Global Partnership for Education
Proposal for a More Effective Operational Platform

1. Executive Summary

The Global Partnership for Education ("Global Partnership" or "GPE") is a multi-stakeholder partnership that supports the development of equitable, efficient and high-quality education systems in low and lower middle income countries so that all children and youth achieve their right to a quality education. Since 2010, the Global Partnership has evolved from its origins and a modest gap-filling venture managed by the World Bank, into an organization with its own governance and management systems.

This paper offers a **vision for moving the Global Partnership forward on its evolutionary trajectory**. The broad direction emerging from both the Independent Evaluation and the consultations on the Strategic Plan is for the Partnership to aim for a higher level of ambition that adds value to its members and to the collective efforts of all partners. This requires the Global Partnership to put in place the necessary building blocks to achieve an expanded vision and level of ambition.

The first of these building blocks is a **strengthened Operational Platform** in the form of an **accountable Partnership** capable of delivering substantially increased levels of funding and more robust coordination and aid effectiveness mechanisms. This Operational Platform should provide partners with clarity on what to expect and give investors confidence in the Global Partnership's ability to deliver results.

The proposal laid out in this paper is based on recognition that **the Global Partnership's unique value is its ability to lock together sector coordination, planning and finance** in an effort to improve education systems and outcomes. The Theory of Change proposed for the Strategic Plan 2016-2020 illustrates how these three combined elements will deliver change at country level. The Operational Platform encompasses the actions and assumptions of the Theory of Change, and its effectiveness will determine the extent to which the Global Partnership will reach its goals and objectives over the next five-year period and beyond.

As a Partnership, the Global Partnership for Education has two mechanisms to achieve impact at the country level. The first is its ability to engage in and positively impact **government-owned policy processes and outcomes**. The second is the provision of **financial support** to the development and implementation of education sector plans ("ESPs") through grant-making. The Operational Platform needs to ensure these mechanisms work effectively and together.

Problem areas highlighted in the consultative process leading to this proposal can broadly be summarized as follows:

- Ambiguities around the composition, roles and responsibilities of the **Local Education Group** ("LEG");

- Lack of clear **quality standards** for GPE-financed programs and for 'credible' education sector plans;
- **Quality assurance** to ensure these standards are met;
- Unclear process and criteria for selecting **supervising and managing entities ("SEs" and "MEs")**, problems around the SE/ME terminology and associated coverage of administrative costs, and minimum standards for agencies playing these roles;
- Lack of standards and ambiguities around roles and responsibilities in **monitoring,** as well as the need for **minimum reporting standards**;
- Inability to capture **knowledge** from GPE investments at country level for the benefit of developing country partners as well as the broader Partnership.

To address these issues, the present proposal builds around four pillars that need to be strengthened to improve the Operational Platform. These are:

1. **Minimum Standards** for the key components of the Operational Model, including Local Education Groups, supervising and managing entities, grant-funded programs and the sector plans on which they are based, and monitoring and reporting[1];

2. **Quality Assurance** to ensure these standards are met;

3. **Conflict Resolution Mechanism** to address situations where effective partnership around these elements breaks down; and

4. **Monitoring and Evaluation Framework** to measure how well GPE levers and financing work together to achieve the desired impact. This framework will also allow the Partnership to monitor and hold partners accountable at the country level.

Underpinning all of these is **Mutual Accountability** for making the Operational Platform work, with clear roles and responsibilities for key stakeholders and the ability to monitor performance around these.

Within this framework, this proposal sets out **a package of strategic and timely actions to strengthen the Operational Platform** (*See overview in section 6; details in Annex 1*). It should be noted that

- Some of these actions—in particular those related to grant management—are proposed for immediate Board approval and can go into effect immediately.
- Some are already in progress as part of the Organizational Change process agreed following the Evans organizational review of December 2014, and include improvements in quality assurance, fiduciary oversight and monitoring and evaluation.
- A final category depends on the direction chosen by the Board at the October retreat and will require further elaboration once this direction is agreed.

Based on Board decisions, implementation of new policies and practices will be sequenced over an eight-month period. All components will be in place by the June 2016 Board meeting. Both ongoing and new actions are presented with proposed approval mechanisms and delivery dates.

2. Background and Overview

[1] See Annex 3 for an overview of existing tools and sources on standards and their status.

This paper responds to the Board's call for improvements in the Global Partnership for Education Operational Platform, as set out in ***BOD/2015/05-13–Strengthening the GPE Country-Level Operational Platform***.

A Board Reference Group[2] worked closely with the Secretariat to develop this proposal, which builds on consultations with GPE partners and the findings of the independent evaluation. It also builds on the technical work of a consultant, which benchmarks the Global Partnership against similar organizations in terms of key grant functions. (This focuses primarily on a comparison of key grant functions and does not deal with the differences in approach to other areas of the Operational Platform, such as sector coordination mechanisms and national sector planning, which are critical elements of the GPE approach[3]). For the elements of the analysis related to sector coordination and planning, focus group discussions, questionnaires and the Independent Evaluation are the main sources of information.

Based on the above, the Reference Group proposes a set of key decisions and actions required to address the current weaknesses of the Operational Platform in order to position the Global Partnership to achieve the goals and objectives of the Strategic Plan. The proposed decisions and actions are interlinked, and the ability of the Partnership to achieve improvement in each area is an important building block for the overall Theory of Change. Inversely, inability to do so would introduce a weak link in the achievement of the overall impact of the Global Partnership.

The proposed actions, options, and recommendations are rooted in the GPE principles, roles and responsibilities as set out in the **GPE Charter**, the Global Partnership's risk appetite as defined in the Risk Policy adopted by the Board in December 2014, as well as the goals, objectives and ambition for scope and scale emerging through the strategic planning process.[4]

Section 3 of this paper explains how the Operational Platform proposal fits within the broader Strategic Plan framework, while section 4 provides a conceptual framework around the Operational Platform. Section 5 provides an overview of how the Global Partnership compares to similar organizations in terms of grant functions. Finally, section 6 is an overview of proposed Board decisions and actions. This section will be the main focus of the Board retreat.

The Proposal has the following Annexes:

Annex 1 is a more detailed account of issues, Reference Group deliberations, recommended decisions and additional actions planned or underway.

Annex 2 provides a draft overview of the functions, roles and responsibilities of different actors required to make the Operational Platform work. This overview builds on the current GPE Charter and GPE guidelines. The first table summarizes the key functions and accountabilities of each stakeholder; the second synthesizes information on roles and responsibilities at each major step of GPE-related processes—both country-owned and grant-specific. This document will be a work

[2] The Reference group, appointed by the Board Chair, consisted of the Board members from Africa 1, CSO 1, Donor 3, UNICEF and the World Bank.

[3] The Global Partnership is often compared to GAVI and the Global Fund, particularly with regards to grant-making. While these comparisons have been valuable for benchmarking GPE grant-making activities, they do not fully inform that part of GPE operations that seeks to impact coordination and planning.

[4] Documents covering the methodology, findings and discussion papers used by the Reference group and Secretariat in developing this proposal (including a grant administration analysis[4]) can be accessed on the Board-only sub-site on the eTeam site.

in progress until the outcomes of the Board's decisions on adjusting the Operational Model, and further actions on these, are concluded over the next months.

Annex 3 gives an overview of existing resources on minimum standards, their status and how they are used or being developed.

3. The Operational Platform's Role in Delivering the Strategic Plan 2016-2020

The GPE (draft) Strategic Plan 2016-2020 commits to contributing to impact on learning outcomes and equity and inclusion in GPE member countries. The proposed Theory of Change illustrates how the Global Partnership will use its levers and funding to deliver change at country level. The Operational Platform encompasses the actions and assumptions of the Theory of Change, and its effectiveness will determine the extent to which the Global Partnership will reach its goals and objectives over the next five-year period and beyond.

Specifically, an effective Operational Platform must deliver robust sector analysis and national data strategies; credible, evidence-based sector plans focused on equity, efficiency and learning; increased domestic financing and the alignment of donor financing; and support around sector plans and their implementation. It must deliver these outputs through strong coordination mechanisms led by government, supported by development partners, and inclusive of civil society, teachers and other education sector stakeholders.

The Operational Platform's ability to deliver change at country level will be the basis for a stronger case for investment in the Global Partnership for Education, and its ability to move from the current level of impact to the level of ambition set out in the draft Strategic Plan.

4. A Conceptual Framework for the Operational Platform

This paper is based on recognition that what separates the Global Partnership from other organizations providing support to the education sector is the close link between **sector coordination mechanisms**, **national sector planning cycles** and **financial support**. For the Operational Platform to work optimally in any given country, all of these elements have to work in a way that is appropriately adapted to contexts and challenges.

