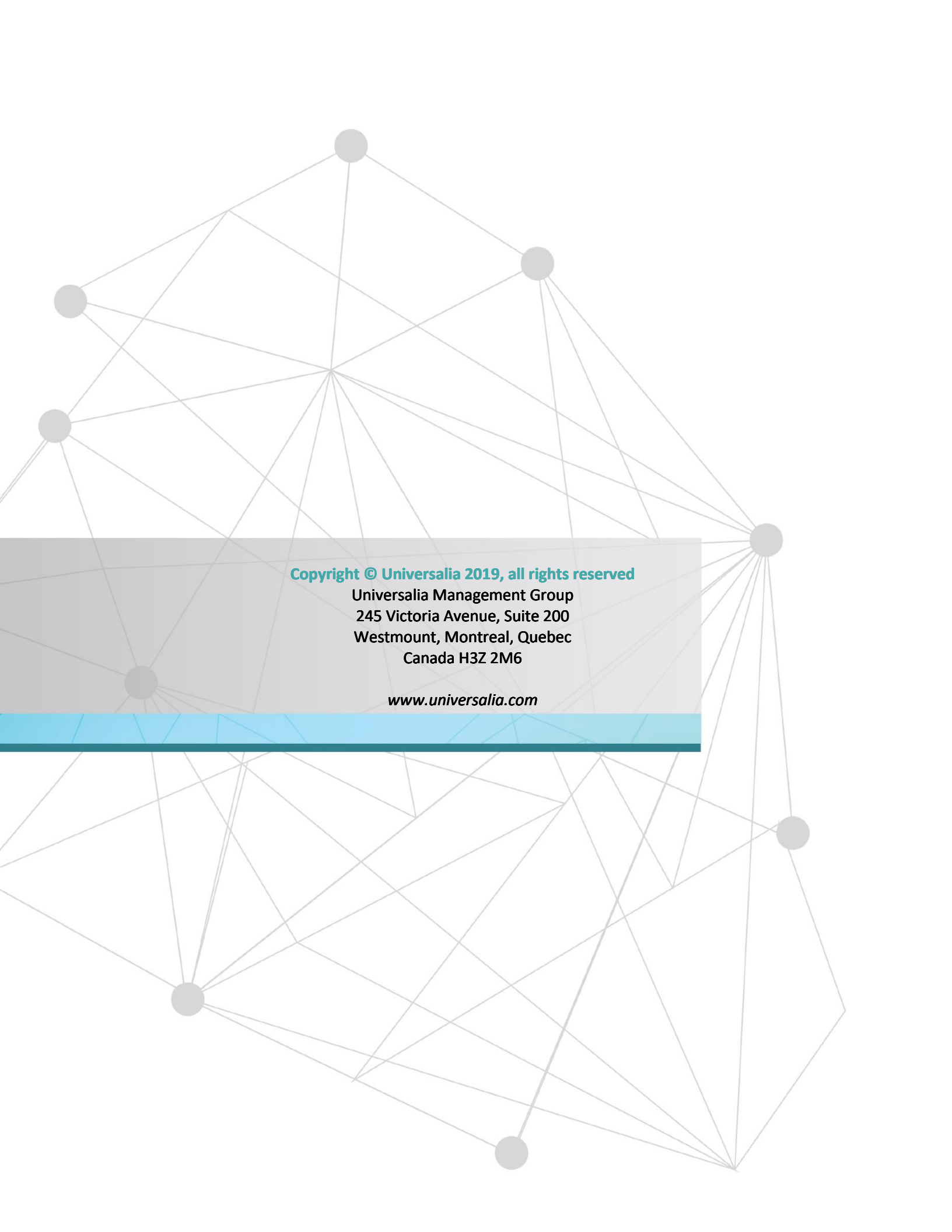


Summative Evaluation of GPE's Country-level Support to Education

Batch 5, Country 13: Zambia

EVALUATION REPORT | APRIL 2020





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Acronyms

7NDP	Seventh National Development Plan
ADB	African Development Bank
AWPB	Annual Work Plan and Budget
CAMFED	Campaign for Female Education Development
CEQ	Country Evaluation Question
CP	Cooperating Partner
CPD	Continuous Professional Development
CRS	Creditor Reporting System
CSEF	Civil Society Education Fund
CSO	Civil Society Organization
CSR	Country Status Report
DAC	Development Assistance Committee
DEB	District Education Board
DFID	Department for International Development (United Kingdom)
DLM	Disbursement-linked milestones
ECD	Early Childhood Development
ECE	Early Child Education
EDP	Education Development Partner
EFA	Education for All
EGMA	Early Grades Mathematics Assessment
EGRA	Early Grades Reading Assessment
EMIS	Education Management Information System
ESA	Education Sector Assessment
ESB	Education Statistical Bulletin

ESBS	Education Sector Budget Support
ESP	Education Sector Plan
ESSP	Education and Skills Sector Plan
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Plan Implementation Grant
FMAP	Financial Management Action Plan
FTI	Fast Track Initiative
GA	Grant Agent
GBS	General Budget Support
GDP	Gross Domestic Product
GER	Gross Enrollment Rate
GNI	Gross National Income
GPE	Global Partnership for Education
GRA	Global and Regional Activities
GRZ	Government of the Republic of Zambia
HDI	Human Development Index
IBRD	International Bank for Reconstruction and Development
ICT	Information Communication Technology
IFMIS	Integrated Financial Management Information System
IIEP	International Institute for Educational Planning
JAR	Joint Annual Review
JASZ	Joint Assistance Strategy for Zambia
JFA	Joint Financing Arrangement
JICA	Japan International Cooperation Agency
JSR	Joint Education Sector Review
KPI	Key Performance Indicator
KQ	Key Question

