Nature/types and effects of technical assistance, advocacy, facilitation provided through Secretariat, grant agent, coordinating agency
    c. Any notable effects of GPE global level influence/advocacy?
    d. How have external factors affected ESPIG implementation and GPE technical assistance?
    e. Are there specific changes that, in your view, illustrate well that and how the GPE country-level theory of change/operational model either works well or needs finessing?

About this Evaluation

6. Do you have any specific suggestions for us as regards the [country] country-level evaluation?
    a. What, if any, insights can the evaluation provide that would be of interest to you/would be helpful?
    b. Are there any country-specific limitations that we need to be aware of?
    c. Thinking of learning products, do you have any suggestions on how lessons from the evaluation can best be shared so that they are useful to stakeholders in [country]?
7. Do you have any other comments?

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Appendix IX Detailed LOE and Gantt for Prospective Evaluations

Exhibit ix.1 First Annual Mission LOE

	Phase and Activity	ICSE	PTL	CL	2local	TOTAL
Field Work - seek out additional evidence						
1.1	Workshop for CLs on methodologies and reporting standards	0.5	0.5	1		2
1.2	Field work preparation			2	2	4
1.3	Conduct 10 working day field mission			10	10	20
1.4	On-going liaison and administration including regular update teleconferences			2	2	4
	Sub-Total First Annual Fieldwork	0.5	0.5	15	14	30
Reporting: Focus on implementation, the quality of the GPE partnership and course-correction						
2.1	Overall data analysis, findings, conclusions, and recommendations			4	2	6
2.2	Follow up interviews			1	1	2
2.3	Develop and Submit draft prospective annual report (less Executive Summary)			4	4	8
2.4	Finalize draft prospective annual report (incorporate Executive Summary and Appendices)			3	1	4
2.5	Disseminate and review findings with stakeholders			1	2	3
	Sub-Total First Annual Reporting	0	0	13	10	23
	TOTAL	**0.5**	**0.5**	**28**	**24**	**53**

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Exhibit ix.2 First Annual Mission Gantt

Phases and Activities		2018																			
		March				April				May				June				July			
Weeks		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Field Work - seek out additional evidence																					
1.1	Field work preparation		■																		
1.2	Conduct 10 working day field mission			■	■																
1.3	On-going liaison and administration including regular update teleconferences					■															
Reporting: Focus on implementation, the quality of the GPE partnership and course-correction opportunities																					
2.1	Overall data analysis, findings, conclusions, and recommendations						■	■	■												
2.2	Follow up interviews									■											
2.3	Develop and Submit draft prospective annual report (less Executive Summary)										■	■	«								
2.4	Finalize draft prospective annual report (incorporate Executive Summary and Appendices)													▨	▨	▨	«				
2.5	Disseminate and review findings with stakeholders																	■	■		
▨	Turnaround time for deliverables																				
«	Deliverables and Milestones																				

Exhibit ix.3 Second Annual Mission LOE

	Phase and Activity	ICSE	PTL	CL	2local	TOTAL
Field Work - seek out additional evidence						
	Workshop for CLs on methodologies and reporting standards	0.5	0.5	1		2
1.1	Field work preparation			2	2	4
1.2	Conduct 10 working day field mission			10	10	20
1.3	On-going liaison and administration including regular update teleconferences			2	2	4
	Sub-Total Second Annual Field Work	0.5	0.5	15	14	30
Reporting: Focus on implementation, the quality of the GPE partnership and course-correction						
2.1	Overall data analysis, findings, conclusions, and recommendations			4	2	6
2.2	Follow up interviews			1	1	2
2.3	Develop and Submit draft prospective annual report (less Executive Summary)			4	4	8
2.4	Finalize draft prospective annual report (incorporate Executive Summary and Appendices)			3	1	4
2.5	Disseminate and review findings with stakeholders			1	2	3
	Sub-Total Second Annual Reporting	0	0	13	10	23
	TOTAL			**28**	**24**	**53**