The Global Partnership seeks to impact country-level processes through **levers** that influence development cooperation and financing, and through its **financial support**. The former relies on partners' mutual accountability, while the latter is under the direct authority of the Board of Directors. Both are equally important to the Operational Platform, but they require different operational engagement and approaches:

- GPE **levers** seek to positively impact the government-owned policy process and its outcomes.

  Local Education Groups and development partners provide advice and coordination, but do not drive policy. Too much rigidity in GPE requirements around sector coordination and the policy cycle could prevent adapting support to contexts and undermine government ownership, national capacity, and systems building to deliver sustainable outcomes. It also increases the risk of distortion, such as the establishment of parallel GPE

mechanisms outside those where policy decisions are made, or GPE-focused sector plans that are not an integral part of government sector policies.

The Reference Group proposes that in order to be effective, the GPE Operational Platform must include **minimum standards** around coordination mechanisms and education sector plans, **mutual accountability** among partners for meeting these standards, a **conflict resolution mechanism**, and overall **monitoring** of mutual accountability to assess the 'health' of the Partnership at the Global level.

- GPE **financial support** should contribute to the development (through the Education Sector Plan Development Grant or "ESPDG") and implementation (through the Education Sector Program Implementation Grant or "ESPIG") of evidence-based ESPs established through effective, inclusive coordination mechanisms.

  The case for investing GPE resources must give the Board and investors assurance of the ability of grant-supported activities to deliver results and contribute to the achievement of GPE goals and objectives. **Grant designs need to meet minimum standards**: they must be relevant and technically strong on programmatic activities, and be supported by a budget that will maximize the impact of every dollar available. They need to be based on realistic assessments of what is achievable in the timeframe proposed, as well as a solid understanding of the capacity of partners involved and programmatic and fiduciary risks and management of these. **Grant implementation must also meet minimum standards,** ensuring problems are detected early and resolved, and that results are reported in a way that will demonstrate the grant is meeting its objectives.

  The Reference Group proposes options for a strengthened **quality assurance framework** to assess whether education sector plans that receive GPE financing meet minimum standards and present a strong case for investment, with clear **roles and responsibilities** for governments, grant agents[5] and the Secretariat in providing the Board with this assurance. The Reference Group also proposes standards for **strengthened grant monitoring and reporting mechanisms**.

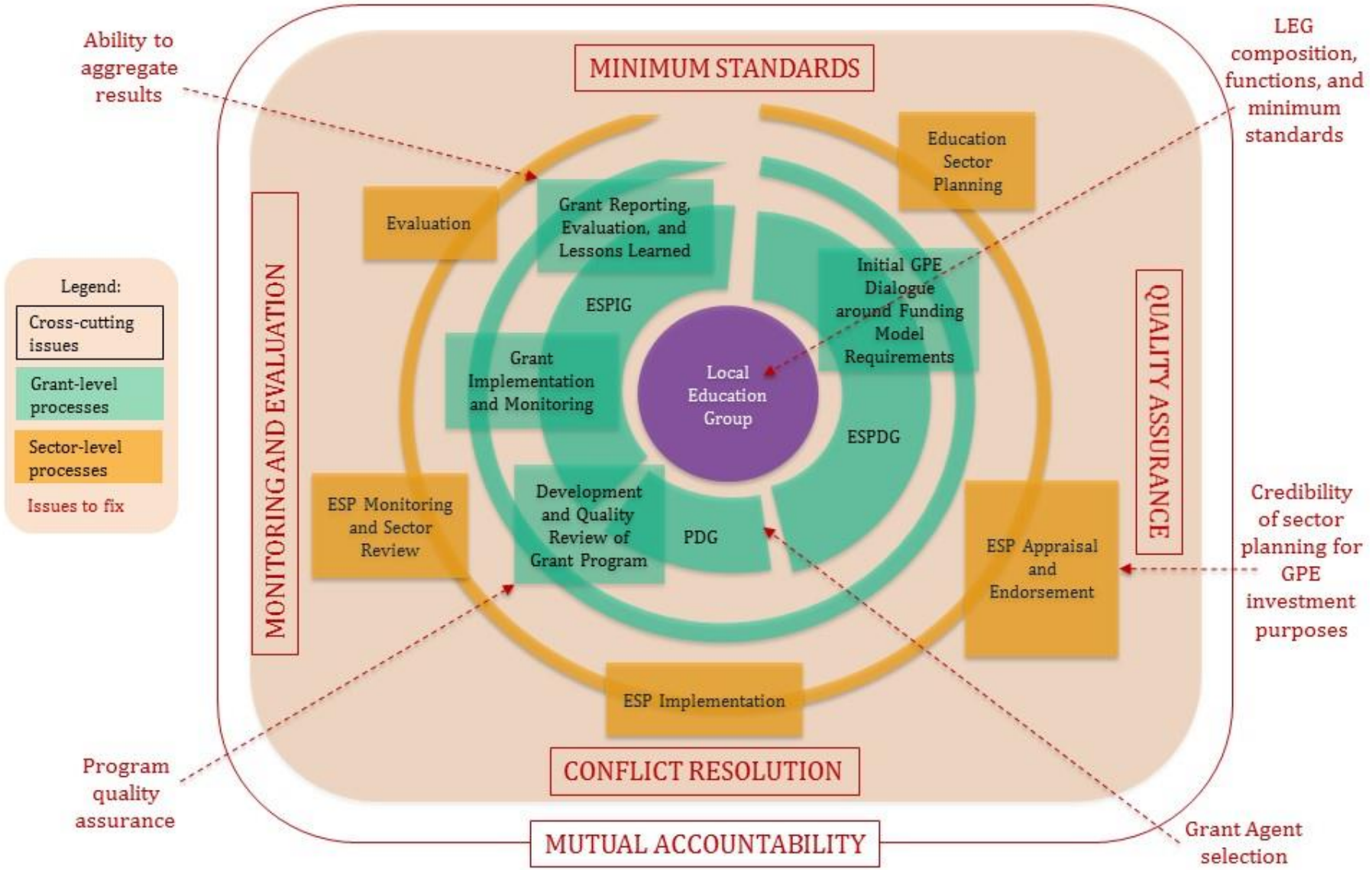
This conceptual separation between levers and financing goes a long way in resolving the experienced tension between country ownership and GPE requirements, while introducing a more robust and less ambiguous approach to partnership at country level.

The Reference Group has identified four pillars that need to be strengthened in order to improve the Operational Platform: **Minimum Standards** (for LEGs, the agencies that administer GPE funds, for grant-funded programs and sector plans, and for monitoring and reporting), **Quality Assurance** to ensure these standards are met, a **Conflict Resolution Mechanism** to address situations where effective partnership breaks down, and a **Monitoring and Evaluation framework** to measure how well GPE levers and financing work together to achieve the desired impact. Underpinning all of these is **Mutual Accountability** for making the Operational Platform work, with clear roles and responsibilities.

The table below provides a **visual overview** of the above, illustrating the GPE grant cycle (*GPE financing*) within the broader framework of the country-owned policy cycle (*GPE leveraging*). Areas of current weaknesses are highlighted to provide an overview of where adjustments or changes are proposed.

[5] See section 4 for proposed new terminology replacing Supervising and Managing Entities

GPE Operating Platform



5. Key Grant Functions: GPE Compared to Similar Organizations

The comparison below is not intended to imply that the approach taken by any of these Partnerships is better or worse than others but merely to provide an understanding that different approaches and emphasis are placed on key grant functions. It does not for example take account of the significant emphasis on sector planning by the Global Partnership for Education.