Exhibit ix.4 Second Annual Mission Gantt

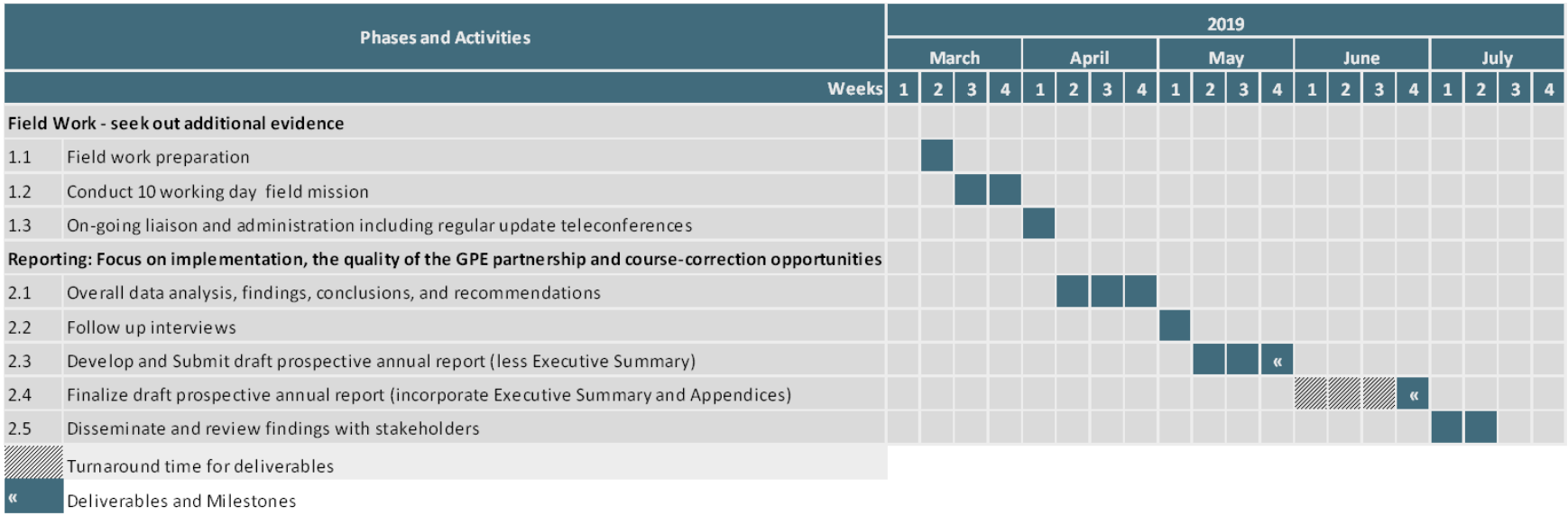


Exhibit ix.5 Final Annual Mission LOE

	Phase and Activity	ICSE	PTL	CL	2local	TOTAL
Field Work - Assemble the contribution story						
	Workshop for CLs on methodologies and reporting standards	0.5	0.5	1		2
1.1	Field work preparation			2	2	4
1.2	Conduct 10 working day field mission			10	10	20
1.3	On-going liaison and administration including regular update teleconferences			2	2	4
	Sub-Total Final Field Work	0.5	0.5	15	14	30
Reporting - revise and strengthen the GPE Contribution Story						
2.1	Overall data analysis, findings, conclusions, and recommendations			5	3	8
2.2	Follow up interviews			1	1	2
2.3	Develop and Submit draft prospective final report (less Executive Summary)			8	8	16
2.4	Finalize draft prospective final report (incorporate Executive Summary and Appendices)			3	1	4
2.5	Disseminate and review findings with stakeholders			1	2	3
	Sub-Total Final Reporting	0	0	18	15	33
	TOTAL	**0.5**	**0.5**	**33**	**29**	**63**

Exhibit ix.6 Final Mission Gantt

Phases and Activities		2020																			
		December				January				Feburary				March				April			
	Weeks	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Field Work - Assemble the contribution story																					
1.1	Field work preparation		■																		
1.2	Conduct 10 working day field mission						■	■													
1.3	On-going liaison and administration including regular update teleconferences								■												
Reporting - revise and strengthen the GPE Contribution Story																					
2.1	Overall data analysis, findings, conclusions, and recommendations									■	■	■									
2.2	Follow up interviews											■									
2.3	Develop and Submit draft prospective final report (less Executive Summary)												■	■	■	«					
2.4	Finalize draft prospective final report (incorporate Executive Summary and Appendices)																▨	▨	▨	«	
2.5	Disseminate and review findings with stakeholders																				■

▨ Turnaround time for deliverables

« ■ Deliverables and Milestones

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Appendix X Outline Country Mission Debrief Session with Stakeholders