Area	Global Partnership for Education	The Global Fund to Fight AIDS, Tuberculosis and Malaria	Gavi Vaccine Alliance	Global Environment Facility
Annual Disbursements	Cash Grants – US$500m	Cash Grants – US$2.5-US$3 billion Pooled - Procurement- US$500m-US$1 billion	Cash Grants – US$500m Pooled - Procurement- US$1.5 billion	Cash Grants – US$700-US$800m
Legal	Framework Agreement with Grant Agents *(Basic with little customization)*	Framework Agreement (new approach) + Grant Specific Conditions	Framework Agreement + Grant Specific Conditions	Framework Agreement + MOUs with Partners
Fiduciary	DECENTRALIZED *(relies on systems of agencies handling funds)*	DETAILED REQUIREMENTS	DETAILED REQUIREMENTS	MINIMUM REQUIREMENTS + DECENTRALIZED *(Accreditation followed by reliance on systems of agencies handling funds)*
Quality Assurance	MULTI-PHASED APPROACH *(Limited Standards = Consistency Issues)*	MULTI-PHASED APPROACH *with Independent Technical Review*	MULTI-PHASED APPROACH *with Independent Technical Review*	MULTI-PHASED APPROACH
Budget	DECENTRALIZED *(increasing focus by Secretariat from Round 1 of 2016 ESPIGs)*	DETAILED REQUIREMENTS	DETAILED REQUIREMENTS	DECENTRALIZED
Monitoring & eporting	LIMITED REQUIREMENTS *(agencies handling funds; increasing emphasis on Secretariat monitoring/reporting)*	DETAILED REQUIREMENTS	DETAILED REQUIREMENTS	LIMITED REQUIREMENTS
Operational Safeguards and Risk Management	LIMITED REQUIREMENTS *(Relies on systems of agencies handling funds)*	DETAILED REQUIREMENTS	DETAILED REQUIREMENTS	LIMITED REQUIREMENTS
Direct Funding and	NO	YES	YES	YES

Accreditation of National Entities	*(to be considered in 2016)*			*(very recently – China and South Africa)*

6. Recommendations and Actions

The Board is asked to approve these decisions as a package. In most cases, there is only a single recommendation, with the exception of the issue around ensuring ESPs are credible as a basis for an investment of GPE funds. In some cases, the recommendations involve immediate changes to the Operational Platform, while others involve a process that will lead to changes.

It is expected that the Board will spend a significant portion of the Retreat time on deliberating the options proposed by the Reference Group. Based on these deliberations, a Board decision will be crafted as follows:

Draft Decision Language:

BOD/2015/10-XX–GPE Operational Platform: The Board of Directors adopts the proposed decisions and actions outlined in BOD/2015/10 DOC XX to strengthen the GPE Operational Platform

The key recommendations from the Reference Group are comprehensive and involve:

LEG EFFECTIVENESS (See Annex 1, Section 1)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Development of minimum standards for LEGs	Strategy and Policy Committee ("SPC") / first SPC meeting in 2016	Board / June 2016 (or via no-objection earlier)	July 2016
Monitoring performance of LEG integrated into GPE Results Framework and Monitoring & Evaluation ("M&E") Strategy	Results Framework: Secretariat / by December 2015 M&E Strategy: SPC / first SPC meeting in 2016	Board / December 2015 Board / June 2016	December 2016 July 2016
Adoption of mutual accountability matrix as an annex to the GPE Charter	Governance, Ethics, Risk, and Finance Committee ("GERF") / first GERF meeting in 2016	Board / June 2016	July 2016
Development of conflict resolution mechanism	SPC / first SPC meeting in 2016	Board / June 2016	July 2016

ESP CREDIBILITY (See Annex 1, Section 2)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Independent technical appraisal of Education Sector Plans as the basis for determining credibility of an ESP prior to a GPE investment.	**Option 1 – Country Grants and Performance Committee ("**CGPC") / first CGPC meeting in 2016 **Option 2** – Secretariat / by December 2015 **Option 3** – Secretariat / at October 2015 Board Retreat	Board / June 2016 Board / December 2015 Board / October 2015	July 2016 Implemented as of application round 2, 2016 Implemented as of application round 2, 2016
GRANT MANAGEMENT (See Annex 1, Sections 3, 4 and 5)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Criteria and process for selection of SE/ME (Grant Agent) *(Annex 1 section 3)*	Secretariat / by December 31, 2015	CGPC / January 2016 by no objection	February 2016
Support to Public Financial Management ("PFM") analysis within ESPDG (*Annex 1 section 3*)	CGPC / October 27-29 2015 CGPC meeting	October 2015	January 2016
Change in terminology from SE/MEs to Grant Agents (*Annex 1 section 4)*	Secretariat / by October 2015	Board/October 2015	January 2016
Transparent and consistent basis for direct cost recovery of Grant Agents (*Annex 1 section 4)*	Secretariat / by October 2015	Board/October 2015	July 2016
Minimum standards for Grant Agents *(Annex 1 section 5)*	Reference Group / October 2015	Board/October 2015	Implemented by first GERF meeting in 2016

GRANT APPLICATION QUALITY ASSURANCE (See Annex 1, Section 6)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Clear methodology, minimum standards, and process for grant quality assurance	**CGPC** at October 2015 meeting; finalized strategy presented to CGPC for recommendation at first CGPC meeting in 2016	CGPC / first CGPC meeting in 2016	Implemented from 2nd Round of 2016
Monitoring and Reporting (See Annex 1, Section 7)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Creation of a GPE M&E framework and Strategy	Secretariat, Framework / December 2015; SPC, M&E Strategy / by first SPC meeting in 2016	Board / December 2015 Board / June 2016	Implemented from July 2016
Clear reporting standards and timelines	Standard reporting format developed by Secretariat by December 2015 (building on corporate Results Framework) in discussion with Grant Agents	review by **CGPC** January 2016	Implemented from July 2016
ADDITIONAL GRANT OPERATIONAL ISSUES (See Annex 1, Section 8)			
RECOMMENDATION	**RECOMMENDED BY / DATE**	**APPROVED BY / DATE**	**IMPLEMENTED BY / DATE**
Process to move forward on how the Global Partnership can learn from country level investments	SPC / first SPC meeting in 2016	Board / June 2016	July 2016
Development of an Operational Risk Framework	GERF / first GERF meeting in 2016	Board / June 2016	July 2016
Review and revision of the Financial Procedures Agreements (FPAs)	GERF / first GERF meeting in 2016	Board / June 2016	Negotiations concluded with Grant Agents by December 2016

Additional actions:

RECOMMENDATION	RECOMMENDED BY / DATE	APPROVED BY / DATE	IMPLEMENTED BY / DATE
Define circumstances in which an SE/ME is not required for grant management	GERF / first GERF meeting in 2016	*No decision necessary as passed by Board in May 2015.*	tbd
Exploration of potential options for financial support to LEGs/CAs	tbd	tbd	Not a recommendation at this time but further exploration could be considered

ANNEX 1: Issues, Deliberations, Recommendations, and Actions

1. Strengthening education sector dialogue mechanisms and processes, promoting government ownership and inclusiveness, while setting clear expectations and accountabilities in a contextually appropriate manner.

Summary of Issues	Reference Group (RG) Deliberations	Recommended Decision (1)	Additional Secretariat Actions Planned/Underway
There are concerns around the mandate/composition of the LEG, duplication with other dialogue bodies, undermining of government leadership, confusion around roles and responsibilities, Insufficient LEG inclusiveness such as limited role of CSOs, teacher unions, and private sector, Inadequate communication and information sharing, Lack of conflict resolution mechanisms, and LEG support not sufficiently adapted to fragile and conflict-affected contexts.	The RG identified the issues in this area as critical to get right and a source of significant tension and weakness in the partnership. While recognizing the need to have flexibility based on country context, the consensus view is that clear minimum standards are required and there needs to be accountability. The RG emphasized the importance of the LEG in relation to dialogue around key issues, provision of advice, and sector/grant monitoring, but stressed that responsibility for key decision-making rests with the government.	The Board of Directors requests the Secretariat to develop the following for recommendation to the Board: • Minimum standards for functions and composition of LEGs and a process for dealing with exceptions to the minimum standards based on country context • Monitoring arrangements for LEG and Sector Dialogue performance through the GPE Results Framework • Mutual Accountabilities to be defined through a matrix of roles and responsibilities in the GPE Charter • Conflict Resolution Process	Improved communication of GPE Charter, including clearer guidelines for their application, and more consistent support to LEGs – **Actions in this area to be reported as part of 2016 Annual Portfolio Review** The Board may also decide to request the Secretariat to prepare Options and recommendations on potential funding to LEGs and/or Coordinating Agencies.