1. Welcome and introductions

1.1. Reminder: purpose of the country-level evaluation, methodology.

1.2. Proposed purpose and structure of the session. Adapt based on stakeholder inputs.

2. Evaluation team sharing emerging findings deriving from the country site visit[84]

2.1. Emerging findings on progress made in the education sector during the period under review

2.1.1. Learning

2.1.2. Equity, gender equality and inclusion

2.1.3. Effective and efficient education system

2.2. Emerging findings on why things have changed and on how GPE has contributed to key changes

2.2.1. GPE contributions to:

- Education sector planning and policy implementation
- Fostering mutual accountability through inclusive policy dialogue and sector monitoring
- The amount and quality of education sector financing

2.2.2. Factors influencing the relevance, effectiveness and efficiency of GPE support (external/contextual factors, and internal factors related to the functioning of the GPE country-level operational model)

2.2.3. Complementary and/or alternative explanations for observed sector level changes (e.g., distinct contributions by other stakeholders; effects of contextual trends or events)

2.3. Open questions and areas where the evaluation team has inconclusive data

2.4. Conclusions and (areas for) recommendations

2.4.1. Conclusions: Adequacy of GPE's operational model and (country level) theory of change

2.4.2. Specific recommendations/forward looking suggestions for GPE in [country]

2.4.3. Possible areas for recommendations/suggestions for GPE overall

[84] Through slide presentation if feasible.

3. Discussion

3.1. Participant questions, discussion on presented evidence and its interpretation. Are there additional data sources that the evaluation team should take into account? Are there alternative ways of interpreting the available evidence?

3.2. Which, if any, insights presented are the most relevant to the participants? Why? Which areas are not/less relevant? Why?

4. **Next steps**

4.1. Evaluation team shares with participants what are next steps in completing the evaluation report (for summative evaluations) or continuing with the evaluation (for prospective evaluations)

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Appendix XI Roles and Responsibilities of Team Members

Table xi.1 outlines the roles and responsibilities of the individuals who form the Leadership and Management Team. For other team members, Table xi.2 presents roles and responsibilities per category of personnel.

Table xi.1 Roles and Responsibilities – Key Personnel

NAME AND ROLE OF CONSULTANT	RESPONSIBILITIES
Dr. Marie-Hélène Adrien – **Team Leader**	• Overall leadership and management of the assignment, contractual relationship, management and implementation with GPE and consortium partners throughout the assignment. Responsible for ensuring the application of Universalia's policies and procedures throughout the assignment, including Quality Assurance, Duty of Care, Conflict of Interest, Ethical Norms and Standards, and Risk and Mitigation Measures. • Main liaison with the Secretariat, Board and Strategy and Impact Committee. • Solicits the involvement and input of Expert Advisory Team when required. • Responsible for the production of all deliverables throughout the assignment. • Conducts summative evaluations. Leads the presentation of annual Synthesis Reports to GPE, presentation of findings to DCP meetings or other regional events, and other dissemination activities.
Dr. Nicholas Burnett- **Deputy Team Leader**	• Secondary liaison with the Secretariat, Board and Strategy and Impact Committee. • Solicits the involvement and input of Expert Advisory Team when required. • Contributes to the production of all deliverables throughout the assignment. • Conducts summative evaluations, contributes to the Synthesis Reports and participates in the presentation of annual Synthesis Reports to GPE, presentation of findings to DCP meetings or other regional events, and other dissemination activities.
Dr. Rachel Outhred – **Itad Coordinator and Senior Consultant**	• Main Itad liaison with the Team Leader and Deputy Team Leader. Responsible for the contractual relationship, management and implementation with consortium partners throughout the assignment. Responsible for coordinating the work of Itad consultants throughout the assignment. • Coordinates Risk and Mitigation Measures, assesses contingencies throughout the assignment, and coordinates implementation of the Duty of Care and Risk Analysis for prospective evaluations. • Coordinates implementation of prospective evaluations, contributes to annual and final Synthesis Reports and participates in the presentation and dissemination of findings as required.