2. Ensuring an efficient planning process in order to produce a credible education sector plan.

Summary of Issues	Reference Group (RG) Deliberations	Recommended Decision (2)	Additional Secretariat Actions Planned/ Underway
There are a number of concerns around the Education Sector Plan Development Grant (ESPDG) process notably around SE/ME selection and ensuring government ownership and meaningful partner participation in the plan development process. The key issue, however, is concerns around the appraisal and	The RG noted that the issues around the ESP Development Grant can be tackled through having clear criteria for the functions of the LEG in relation to the grant process and through the Secretariat's strengthened Quality Assurance Framework. The RG noted that the Global Partnership has a role to play in	The Board of Directors notes that the adoption of an Education Sector Plan is a matter for the government and re-iterates the importance of GPE support to developing country partners for the development of credible ESPs. The Board further recognizes the significance of development partners' appraisal as the basis for	Review and make adjustments to guidelines to ensure they are clear and consistent, in particular requiring documentation of a transparent process as part of the evidence of a credible ESP – **By December 31, 2015** New quality assurance standards and mechanism for ESPs is under development and seeks to ensure

endorsement of the Education Sector Plan. These include: lack of minimum standards that can cause tensions; recommendation but no requirement for an independent appraisal; insufficient time for a proper appraisal prior to endorsement and GPE grant proposal submission and a need to emphasize the difference between the government's approval and adoption of its national plan, and; partners' commitment through endorsement to align their support to it and as a sign that the country meets GPE requirements for funding.	providing support, capacity building, and quality assurance to the development of the ESP in a way that supports the government before finalizing the plan. The RG emphasized that adoption of the ESP is a matter for the government and endorsement of the ESP a matter for the in-country partners. The RG, however, noted that the Global Partnership needed to have assurance that the ESP is credible *as the basis for the financial investment in the ESP* through the ESPDG. To obtain that assurance for investment purposes, an independent appraisal of the ESP is vital, although exceptions could be made based on the size of the allocations. The RG discussed whether an appraisal by peer reviewers or independent consultants prior to endorsement of the ESP would be sufficient or whether an independent appraisal managed by a GPE-appointed technical review group would be required, noting pros and cons of both approaches. The Secretariat noted that engagement upstream would be of more value for the country but downstream engagement would allow for a final quality check that the ESP was credible and that the	their individual agencies' endorsement of the ESP, independently of GPE financing, and that how this is done remains subject to agreement within the LEG. The Board further endorses the principle that to have sufficient assurance of the credibility of an ESP as a basis for any significant financial investment in an Education Sector Program Implementation Grant, an independent appraisal of the ESP based on clear criteria is essential. **Option 1 -** The Board requests the Secretariat to work with the CGPC to develop a costed proposal /options for Independent Appraisal/Technical Review at appropriate points during the Quality Assurance Review ("QAR") for decision by the Board in June 2016 **Option 2** – The Board requests the Secretariat in time for its next meeting in December 2015 to develop a costed proposal for the creation of a Technical Review Group ("TRG"). The proposal should include TORs that describe the mandate of the TRG, membership selection and governance arrangements including oversight, ethics and conflicts of interest, Operational procedures, remuneration procedures, and evaluation of TRG performance arrangements. Once	clarification on roles, responsibilities, sequencing, and quality assurance milestones. Provides a common methodology for GPE stakeholder engagement, formalizes process and mechanisms to support quality enhancement practices - (**for CGPC consideration in October 2015**)

	ESPIG appropriately supported the implementation of the ESP, noting that if it didn't, it was very late in the process to address arising issues.	established, the TRG, will propose a methodology for ESP review, including the appropriate timing within the quality review process and CGPC deliberations. **Option 3** – Board to adopt requirement for country-level development partners to commission independent appraisal or peer review using GPE/IIEP guidelines (*status quo plus*)	

3. Ensuring that the initial ESPIG program design will best support implementation of the ESP.			
Summary of Issues	**Reference Group (RG) Deliberations**	**Recommended Decision (3)**	**Additional Secretariat Actions Planned/ Underway**
Concerns were raised that there is sometimes a lack of transparency in the selection of the SE or ME with resultant tensions in the dialogue. Unclear roles and responsibilities of the various LEG members in this process was also cited as a challenge while there were significant concerns that the choice of implementation modality did not always promote use of government systems where possible, and that GPE processes were transaction-heavy and costly.	The RG noted that there is a need to clarify and document the process for the selection of the SE/ME to ensure it is transparent and that the sequencing is appropriate. The RG believe that the LEG has a key role in this process in terms of discussing the criteria for selection including the suitability of different modalities and to understand how the potential SE/MEs are placed to deliver on this, and advise the government accordingly. To facilitate an appropriate discussion on implementation modality, the LEG should have access to Public Financial Management ("PFM") analysis of the sector performed by partners, or if not available, then this could potentially be made available by the Secretariat.	The Board of Directors requests the Secretariat to develop a standard process to guide the LEG in facilitating a dialogue to support the government's decision to appoint an SE/ME by December 31, 2015, for approval by the CGPC by no-objection in January 2016; this should be applied to all countries that have not by February 2016 appointed an SE/ME for any upcoming grants. The financing of PFM analysis for the sector where no recent analysis is available should be incorporated into the Education Sector Plan Development Grant Guidelines by December 31, 2015 to enable countries to perform this work and fund it through the Education Sector Plan Development Grant as part of the sector analysis component if needed. (This recommendation does not suggest	Streamline support to the application of funding model requirements in ESP development and ESPIG application processes: support partners to develop TORs and a roadmap for ESP development *(already recommended through new ESPDG template)*; annual planning and reporting frameworks linked to the national budget and external funding *(recommended in ESP development guidance);* and based on this, ESPIG applications that address critical issues around modality, choice of SE/ME, and linkage between ESP and ESPIG - **Actions in this area to be reported as part of 2016 Annual Portfolio Review**

	However, the appointment of the SE/ME should be made by the government. The SE/ME should as much as possible design the program in accordance with the agreed criteria. Partners must understand and respect that the limitations of the SE/MEs own policies and procedures in terms of how they assume fiduciary responsibility for the use of funds means that they may not always be able to deliver on the preferred implementation modality. The RG noted the importance of having a conflict resolution process to address concerns in this area should they arise at country level. (See Recommendation 1)	an increase in the maximum grant amount).	

4. Ensuring GPE terminology around roles related to grant management properly reflect GPE principles, and that financial mechanisms supporting administrative costs are fair and needs-based.

Summary of Issues	Reference Group (RG) Deliberations	Recommended Decision (4)	Additional Secretariat Actions Planned/Underway
The current definitions of SE and ME do not adequately reflect the continuum of implementation modalities applied by agencies taking on these roles. For example, in many cases where UNICEF is designated an ME, UNICEF is in fact transferring funds through government systems, while in other cases UNICEF may be partially doing this while directly implementing or sub-contracting to NGOs or other UN agencies. The	The RG recognized that there is a need to bring consistency on the issue of terminology and transparency in relation to costs. They agreed that it makes sense to have a single designation to refer to the entity that receives the funds directly from the Global Partnership and is responsible for developing and overseeing the grant.	The Board of Directors replaces the designation of Supervising and Managing Entity with the term **"Grant Agent"** and requests the Secretariat to revise all relevant governance documents, Financial Procedures Agreements, guidelines, and TORs to reflect the change as soon as practicable. With effect from the second round of applications in 2016, the costs of the Grant Agent to perform the role must be disclosed within the	It is not expected that a streamlined approach to administrative costs will increase the overall costs at the global level.

terms also have caused tension in certain contexts where the government feels the ME designation reflects poorly on them The different designations also have different arrangements for recovery of costs. MEs can't access a supervision allocation and their costs must be met from within the grant allocation, while SE's can't cover costs from the grant but from a limited supervision allocation that is additional to the grant. Concerns regarding the transparency of how these funds are used have been raised by some partners, while the Secretariat has noted concerns regarding financial planning if the SE has to request supplementary funds for supervision during implementation.	On the issues of costs, the majority of the RG agreed that the costs of the agency should be covered from within the overall country allocation as this would bring consistency to the current approach, would allow costs to be tailored based on context, would improve transparency as the costs would be detailed in the proposal and subject to scrutiny in the Quality Assurance Review, and from an overall GPE financial management perspective would ensure that costs could be controlled. The DCP representative on the RG raised concerns that covering the costs from within the country allocation would effectively reduce the portion of the allocation for implementation. However, it was pointed out that this is current practice for ME arrangements.	proposal budget and financed from within the overall country allocation. Any requests for revisions to the costs of the Grant Agent after approval by the Board will be subject to the reprogramming provisions outlined in the GPE Policy on Education Sector Program Implementation Grants. Agency fees of the Grant Agent will continue to be additional to the country allocation.	

5. Providing assurance that the organizations selected to be SE or ME have the capacity to perform the role as intended.

Summary of Issues	Reference Group (RG) Deliberations	Recommended Decision (5)	Additional Secretariat Actions Planned/Underway
Apart from arrangements for INGOs, the Global Partnership has no minimum standards or assessment process to confirm that SE/MEs have the capacity to perform the role.	The RG members were unanimous that all organizations that take on the role of SE/ME must meet minimum standards. The RG noted that the Secretariat arranges detailed grant level assessments by external consulting firms of country offices of INGOs for any grant in excess of US$5 million to take into account the risks related to differences in capacity of country offices to manage larger grants, country	The Board of Directors adopts the provisions of Annex 10 of BOD/2013/11/DOC 6A as minimum standards for all GPE Grant Agents Requests existing Grant Agents of an Education Sector Program Implementation Grant to facilitate the Secretariat's desk review of their respective organization's policies and procedures against these standards.	(See section below)

	context, and complexity of the implementation arrangements. The RG agreed that grant level assessments by external firms would not be required for Bilateral and Multilateral agencies as the Secretariat has strengthened its fiduciary oversight capacity and will conduct risk based reviews of the proposed implementation and oversight arrangements as part of a more robust quality assurance review process.	Requests the Secretariat to report on the findings of their review to the first meeting of the GERF in 2016 including the responses from Grant Agents as to how they will address any deficiencies identified in minimum standards if applicable. Requests the GERF to make recommendations to the CGPC and/or Board as applicable if it believes any identified deficiency is so significant that it would pose a material risk to grant implementation and/or the use of GPE funds.	

6. Ensuring that the grant application is technically sound, that it can be implemented within the timeframe proposed, that risks are identified and will be managed, and that the budget is as economical as possible.

Summary of Issues	Reference Group (RG) Deliberations	Recommended Decision (6)	Additional Secretariat Actions Planned/Underway
The current Quality Assurance Review ("QAR") process is the same for all grants of all sizes, regardless of context or the SE/ME's own quality assurance process. The quality and focus of the QAR process has varied across grants, and has paid insufficient attention to fiduciary and risk assessment. There has been Inconsistent assessment methodologies by different CGPC members, as well as between CGPC and the Secretariat, and a lack of clarity or tension around the Secretariat's role in the approval process, considering the need for Secretariat Country Leads to both support countries in the	The RG noted that it was critical to have clear criteria and guidelines for how the Quality Assurance Review process should work to ensure consistency and alignment between the work performed by the Secretariat in quality assurance and the methodology used by the CGPC to review applications. This work would also need to address where a differentiated QAR should apply to take account lower risk grants The need to align as much as practicable the QAR of the Secretariat with quality assurance arrangements of the Grant Agent was emphasized.	The Board of Directors notes the agreement within the CGPC to develop a consistent methodology for the review of grant applications, and requests the Secretariat to work with the CGPC to finalize a methodology for CGPC review of applications based on agreed minimum standards, as well as a methodology and process to ensure the Secretariat's Quality Assurance Review is aligned to these. The Secretariat and CGPC are asked to provide a status update to the Board at its next meeting in December 2015.	Pending Completion of the Updated QAR process, Fiduciary Assurance will be strengthened by increasing the focus on the adequacy of fiduciary arrangements / risk management proposed by the SE/ME, and through a review of the program budget arranged by the Secretariat's finance team. – **The new Quality Assurance Framework will be implemented for all grants from Round 1 2016** *(For information about what is currently covered in the quality assurance review's phase 2, see annex 3)*

application process, finalize the QAR process, and present the proposal in a neutral fashion to allow CGPC make a recommendation.			

7. Ensuring that implementation is on-track, that issues arising during implementation are detected early and resolved, and that results from both grants and the partnership at country level more broadly can be demonstrated across member countries to demonstrate progress towards achievement of GPE strategic objectives.			
Summary of Issues	**Reference Group (RG) Deliberations**	**Recommended Decision (7)**	**Additional Secretariat Actions Planned/Underway**
There are inadequate links between grant reporting and national reporting. The engagement between the Secretariat and SE/ME has not been equally systematic across all grants and partners. There has been Inconsistent and lack of communication between SE/ME and LEGS, and a lack of consistency in submission of reports and documents by SE/ME and lack of timely or consistent review/action by Secretariat. The format of SE/ME programmatic and financial reports can make the link to the original proposal and budget challenging and can create a significant obstacle for aggregating key grant results for annual portfolio level reporting. There is sometimes a tension between being prescriptive to ensure GPE funding model requirements are met and respecting and supporting country ownership and national processes for gradual progress.	The RG noted the explanations from the Secretariat that it had significantly strengthened its monitoring capability. There was recognition in the RG that the Global Partnership needed to have a certain level of standardized information to be able to report on the use of GPE grant funds which may require the use of standard templates if existing reporting arrangements were insufficient. The development of some core input level measurements was also recognized as a necessity. While the RG acknowledged that information on the GPE grants was necessary, it emphasized the importance of reporting on sector performance and the need to have Joint Sector Reviews ("JSRs") that systematically monitor the implementation of ESPs. The RG emphasized the importance of a comprehensive Monitoring and Evaluation framework for the Global	The Board of Directors requests to Secretariat to develop for Board approval a comprehensive and costed Monitoring and Evaluation Framework for December 2015 followed by the comprehensive monitoring strategy for consideration by the Board at its June 2016 meeting. The Secretariat in consultation with its Grant Agents to finalize minimum reporting standards and adopt a set of core input level measurements for GPE grants (based on the GPE Results Framework) to take effect from the second round of applications for Education Sector Program Implementation Grants in 2016.	Through the Organizational Change process, contact with SE/MEs has increased, allowing issues to be addressed earlier or raised to the management and/or HQ level as needed. The Secretariat at Country Support Management level is establishing quarterly meetings with Management of SE/MEs with multiple grants; and will establish meetings every six months with those managing two grants or less - **Implementation as of October 2015** Clear process to be developed between the Secretariat and each SE/ME (1) for how to engage when issues arise during implementation to ensure communication is made in a timely manner and agreement is made on necessary actions and responsibilities; and (2) for what the necessary escalation procedures are for issues that cannot be resolved between the Country Lead and program manager. – **Status update to Board by December 31. 2015**

	Partnership and stressed the importance of a mutual accountability framework (see Recommendation 1)		The Secretariat will ensure that there is a clear and transparent schedule of reporting deliverables for all ESPIGs by December 31, 2015 and report these on the country pages of the GPE website. The Secretariat has developed a standard internal operating procedure for review of and preparation of feedback on audit and progress reports, involving the Country Lead, the CST monitoring unit, and the finance team. This introduces a systematic and consistent approach for review and feedback on reports for the first time, with monitoring by Management. – **Implementation as of September 2015; Status Update Quarterly from CEO to Board as of October 2015** The Secretariat is to ensure it is clear that annual joint sector reviews are mandatory for countries receiving grants based on the new funding model and to monitor and report through the Portfolio Review on an annual basis. - **Underway with JSR methodology (see Annex 3)** Requirement for countries to produce an annual sector progress report is part of the GPE [New] Funding Model and delivery on this requirement will be monitored by the Country Support team and included in the Annual Portfolio Review. **Progress in delivery of**

			Annual Reports will be reported to the Board via the 2016 Portfolio Review. The Secretariat has improved support services, including quality assurance of ESP development processes and monitoring of reporting requirements - **Progress reported to Board via 2015 Portfolio Review** Improved support and guidelines from the Secretariat will help country partners develop comprehensive annual planning and reporting frameworks that include the national budget and external funding. This framework needs to be included in the ESP (as part of the annexed medium term operation plan) and adjusted on the basis of implementation experience. - **Progress on implementation to be reported to the Board via the 2016 Portfolio Review**

8. Cross Cutting Issues and Additional Grant Issues			
Summary of Issues	**Reference Group (RG) Deliberations**	**Recommended Decision (8)**	**Additional Secretariat Actions Planned/Underway**
Currently, knowledge and lessons learned from GPE grants are not systematically fed into country planning cycles for improved practices and results and GPE does not have a good methodology for optimizing the use of knowledge developed throughout the Partnership in the support to country level programs.	The RG recognized that there is a need to address this issue but was not in a position to recommend how best to do that at this stage. The RG noted that the Board will be considering some of these issues at its October Retreat and that once the necessary changes to the operational model are made, this area may become clearer to tackle	The Secretariat to develop a costed proposal as to how the Global Partnership can better learn from country-level investments for decision by the Board of Directors at its June 2016 meeting.	

Differentiation in Quality Assurance and Grant Monitoring and Reporting Arrangements will need to be based on clear criteria	RG agreed that there needs to be a differentiated approach based on risk	The Secretariat in consultation with the CGPC and GERF will develop an Operational Risk Platform to support a differentiated risk based approach to its quality assurance and monitoring processes and report on progress to the Board in June 2016.	
Financial Procedures Agreements may need to be reviewed and updated to reflect changes in requirements and approaches	RG recognized this need to update the FPA based on changes in the Operational model	The Secretariat in consultation with the Trustee and relevant Partner agencies will review the current Financial Procedures Agreement and report to the Board of Directors in June 2016 with any recommended changes requiring Board approval to align the FPA with the changes in the Operational Model.	