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NAME AND ROLE OF CONSULTANT	RESPONSIBILITIES
Mr. Dale Thompson- **UMG Coordinator and Senior Consultant**	• Supports the work of the Team Leader throughout the assignment, especially in management and coordination. Main liaison to ensure the evaluation workplan is followed and implemented, especially the schedule of country evaluations and reporting • Coordinates the work of the administration support (finance, accounting, logistics, technical editing, document design, translation). • For all summative evaluations, coordinates Risk and Mitigation Measures, assesses contingencies throughout the assignment, and coordinates the implementation of the Duty of Care and Risk Analysis. • Conducts summative evaluations and contributes to the annual and final Synthesis Reports.
Mr. Mark Roland- **R4D Coordinator and Senior Consultant**	• Main R4D liaison with the Team Leader and Deputy Team Leader. Responsible for the contractual relationship, management and implementation with consortium partners throughout the assignment. • Ensures value added contribution to the assignment, especially in education research, network, evaluation, finance and other key themes. • Conducts summative evaluations. Contributes to the annual final Synthesis Reports as required and participates in the presentation and dissemination of findings as required.
Mr. Stephen Lister – **Mokoro Coordinator and Senior Consultant**	• Main Mokoro liaison with the Team Leader, Deputy Team Leader and Itad Coordinator. Responsible for the contractual relationship, management and implementation with consortium partners throughout the assignment. • Responsible for coordinating the work of Mokoro consultants throughout the assignment. • Conducts prospective evaluations. Contributes to the annual Synthesis Reports and final Synthesis Report as required and participates in the presentation and dissemination of findings as required.
Dr. Anette Wenderoth – **Universalia, Senior Consultant**	• Contributes to the production of all deliverables throughout the assignment. • Conducts summative evaluations. Contributes to series of Synthesis Reports and participates in the presentation of annual Synthesis Reports to GPE, presentation of findings to DCP meetings or other regional events, and other dissemination activities as required.

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Table xi.2 Roles and Responsibilities – Other Categories

CATEGORY	ROLE	ROLE AND RELATED RESPONSIBILITIES
Senior Consultants / Senior Evaluators	Country-level evaluation team leaders	• Lead and conduct summative and/or prospective evaluations, including preparation, data collection (home-based and in the field), data analysis, and reporting. • Contribute to the annual Synthesis Reports and final report, and to the presentation and dissemination of findings and recommendations as required. • Provide quality assurance to reports drafted by other senior consultants. • Provide input on subject matter expertise as required throughout the mandate.
Consultants / Evaluators	Support to Senior Consultants	• Support Senior Evaluators during the Design Phase as required. • Support the implementation of summative and/or prospective country-level evaluations, including preparation, data collection (home-based), data analysis, and reporting. • Provide technical support as required throughout the mandate.
Analysts / Research Assistants	Support to Consultants and Senior Consultants	• Support Evaluators and/or Senior Evaluators on specific tasks throughout the mandate, such as desk review including data processing, management and analysis. • Provide technical support as required throughout the mandate.
Expert Advisory Team	Key Thematic Expertise	• Provide external quality assurance by reviewing and providing comments on draft deliverables with a focus on key thematic areas and methodological issues.
Local Consultants[85]	Support country-level evaluations	• Support the country evaluation team leader in the preparation and conduct of the summative or prospective evaluation, including Inception Phase, data collection (home-based and in-country), analysis, reporting, and dissemination of findings and recommendations among key stakeholders. • Contribute to leveraging national capacities.

[85] Wherever possible, local consultants will come from the country under review. Where no qualified individual can be identified, the evaluation team will work with consultants from the same (sub-)region who are knowledgeable of the education sector in the country under review.

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Table xi.3 Profiles of expert advisory team members

NAME	PROFILE/BACKGROUND
Dr. Peter Colenso	• Global leader in education, with a Doctorate in Education and field experience in Africa, Asia and Europe. • Formerly Head of Education in DFID, and for 3 years Head of Human Development Department in DFID's Policy Division. • Served 3 terms as Board member of the Global Partnership for Education, representing U.K. government and latterly Private Sector/Private Foundations. • Since June 2016, independent consultant with a portfolio including the World Bank, UNICEF, government of Australia, Bill & Melinda Gates Foundation, LEGO Foundation, Sesame Workshop, Ark, and the Global Schools Forum. • Prior to that, Executive Director (Education) in CIFF – the world's largest children-focused Foundation – with a track record of dynamic leadership and growth, including innovative partnerships with governments, multilaterals, civil society and the private sector.
Dr. Chris Gerrard	• Recognized expert in the evaluation of global and regional partnerships with over 40 years of experience in economic development. • Lead Evaluation Officer at the World Bank's Independent Evaluation Group (IEG) from 1999 to 2013, where he conducted a four-year evaluation of the World Bank's involvement in global partnership programs. • Led preparation of the 2006 'Sourcebook for Evaluating Global and Regional Partnership Programs' (GRPPs), and built up IEG's program of Global and Regional Program Reviews. • Has supervised the preparation of in-depth reviews of more than 20 GRPPs, led the largest of these (on the Global Fund to Fight AIDS, Tuberculosis and Malaria), jointly led another on the Global Environment Facility and the Climate Investment Fund, and responsible for quality assurance for all these reviews. • Led the preparation of the 2011 sequel to the 2004 Report, 'The World Bank's Involvement in GRPPs: An Independent Assessment', which synthesized findings of the first 17 Global and Regional Program Reviews conducted between 2007 and 2011. • After retiring from the IEG, led evaluations of the CGIAR Research Program on Policies, Institutions, and Markets, and of the CAADP Multi-Donor Trust Fund, and served as a Quality Assurance Adviser for the evaluation of the Scaling Up Nutrition Movement.