ANNEX 2: Draft GPE Functions, Accountabilities, Roles and Responsibilities

This document provides an initial overview of:

(1) The key functions and accountabilities held by the main stakeholders involved in GPE processes, both partnership and grant-related, and
(2) A more specific overview of roles and responsibilities for different steps of the policy cycle and grant-related process.

This document will need to be further developed and improved as the various pieces of the Operational Platform are agreed and adopted.

1. Key Functions and Accountabilities by Stakeholder

Stakeholder	*Functions and Accountabilities*
Government	The Government makes sovereign decisions about education sector policies and aid coordination mechanisms, and is first and foremost accountable to its Parliament and citizens. As GPE Members, Governments are also accountable for upholding their end of the GPE Compact as expressed in the GPE Charter, including to (1) develop and implement a sound and sustainable education sector plan (comprehensive or transitional) through broad-based consultation and policy dialogue; (2) provide sufficient, equitable and increased domestic financial support to education and (3) demonstrate results on key performance indicators. As GPE grant recipients, governments are accountable for using GPE resources in accordance with the approved proposal and the Grant Agreement signed with the GPE Grant Agent.
Local Education Group ("LEG")	The LEG is a forum for consultation and dialogue around the full education sector policy cycle (analysis, planning, implementation, monitoring, reporting and evaluation) and alignment and harmonization of development partner support to the education sector. This forum includes government, development partners and civil society. According to the GPE Charter, the specific composition, title, and working arrangements of the LEG will vary from country to country according to local circumstances and need. The LEG has an advisory function and is a mechanism for ensuring mutual accountability around the GPE Compact set out in the GPE Charter.
Development Partners	Individual Development Partners make decisions about their financial and technical support to the education sector. As GPE members, Development Partners are accountable for acting in accordance with the principles and actions set out in the GPE Charter, in particular to (1) support the government's development, implementation and monitoring of the education sector plan; (2) participate in the appraisal and endorsement of the education sector plan; (3) assist the government in mobilizing financing on a long term and predictable basis to complement domestic financing for the implementation of the endorsed education sector plan; (4) monitor and promote progress toward better harmonization and alignment of all financial and technical support, including non-governmental support, to the education sector; (5) take an active role in the preparation of joint reviews of education sector plan implementation; (6) inform the government on annual funding commitments and

	actual disbursements as well as indicative rolling expenditure/implementation plans; (7) support, as appropriate, the government's application for use of GPE resources; and (8) ensure coordination and information-sharing with their headquarters.
Development Partner Group **(= LEG minus government)**	As a group, Development Partners work with the government at the country level to support the development, monitoring, and evaluation of the education sector plan. They jointly monitor and promote progress toward increased aid effectiveness, actively participate in Joint Sector Reviews and mobilize financial support. According to the GPE Charter, the Development Partner Group comprises local representatives from bilateral and multilateral development partners and other donors (including private foundations), non-governmental organizations (including international and local CSOs), members of the teaching profession and the private sector.
Civil Society Organizations ("CSOs")	According to the GPE Charter, non-governmental organizations (including international and local CSOs, representatives of the teaching profession, the private sector and private foundations) participate in the Development Partner Group to (1) support progress towards the Education for All Goals through advocacy and dialogue on appropriate education policy and implementation with adequate financing, quality, learning outcomes, as well as oversight and accountability mechanisms; (2) ensure that broad and representative voices are brought into the discussions regarding the development, implementation and monitoring of the education sector plan; and (3) engage in policy dialogue with a view to strengthen domestic policy and accountability gaps.
Coordinating Agency ("CA")	The Coordinating Agency is selected by the LEG and facilitates the work of the LEG. According to the GPE Charter its functions are to (1) serve as the communication link between the government and the Development Partner Group (including the GPE Grant Agent) and the Secretariat; (2) foster and further develop the relationship between the Development Partner Group and the government and promote the inclusion of non-governmental organizations in the work of the LEG; (3) lead or otherwise facilitate the Development Partner Group in its role of supporting and monitoring the development, endorsement, and implementation of the education sector plan; (4) play a facilitating role with respect to the timely and efficient disbursement of all funds supporting implementation of the education sector plan; and (5) report on progress of education sector plan implementation, including on funding commitments and disbursements to the developing country partner, the Board of Directors and the Partnership through the Secretariat. Specific tasks and accountabilities of the CA depend on country-level arrangements. It is currently recommended that the CA be the same agency selected as 'lead partner' under country-owned coordination mechanisms. The independent evaluation and the outcomes of this consultation strongly reinforce this recommendation.
GPE Grant Agent ("GA")	The GPE Grant Agent is designated to receive transferred funds and be accountable for the use of these resources. The Grant Agent will subsequently disburse those funds to implementing partners, generally the government, and provide support and oversight as appropriate to the context for the use of the funds and implementation of activities. If government capacity is limited, the Grant Agent may use the transferred funds to directly implement some or the entire program, with specific attention to building government capacity to increase their role in the future.

GPE Secretariat	The country-level functions and accountabilities assigned to the Secretariat by the GPE Charter relate to both the leveraging and financing agendas of the Global Partnership: At the sector level these include providing support to the LEG and Coordinating Agencies to strengthen in-country process, in particular in the following ways: (1) Taking the lead in collecting information on the country processes leading to education sector plan endorsement, and sharing this with other partners in the Global Partnership; (2) Providing quality support to the planning process and monitoring results through Joint Sector Reviews; and (3) Promoting LEG processes that include all categories of GPE partners. In relation to GPE financial support to countries, the Secretariat is accountable to the Board for (1) oversight of the efficient and effective expenditure of GPE resources with appropriate safeguards and accountability and reporting thereon; and (2) monitoring of the results at the country and global level, in line with Global Partnership for Education's strategies, objectives and policies.

2. Roles and Responsibilities around Steps of the GPE Process

The second matrix provides an overview of key roles and responsibilities related to the different steps of the GPE process. Text in red signifies a change compared to previous practice, while green signifies a new process already put in place as part of the GPE Secretariat Organizational Change process. Further work on this matrix will be required as the different actions to improve the Operational Platform take shape and are finalized.

The first set of roles and responsibilities **(Section A)** relates to fully government-led and owned processes that exist independently of the Global Partnership, but that are expected to function in countries that have elected to become GPE members and abide by the GPE Charter.

The second set of roles and responsibilities **(Section B)** relates to GPE financial investments in the preparation and implementation of Education Sector Plans.

	Government	LEG	DPG (including CSOs)	Coordinating Agency	Grant Agent	GPE Secretariat	Board Committee	Board	Comments
SECTION A: Partnership Processes									
LEG establishment, composition, functions and Operational	Makes overall decisions on coordination mechanisms and is responsible for meeting minimum standards or	Jointly pursue the standards of mutual accountability	Consulted in the decision on LEG composition, functions and Operationa	Facilitates discussion around LEG composition, functions and Operational procedures as requested	NA	Monitors that minimum standards for LEG composition functions and	At the time of submission of any grant application, the CGPC assesses whether minimum	Monitors minimum standards at global level	In general, a coordination mechanism would be established and agreed between a government and its

procedures	justifying gaps and adopting action plan to address these		l procedures and within LEG, jointly pursue the standards	by the government		operating procedures are met	standards are met sufficiently (or if not, whether gaps are justified) to justify GPE investment		development partners, and the 'LEG' would be the consultative mechanism established for the education sector. Beyond aid, the LEG should be a forum to establish government commitment to the ESP through the participation of other ministries and in particular finance. There should never be a separate LEG established for GPE purposes.
ESP development, including sector analysis	Responsible for the development, adoption and financing of a national ESP or Transitional ESP	Forum for policy dialogue, consultation and coordination	Provides technical and financial support to the ESP development process	Facilitates and supports ESP development according to agreed terms of reference	NA	Provides technical support as needed as well as guidance on standards required for GPE investmen	NA	NA	The sector planning process is fully owned by governments and supported by development partners, independently

						t in the plan			of GPE engagement and financing.
ESP appraisal	Considers suggestions and comments of partners in the finalization of the ESP.	Forum for dialogue and consultation around appraisal results and how they should be taken into account in the finalization of the ESP.	Adopts a harmonized approach to appraisal.	Facilitates and supports the appraisal according to agreed terms of reference	NA	Provides guidance on standards required for GPE investment in the plan.	NA	NA	The appraisal of an ESP for endorsement purposes is fully owned at the country level, as a means for individual partners to endorse the plan. *If Board opts for QA for GPE investment there could be additional requirements*
ESP endorsement	The government does not endorse its own plan, but adopts it through its own government processes, beyond MoE, and ensures it is financed through government budgets.	Mechanism for dialogue and consultation	Individual development partners decide whether to endorse the ESP. Their endorsement signifies their commitment to align education sector support to the ESP.	Facilitates the preparation and signing of an endorsement letter by partners.	NA	Monitors which developing country partners have an endorsed ESP, and publishes endorsement letter on GPE website	NA	NA	The endorsement of a sector plan remains the trigger for GPE membership and for GPE funding *If Board opts for QA for GPE investment there could be additional requirements*