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NAME	PROFILE/BACKGROUND
Dr. Valerie Haugen	• Established expert in international development with 30 years of global experience across sectors and fields including education and health, gender and development, monitoring and evaluation, capacity development, peace and conflict and governance. • Within the education sector, worked in all sub-sectors and in both the formal and non-formal education systems. She has worked extensively at all levels (national and sub-national to the grass roots level) of the education sector in a range of countries with education administrators, teacher educators, teachers and community groups. • K-12 licensed teacher and a specialist in language education (including mother tongue-based, bilingual, multi-lingual, second and foreign language education and early grade reading), policy and planning and in inclusive education. • Worked extensively in conflict- and crisis-affected contexts, and has extensive knowledge of aid modalities/forms of aid, sector-wide approaches and international conventions and directions and development targets. • Global experience includes development work with clients throughout Africa, Asia, Latin America and the Pacific. She has served as consultant to various organizations including UN agencies, international financial institutions, bilateral donor organizations, and international nongovernmental organizations. • Doctorate in International Development with concentrations in comparative and international education, peace and conflict studies, monitoring and evaluation and community development. • Highly-experienced in qualitative research (including Action Research and Participatory Action Research.
Dr. John Mayne	• Globally recognized evaluation methodologist who has developed cutting-edge approaches cutting-edge approaches, including for contribution analysis, to address the long-standing problem of how to assess the contributions that a variety of actors may make to any one given intervention. • Former Principle, Office of the Auditor General of Canada. • Since his retirement, specialized in advising governments and international organizations about the nature of organizational performance management. • Has advised Universal on issues related to theories of change and contribution analysis on a number of occasions, including during the 2015 interim external evaluation of GPE.

Appendix XII Outline for Summative Evaluation Reports

1. Introduction
    1.1. Purpose of the summative evaluation
    1.2. Structure of the report
    1.3. Evaluation methodology
2. Context (descriptive)
    2.1. The education sector in [country]
    2.2. GPE in [country]
3. GPE contributions to country-level objectives
        3.1.1. GPE contributions to education sector planning and policy implementation
        3.1.2. GPE contributions to education sector financing education sector, including the question of financial additionality
        3.1.3. GPE contributions to fostering mutual accountability through inclusive policy dialogue and sector monitoring
4. Education system-level changes in [country] and (likely) links to progress made towards country-level objectives
5. Impact-level changes in [country] during the period under review and likely links to changes observed in the education system
    5.1. Learning
    5.2. Equity, gender equality and inclusion
6. Conclusions and (areas for) recommendations
    6.1. Conclusions: Validity of GPE's (country level) theory of change and adequacy of GPE's operational model/ value added by GPE
    6.2. Recommendations/forward looking suggestions for GPE in [country]
    6.3. Possible areas for recommendations/suggestions for GPE overall

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Annexes

- Adapted country-level theory of change
- Stakeholder analysis
- List of consulted stakeholders
- List of reviewed documents, literature and databases
- Any relevant supporting data e.g., related to noted changes at education system and education sector outcome levels, and in relation to GPE contributions at output and intermediate outcome levels.

Appendix XIII Outline for Annual Synthesis Report

1. Introduction

    1.1. Purpose of the synthesis report

    1.2. Brief summary of methodology for compiling the synthesis report

    1.3. Structure of the report

2. Synthesis and cross-analysis of observations and findings deriving from summative and prospective country-evaluation activities completed during reporting period

    2.1. Common and diverging themes and explanations of differences, related to:

        2.1.1. GPE contributions to the achievement of country-level objectives (education sector planning and policy implementation, sector financing (leveraging additional financing/quality of financing), and mutual accountability through inclusive policy dialogue and sector monitoring)

        2.1.2. Progress made towards intermediary outcomes (education system-level results) and linkages to country-level objectives

        2.1.3. Progress towards impact-level results (sector outcomes in learning, equity, gender equality) and linkages to education system-level change

3. Conclusions and (areas for) recommendations

    3.1. Working hypotheses deriving from cross analysis conducted to date to be tested in upcoming country evaluations

    3.2. Implications for the adequacy of GPE's operational model/GPE value added, and (country level) theory of change; common areas for improvement noted across (groups of) countries

    3.3. Resulting suggestions/recommendations or areas for consideration by GPE

Annexes

- Details on cross-analysis methodology
- Supporting data
- Other (tbd.)