ESP Monitoring	The government prepares an annual joint sector review where ESP implementation progress is assessed and discussed in a transparent manner and needs for adjustments are agreed.	The LEG is a forum for the joint sector review.	Development partners ensure a harmonized approach to sector monitoring and support the preparation and implementation of the joint sector review.	The CA has a particular role in supporting the government with the preparation and in facilitation of the joint sector review, and of facilitating the harmonization of partner inputs	The GA has a particular role in ESP monitoring as it relates to the ESPIG (see below)	Supports sharing of good practices on joint sector reviews and monitors that these are carried out on an annual basis in line with the funding model requirement	Receives information on sector progress through Secretariat reports	Receives information on sector progress through Secretariat reports.	Requirement of an annual joint sector review to be applied for all grants approved on the basis of the new funding model.
Section B: GRANT-RELATED PROCESSES									
EDUCATION SECTOR PLAN DEVELOPMENT GRANT (ESPDG)									
ESPDG GA selection	Approves GA selection criteria and transparent process for selection, and makes the final decision based on available options	Forum for dialogue and consultation to set criteria for ESPDG GA selection and assess potential agencies against these	Development Partners are accountable for contributing to selection criteria and ensuring a transparent selection process	Documents the process and ensures the Secretariat is informed	Potential GAs express their interest and follow the transparent process set up to choose GA	1. Ensures country level partners are informed of the expected process, advises on criteria, and supports	NA	NA	The selection of a GA for the ESPDG should take into account ability to build the planning capacity of government. The agency serving as GA is expected to

						the process as needed. 2. If conflict resolution is needed, this will be addressed through conflict resolution mechanism to be developed (decision 1)			work closely with the government in the ESP development process and consult with stakeholders. However, the selection process for this grant should be kept as simple as possible to avoid high transaction costs.
ESPDG proposal development	Negotiates the proposal with the GA, ensuring that the ESPDG proposal aligns to an agreed ESP development process	Forum for dialogue and discussion around the proposal.	Within the LEG, DPs engage in technical discussions around the steps of the planning process, how the ESPDG will support it, and ensure that decisions around the ESPDG proposal are made in a transparent way. DPs	The CA facilitates LEG discussions around ESPDG proposal development and provides technical inputs to discussions.	A selected GA is delegated responsibility for developing an ESPDG proposal in collaboration/ negotiation with the government and in accordance with the agreed planning timeline, technical decisions and	The Secretariat is responsible for ensuring that country level partners are informed of GPE requirements for funding so these can be taken into account in the ESP planning	NA	NA	The new ESPDG application form guides a consultative process to ensure key planning steps are followed and that the ESPDG contributes to capacity building If decided by the Board, PFM analysis could be recommended as part of

			should also provide financing to the ESP development process as needed.		complementary funding from GA and other partners	process and covered as needed by the ESPDG.			ESA, to be included in ESPDG
ESPDG proposal approval	Clears the proposal for submission to the Secretariat, signing the application form.	Following consultations during ESPDG proposal development, is copied to the final application.	Copied to the final application as LEG members.	Submits the proposal to the Secretariat, with the minutes of LEG meetings.	Internal approval of the proposal according to agency procedures.	Verifies that the application is complete, reviews and approves ESPDG by delegated authority.	Receives overview of approved ESPDGs in the annual portfolio review.	Receives overview of approved ESPDGs in the annual Portfolio Review.	
ESPDG administration	Implements planning activities financed by the grant according to an agreed ESP development timeline	NA	NA	NA	Administers the grant according to the proposal	NA	NA	NA	*If the Global Partnership decides it can operate without a GA in certain circumstances, it may also be decided that the ESPDG may be provided directly to the government*
ESPDG monitoring	Overall responsibility for carrying out planning activities.	Forum for dialogue and consultation (see ESP development process in	(See ESP development process in section A above).	(See ESP development process in section A above).	Responsible for monitoring or implementing ESPDG activities	Secretariat Country Leads stay informed on progress with	Through the Portfolio Review, the CGPC monitors the overall progress of	Through the Portfolio Review, the CGPC monitors the	

		section A above).			through own processes; Responsible for sharing outputs of ESPDG with LEG to ensure that it is used for ESP development. Responsible for alerting LEG and Secretariat to delays and challenges. Responsible for alerting the Secretariat to misuse of funds.	ESPDG through engagement in the planning process.	the ESPDG portfolio on an annual basis.	overall progress of the ESPDG portfolio on an annual basis.	
ESPDG reporting	Contributes information to the final ESPDG report as required.	LEG members are copied to the ESPDG final report and provide feedback to Secretariat on lessons learned	As LEG members.	Distributes ESPDG final report to the LEG. Compiles LEG feedback on lessons learned.	Prepares ESPDG report and submits it to the Secretariat, cc to government and CA	Reviews ESPDG reports and assesses that activities have been implemented according to plan. Reports on	Receives overview of reports received and any highlights through the annual Portfolio Review; makes recommendations on trends	Receives overview of reports received and any highlights on implementation through the annual portfolio review	

						ESPDGs in the annual portfolio review report, distilling good practices and capturing them for cross country sharing.			
EDUCATION SECTOR PROGRAM IMPLEMENTATION GRANT (ESPIG)									
ESPIG GA selection	Approves selection criteria and transparent process for selection, and makes the final decision based on available options.	Forum for dialogue and consultation, where selection is discussed.	Members are accountable for contributing to selection criteria and ensuring a transparent selection process.	Documents the process and ensures the Secretariat is informed.	Potential GAs express their interest and adhere to transparent process to select GA.	1. Ensures country level partners are informed of the expected process, advises on criteria, and supports the process. as needed. 2. Verifies that the selected GA meets minimum standards	NA	NA	Before the selection process starts, there should be a discussion in the LEG of scope of work, use of country systems, capacity building needs and funding mechanisms of existing partners and which of these could be suitable for GPE funds. Best practice

						and that transparent process has been followed. 3. For conflict, use process developed at Board's request (decision 1).			would be to include this discussion within the ESP development process and to include whether the conditions are in place for greater use of country systems and developing more aligned funding mechanisms.
ESPIG proposal development	Considers the technical inputs of the DPG, Negotiates the proposal content with the GA, with due consideration to LEG consultations, and plays a lead role in developing its components.	Forum for dialogue and discussion at the outset (concept note), mid-stream (quality assurance) and finalization of the proposal.	Partners engage in technical discussions at agreed times of the process, providing feedback on drafts in accordance with the timeline. Contribute to ensure the program is aligned to the ESP and within	The CA monitors the agreed timeline for program development and facilitates LEG discussions and consolidation of DPG inputs according to its terms of reference and the agreed process.	A selected GA is delegated responsibility for developing a program in collaboration/ negotiation with the government. The GA is responsible for keeping the DPGs informed of the program developmen	Responsible for ensuring that the government, GA and other partners are informed of GPE requirements for funding, and supports the process as needed.	NA	NA	

			the agreed concept.		t within the framework of the LEG and according to the agreed process.				
ESPIG quality assurance	The government supports quality assurance by ensuring information is available as required.	Plays a role at key steps of QA as listed above.	As members of LEG.	Facilitates quality assurance according to QA framework.	Responsible for its own quality assurance and for engaging in a QA process with the Secretariat.	Quality assures according to the new QA process to be discussed with CGPC in October.	CGPC Reviews requirements matrix and matrix on variable part as part of QA process	NA	The QA process is being adjusted as part of the organizational review process; New QA framework in place by December 2014. *Details on Quality assurance of the ESP to be determined by Board's decision on ESP QA.*
ESPIG approval	Prepares the application form with support from CA and clears the full proposal for submission, signing the application form.	Forum for signing off on the proposal.	By signing the application , partners verify that the agreed process has been followed.	Supports the government in preparing the application form and submits the proposal to the Secretariat, with the	Internal approval of the proposal according to agency procedures. Ensures application form and program document	Verifies that minimum standards are met, providing a clearance statement to the CGPC.	Using an agreed methodology , CGPC reviews the proposal and makes a recommendation to the Board.	Approves the ESPIG.	*Details to be determined by new QA process and Board Decision on QA of ESP*

				signatures of partners.	are coherent.				
ESPIG administration	Implements activities according to a grant agreement with the GA.	NA	NA	NA	Administers the grant according to the proposal and grant agreement with the government.	NA	NA	NA	Grant administration is governed by a legal agreement between the government and GA.
ESPIG monitoring	Ensures that joint monitoring of the program is done in the context of a joint sector review on an annual basis.	Forum for dialogue and consultation, and for joint monitoring.	Engage in joint monitoring of own and GPE programs in the context of joint sector reviews.	Facilitates the organization of harmonized monitoring practices through joint monitoring missions and joint sector reviews.	Responsible for monitoring of program activities through own processes; Responsible for updating LEG and Secretariat on implementation progress according to an agreed timeline; Responsible for alerting LEG and Secretariat to delays and implementation	Country Leads participate in GA monitoring missions when possible and have frequent contact with the GA. Secretariat at management level reviews implementation progress on a regular basis with HQ of grant agents	Through the portfolio review, the CGPC monitors the overall progress of the portfolio on an annual basis.	The portfolio review with recommendations from the CGPC is received by the Board and the Board addresses any significant issues as required.	The new funding model sets more robust requirements around integrating program monitoring within the broader sector monitoring processes.