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Appendix XIV Outline for Quarterly Progress Reports

1. Introduction
2. Eight prospective country evaluations
    2.1. Evaluation activities undertaken during the reporting period
    2.2. Challenges encountered and mitigation strategies
    2.3. Emerging issues
3. Summative country evaluations
    3.1. Evaluation activities undertaken during the reporting period
    3.2. Challenges encountered and mitigation strategies
    3.3. Emerging issues
4. Annual synthesis report (if applicable at time of progress report)
    4.1. Preparations or activities undertaken during the reporting period
    4.2. Challenges encountered and mitigation strategies
    4.3. Emerging issues
5. Next steps
6. Any other business

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Appendix XV Mapping evaluation questions against the theory of change and questions in the ToR

EVALUATION MATRIX[86]	THEORY OF CHANGE –CONTRIBUTION CLAIM	EVALUATION TOR (NUMBERING OF QUESTIONS AS IN TOR)
CEQ 1: Has GPE contributed to education sector planning, and sector plan implementation in [country] during the period under review? [87] How?	**Contribution claim A:** GPE (financial and non-financial) support and influence contribute to the *development* of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning. **Contribution claim C:** GPE advocacy and funding requirements contribute to more and better financing for education in the country. **Contribution claim D:** GPE (financial and non-financial) support and influence contribute to the effective and efficient *implementation* of sector plans.	2. How might GPE further strengthen its support in the following areas: (a) GPE support for education sector planning and policy implementation *[Strategic Objective I],* (c) GPE financing of sector plan implementation programs (including through the leverage of specific requirements and a results-based financing component) *[Strategic Objective 3*] 3. How can GPE further improve the effectiveness of its country-level operational model, i.e. the effectiveness of GPE grant agents in assuring sustainable national capacity; value for money and appropriate adjustments to the grant; and the functioning of the local education groups and coordinating agencies? 4. What effect or additionality has GPE had on the flow of resources (at the national and international levels) for education at the country level? *[Strategic Objective 4: More and Better Financing]* 5. How effectively is GPE leveraging the strengths of the partnership (including through mutual accountability for results, global and cross-national support for knowledge exchange, innovation and advocacy) to support

[86] To keep this table concise, it does not list evaluation sub-questions (e.g. CEQ 1.1) but only first-level questions (e.g. CEQ 1, CEQ 2 etc).

[87] The core period under review varies for summative and prospective evaluations. Prospective evaluations will primarily focus on the period early 2018 to early 2020 and will relate observations of change back to the baseline established at this point. The summative evaluations will focus on the period covered by the most recent ESPIG implemented in the respective country. However, for selected indicators (and subject to data availability) the summative evaluations will look back up to five years prior to the country becoming a GPE member to conduct a trend analysis of relevant data.

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EVALUATION MATRIX[86]	THEORY OF CHANGE –CONTRIBUTION CLAIM	EVALUATION TOR (NUMBERING OF QUESTIONS AS IN TOR)
		achievement of strong educational outcomes at the country level? *[Strategic Objective 5: Build a Stronger Partnership]*
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, then how?	**Contribution claim B:** GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to *mutual accountability* for education sector progress.	2 How might GPE further strengthen its support in the following areas: (b) GPE support for mutual accountability through inclusive sector policy dialogue and joint monitoring *[Strategic Objective 2]* 3. How can GPE further improve the effectiveness of its country-level operational model (…)? 5. How effectively is GPE leveraging the strengths of the partnership?
CEQ 3: Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring?	**Contribution claims A-D** (see above)	3. How can GPE further improve the effectiveness of its country-level operational model (…)? 4. What effect or additionality has GPE had on the flow of resources (at the national and international levels) for education at the country level? *[Strategic Objective 4: More and Better Financing]* 5. How effectively is GPE leveraging the strengths of the partnership?
CEQ 4 During the period under review, how has the education system changed? **CEQ 5** How have changes in sector planning, plan implementation, and mutual accountability contributed to observed changes at education system level?	**Contribution claim E:** The development, implementation and monitoring of realistic evidence based sector plans contributes to positive changes at the level of the overall *education system*.	1. How relevant, efficient and effective is the support provided by GPE and its Secretariat at the country level in strengthening education systems, improving learning outcomes for all children, and increasing equity, gender equality and inclusion? *[Strategic Goals 1-3; Strategic Objectives 1-3]* 3. How can GPE further improve the effectiveness of its country-level operational model (…)?
CEQ 6: During the period under review, what changes have occurred in relation to: (a) Learning outcomes (basic education)? (b) Equity, gender equality and inclusion in education?	**Contribution claim F:** Education system-level improvements result in *improved learning outcomes* and in *improved equity, gender equality, and inclusion* in education.	1. How relevant, efficient and effective is the support provided by GPE and its Secretariat at the country level in strengthening education systems, improving learning outcomes for all children, and increasing equity, gender equality and inclusion? *[Strategic Goals 1-3; Strategic Objectives 1-3]*