					challenges; Responsible for alerting the Secretariat to any misuse of funds.				
ESPIG reporting	Provides inputs to ESPIG report through annual ESP implementation report.	Copied to ESPIG reports and Secretariat's feedback .	Copied to ESPIG reports and Secretariat's feedback.	Forwards to LEG ESPIG report and Secretariat feedback	Prepares and submits to Secretariat annual ESPIG progress reports and a completion report, with cc to CA, ensuring that progress is reported on indicators and targets set in the results framework submitted in the proposal. The GA also submits a one-page standard template on key results.	Uses internal report review process to assess reports and provide feedback to GA and government, cc to CA Includes consolidated/aggregated report results in annual Portfolio Review.	Receives aggregated report results in portfolio review	Receives aggregated report results in Portfolio Review.	

PROGRAM DEVELOPMENT GRANT									
PDG proposal development	Signs off on GAs request for PDG.	Forum for dialogue and consultation.	Copied to PDG proposal.	Ensures LEG is copied to PDG proposal.	Prepares PDG proposal in consultation with government, submits PDG proposal to Secretariat.	Receives and reviews proposal.	NA	NA	
PDG approval	NA	NA	NA	NA	NA	Approves PDG by delegated authority.	NA	NA	
PDG administration	NA	NA	NA	NA	Responsible to implement PDG according to the agreed proposal.	NA	NA	NA	
PDG reporting	Receives copy of PDG report.	Receives copy of PDG report.	Receives copy of PDG report.	Forwards PDG report to LEG.	Prepares and submits PDG report to Secretariat using the standard format, cc to CA.	Receives and reviews the PDG report and addresses any issues with the GA; provides overview of PDG reports in annual Portfolio Review	Receives overview of PDG reports in annual portfolio review.	Receives overview of PDG reports in annual portfolio review.	

ANNEX 3: Existing Guidance on Minimum Standards

	Source	Status	Minimum Standard Content	Comment

Local Education Group	Making Education Aid more Effective, Monitoring Exercise on Aid Effectiveness in the Education Sector, (Global Partnership, 2012).	The study was published in 2012, and is available on the GPE website.	The study highlights the four components for an effective LEG, upon which the LEG minimum standards can be built:
			• **Ownership**: government leadership on
			  ○ sector processes
			  ○ sector priorities
			  ○ LEG activities
			• **Membership:** representation, and engagement of
			  ○ local education stakeholders
			  ○ development partners
			• **Focus:** strategic focus on
			  ○ education plan development, implementation, results
			  ○ transparency and accountability
			• **Governance**: approach defined by
			  ○ shared agenda (for example, LEG terms of reference or work plans)
			  ○ regular structured meetings and a follow-up process
			  ○ a clear division of labor
			  ○ technical task teams
				The study was based on data collected from 245 donor partners and 30 ministries of education, in 39 developing countries.

Education Sector Plan	Guidelines for Education Sector Plan Preparation, (UNESCO IIEP/Global Partnership, 2015).	Published in English and French in2015, available on the GPE website.	Credibility defined based on the following: • **Overall vision** in terms of government development policy, approach to reaching goals and principles • **Strategies** for achieving the vision, including the human, technical, and financial capacities required, and priorities • **Holistic**, in that it covers all sub-sectors with the learner at the center • **Evidence-based**, i.e., based on an education sector analysis providing data and assessments that form the information base on which strategies and programs are developed • **Achievable** based on analysis of current trends and hypotheses for overcoming financial, technical, and political constraints; should provide a framework for budget and	The Guidelines were first issued by GPE and IIEP in 2012 and were tested over a period of two years. Feedback from diverse stakeholders led to the revision published in 2015. Secretariat uses the guidelines to inform

	Source	Status	Minimum Standard Content	Comment
			management decisions; ownership by key stakeholders also has an impact on feasibility. • **Context sensitive**, including vulnerability analysis. • Responsive to **disparities** / equity issues	technical support to ESP development.
Education Sector Program Implementation Grant	GPE Quality Assurance Review Guidance Note (2012; updated 2015).	Published on the GPE website.	Draft Program Documents are reviewed in the following areas: • **Program design:** Objectives, components/ interventions, activities, and costs effectiveness. Inclusion of GPE strategic goals. • **Program budget and unit costs:** Is the overall program and unit costs justified? • **Results Framework:** Are outcome and output indicators for the overall objectives clearly defined with baselines and targets? • **Monitoring and evaluation:** Is there a Framework in place for monitoring and evaluating program/project implementation, outcomes, outputs and financial accountability and transparency. • **Implementation arrangements and readiness**: Appropriateness of financing modality. Availability and potential for the different assessments carried out to inform implementation. Required systems and personnel in place for implementation. • **Risk identification and mitigation measures:** Technical, financial and political risks to implementing the program/project. • **Sustainability:** Coordination of national and external financing support and capacities developed at the end of the project period to sustain interventions. • **Aid Effectiveness:** In-country consultations and donor alignment with the Education Plan and the appropriateness of this application within this scenario.	Used as of 2012 by Secretariat and consultants when reviewing draft program documents at the second phase of the Quality Assurance Review.
Grant Agent (SE/ME)	Minimum standards for Grant Agents: BOD BOD/2013/11/DOC 6A.	Adopted for INGOs	GPE existing minimum standards that apply to INGOs cover the following: • Financial Management and Accounting Systems • External Financial Audit • Control Frameworks • Internal Audit	The Proposal suggests the Board apply the minimum standards to all Grant Agents.

	Source	Status	Minimum Standard Content	Comment
			• Legal Status • Project Appraisal • Management and Organization • Oversight of Sub-Recipients • Procurement Procedures • Monitoring, Evaluation, and Project At-Risk systems • Misuse of Funds • Protection of whistleblowers	
Grant Reporting	Draft Standard Reporting Templates for ESPIG .	Template for ESPIG reporting is being piloted for the Implementation Report and Completion Report.	The ESPIG Annual Implementation Report and Completion Implementation Report cover: • **Summary of progress:** status of progress on global numbers and sector indicators • **Grant Changes:** minor and major changes to the program, including successes and challenges • **Budget:** progress on financial disbursements • **Partnership:** involvement of country-level partners • **Financing:** status of additional financing supporting the program • **Knowledge Management:** description of knowledge products, if any.	A template to report on aggregated output results is under development, however, it will need to be in line with the changes in the Operational platform, which may imply changes to the piloted templates.

	Source	Status	Minimum Standard Content	Comment
Joint Sector Reviews (JSR)	JSR Assessment Methodology and Recommendations from Sector Monitoring Initiative	The methodology under development is informed by unpublished study analyzing Joint Education Sector Review Reports in 21 countries, conducted by consultant Terri Kelly in 2011; which was also used as input to technical workshops on the 2013-2014 Sector Monitoring Initiative (SMI).	The following recommendations from the study were discussed with SMI participants: • Clarity on the purpose, desired outcomes and expectations of JSRs • Clear link between sector action plan, annual sector performance report, indicators and budgets • Agreed set of defined targets and indicators to monitor • Use existing data, working group systems and sector performance reports to analyze and agree on strengths and weaknesses prior to JSR • Select and focus JSR discussions on themes from this analysis • Use a systematic approach to field visits and analysis of information from these • Assess/evaluate JSR • Joint writing process • Summary matrix with key sector performance indicators, baselines, targets and progress • Analysis of causal factors for strengths and weaknesses • Negotiate agreement around key recommendations • Limit the number of recommendations and identify responsibilities and resources for implementing them.	Secretariat is finalizing a methodology to capture minimum standards for Joint Sector Review processes, as part of the Corporate Results Framework. The methodology will be finalized by end of October.