EVALUATION MATRIX[86]	THEORY OF CHANGE –CONTRIBUTION CLAIM	EVALUATION TOR (NUMBERING OF QUESTIONS AS IN TOR)
CEQ 7 Is there evidence to link changes in learning outcomes, equity, gender equality, and inclusion to system-level changes identified under CEQ 4? What other factors can explain changes in learning outcomes, equity, etc.?		1. How relevant, efficient and effective is the support provided by GPE and its Secretariat at the country level in strengthening education systems, improving learning outcomes for all children, and increasing equity, gender equality and inclusion? *[Strategic Goals 1-3; Strategic Objectives 1-3]*

Appendix XVI Explanatory mechanisms and key underlying assumptions in the generic country ToC

#	EXPLANATORY MECHANISM	CRITICAL UNDERLYING ASSUMPTIONS[88]	(IMPLICIT) CONTRIBUTION CLAIM
	1 – GPE contributions to sector planning		
1.1, 1.2, 1.3 and 1.4	**BECAUSE** • (1) GPE provides Education Sector Plan Development Grants and guidance, quality assurance, capacity development and technical guidance • (2) GPE promotes (at global and country levels) evidence-based and adaptive planning • (3) GPE promotes and facilitates cross-national sharing of evidence and good practice • (4) GPE fosters clear roles, responsibilities and accountabilities among stakeholders in policy dialogue and their collaboration in a coordinated, harmonized way to solve sector issues • (5) Data on systems, equity, and learning generated through quality EMIS and LAS are fed back and used to inform sector planning	Country level stakeholders have the capabilities (knowledge and skills), opportunities (resources, conductive external environment), and motivation (political will, incentives) to jointly and collaboratively improve sector analysis and planning.[89] GPE has sufficient leverage within the country for GPE financial and non-financial support to influence sector planning, including LEG existence and functioning. EMIS and learning assessment and reporting systems (LAS) produce relevant and reliable data.	**Contribution claim A:** GPE (financial and non-financial) support and influence contribute to the *development* of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning.

[88] Critical assumptions are events and conditions necessary for the respective logical link (mechanism) to work.

[89] Mayne (2017) suggests analyzing changes in individual or organizational 'capacity', as the foundation of behavioral and practice change, by exploring the three interrelated dimensions of capabilities, motivation, and opportunity. See: Mayne, John. *The COM-B Theory of Change Model*. Working paper. February 2017.

#	EXPLANATORY MECHANISM	CRITICAL UNDERLYING ASSUMPTIONS[88]	(IMPLICIT) CONTRIBUTION CLAIM
	• **DCP government produces and owns credible and evidence-based sector plans focused on equity, efficiency, and learning**		
	2 - GPE contributions to sector plan implementation, sector monitoring, and dialogue		
2.1	**BECAUSE** • (1) GPE provides CSEF and ASA grants • (2) GPE supports and promotes evidence-based and inclusive national sector monitoring and adaptive planning at global and country levels • (3) GPE promotes and facilitates cross-national sharing of evidence and good practice • (4) GPE fosters clear roles, responsibilities and accountabilities among stakeholders in policy dialogue and their collaboration in a coordinated, harmonized way to solve sector issues • **There is mutual accountability for sector progress through inclusive sector policy dialogue and monitoring**	GPE has sufficient leverage at global and country levels to positively influence LEG existence and functioning. Country-level stakeholders have the capabilities (knowledge and skills), opportunities (including resources), and motivation (including political will and incentives) to work together to solve education sector issues.	**Contribution claim B:** GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to *mutual accountability* for education sector progress.
2.2	**BECAUSE** • (1) GPE advocates for and establishes mechanisms for increased, harmonized, and better aligned international financing for education, and • (2) GPE funding requirements include the promotion of improvements in domestic financing for education promotes	GPE has sufficient leverage to influence the amount of and the quality of domestic and international education sector financing. External (contextual) factors permit national and international actors to increase/improve the quality of education sector financing.	**Contribution claim C:** GPE advocacy and funding requirements contribute to more and better financing for education in the country.

#	EXPLANATORY MECHANISM	CRITICAL UNDERLYING ASSUMPTIONS[88]	(IMPLICIT) CONTRIBUTION CLAIM
	• **There is more and better financing for education mobilized in the country**.		
2.3, 2.4, 2.5, 2.6 2.7 and 2.8	**BECAUSE** • (1) GPE provides funding through PDGs and ESPIGS • (2) GPE provides quality assurance, processes, guidelines, capacity building and technical guidance for ESPIG development and implementation • (3) there is mutual accountability for education sector progress • (4) the country has developed a credible and evidence-based sector plan • (5) more and better domestic and international financing for education is available • (6) GPE promotes and facilitates cross-national sharing of evidence and good practice • (7) Data on systems, equity, and learning generated through quality EMIS and LAS are fed back and used to inform sector plan implementation • **The country implements and monitors credible, evidence-based sector plans based on equity, efficiency and learning**	Relevant country-level actors have the technical capabilities, motivation (political will, incentives) and opportunity (funding, conducive environment) to implement all elements of the sector plan. Available domestic and international funding is sufficient in quantity and adequate in quality to implement all elements of the sector plan. Country-level development partners have the motivation and opportunity (e.g. directive from respective donor government) to align their own activities with the priorities of the sector plan and to work through the LEG as a consultative and advisory forum. Country-level stakeholders take part in regular, evidence-based joint sector reviews and apply recommendations deriving from these reviews to enhance equitable and evidence-based sector plan implementation. The sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data.	**Contribution claim D:** GPE (financial and non-financial) support and influence contribute to the effective and efficient *implementation* of sector plans.
3. From country-level objectives to system-level change (intermediary outcome)			
3.1	**BECAUSE** • (1) countries implement and monitor realistic, evidence-based education	Education sector plan implementation leads to improvements of previous shortcomings in the education system including related to each of, as well as to the interaction between elements such as:	**Contribution claim E:** The development, implementation and monitoring of realistic evidence based sector plans contributes to

#	EXPLANATORY MECHANISM	CRITICAL UNDERLYING ASSUMPTIONS[88]	(IMPLICIT) CONTRIBUTION CLAIM
	sector plans based on equity, efficiency and learning • **The education system becomes more effective and efficient towards delivering equitable quality educational services for all**	Sector management: • Effective and efficient use of available resources • Effective sector management at national, sub-national and local/school levels • Evidence-based, transparent decision making – e.g., regularly conducted quality learning assessments, regularly collected data on EMIS, transparency and reporting of data, integrated and effective data systems to facilitate use Learning: • Appropriate and available education inputs – e.g., curricula, textbooks and other teaching/learning materials, school infrastructure, lesson plans/teacher training tools, numbers and allocations of trained teachers, teachers trained in using existing curricula and related materials, incentives for teachers, teacher supervision • Quality of teaching/instruction – e.g., instructional time, language of instruction, appropriate pedagogy (teaching at right level), teacher-learner relationship, effective school management Equity: • Removal of barriers to school participation for all learners • Inclusive learning environment	positive changes at the level of the overall *education system*.
3.2	**BECAUSE** • (1) sector plan implementation includes provisions for strengthened EMIS and LAS • (2) because GPE promotes and facilitates sharing of evidence and mutual accountability for education sector progress	There is sufficient national capacity (technical capabilities, political will, resources) or relevant technical assistance to analyze and report on available data and maintain EMIS and LAS. There are clearly delineated roles and responsibilities to produce data, report against data, and use data to monitor implementation.	

#	EXPLANATORY MECHANISM	CRITICAL UNDERLYING ASSUMPTIONS[88]	(IMPLICIT) CONTRIBUTION CLAIM
	• **Country produces and shares disaggregated data on equity, efficiency, and learning**		
	4. From system-level change (intermediate outcomes) to impact		
4	**BECAUSE** of improvements at the level of the overall education system, **there are improved learning outcomes and improved equity, equality, and inclusion in education**.	Changes in the education system positively affect learning outcomes and equity. Country-produced data on equity, efficiency and learning allow measuring/tracking these changes.	**Contribution claim F:** Education system-level improvements result in *improved learning outcomes* and in *improved equity, gender equality, and inclusion* in education.