LAS	Learning Assessment System
LEG	Local Education Group
LSEN	Learners with Special Education Needs
M&E	Monitoring and Evaluation
MAF	Mutual Accountability Framework
MDGs	Millenium Development Goals
MESVTEE	Ministry of Education, Science, Vocational Training and Early Education
METC	Monitoring and Evaluation Technical Committee
MoF	Ministry of Finance
MoGE	Ministry of General Education
MoHE	Ministry of Higher Education
NAS	National Assessment System
NGO	Non-Governmental Organization
NIF	National Implementation Framework
NSC	National Science Council
OBB	Output-Based Budgeting
ODA	Official Development Assistance
OECD	Organisation for Economic Co-Operation and Development
OOSC	Out of School Children
OVC	Orphans and vulnerable children
PAF	Performance Assessment Framework
PCR	Primary Completion Ratio
PEO	Provincial Education Office
PER	Public Expenditure Review
PETS	Public Expenditure Tracking Survey
PDG	Program Development Grant
PFM	Public Financial Management

PIP	Performance Improvement Plan
PITC	Policy and Implementatoin Technical Committee
PTA	Parent Teacher Association
PTR	Pupil Teacher Ratio
QSDS	Quantitative Service Delivery Survey
R-SNDP	Revised Sixth National Development Plan
SACMEQ	Southern and Eastern Africa Consortium for Monitoring Educational Quality
SADC	Southern African Development Council
SBS	Sector Budget Support
SDG	Sustainable Development Goal
SMASTE	Science and Mathematics Support for Teachers
SNDP	Sixth National Development Plan
TA	Technial Assistance
TEVET	Technical Education, Vocational and Entrepreneurship Training
ToC	Theory of change
ToR	Terms of Reference
UIS	UNESCO Institute for Statistics
UMG	Universalialia Management Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
UNZA	University of Zambia
USAID	United States Agency for International Development
USD	United States Dollar
WB	World Bank
WFP	World Food Program
ZANEC	Zambia National Education Coalition

ZEEP	Zambia Education Enhancement Project
ZESSTA	Zambia Education Sector Support Technical Assistance
ZMW	Zambian Kwacha

Terminology

Alignment	Basing support on partner countries' national development strategies, institutions and procedures. ¹
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.
Capacity	In the context of this evaluation we understand capacity as the foundation for behavior change in individuals, groups or institutions. Capacity encompasses the three interrelated dimensions of <i>motivation</i> (political will, social norms, habitual processes), <i>opportunity</i> (factors outside of individuals e.g. resources, enabling environment) and capabilities (knowledge, skills). ²
Education Management and Information System (EMIS)	A system for the collection, integration, processing, maintenance and dissemination of data and information to support decision-making, policy-analysis and formulation, planning, monitoring and management at all levels of an education system. It is a system of people, technology, models, methods, processes, procedures, rules and regulations that function together to provide education leaders, decision-makers and managers at all levels with a comprehensive and integrated set of relevant, reliable, unambiguous and timely data and information to support them in fulfilling their responsibilities. ³
Education systems	Collections of institutions, actions and processes that affect the educational status of citizens in the short and long run. ⁴ 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. ⁵
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. ⁶

¹ OECD, Glossary of Aid Effectiveness Terms.

<http://www.oecd.org/dac/effectiveness/aideffectivenessglossary.htm>. GPE understands 'country systems' to relate to a set of seven dimensions: Plan, Budget, Treasury, Procurement, Accounting, Audit and Report. Source: Methodology Sheet for Global Partnership for Education (GPE) Indicators. Indicator (29) Proportion of GPE grants aligned to national systems.

² Mayne, John. *The COM-B Theory of Change Model*. Working paper. February 2017

³ GPE 2020 Results Framework Indicator 20 Methodology Sheet.

⁴ 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.

⁵ World Bank. 2003. *World Development Report 2004: Making Services Work for Poor People*. Washington, DC: World Bank; New York: Oxford University Press.

⁶ Equity and Inclusion in Education. A guide to support education sector plan preparation, revision and appraisal. GPE 2010; p.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. ⁷
Harmonization	The degree of coordination between technical and financial partners in how they structure their external assistance (e.g., pooled funds, shared financial or procurement processes), to present a common and simplified interface for developing country partners. The aim of harmonization is to reduce transaction costs and increase the effectiveness of the assistance provided by reducing demands on recipient countries to meet with different donors' reporting processes and procedures, along with uncoordinated country analytic work and missions. ⁸
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. ⁹

⁷ 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>

⁸ Adapted from OECD, Glossary of Aid Effectiveness Terms <http://www.oecd.org/dac/effectiveness/aideffectivenessglossary.htm>, and from Methodology Sheet for Global Partnership for Education (GPE) Indicators. Indicator (30) Proportion of GPE grants using: (a) co-financed project or (b) sector pooled funding mechanisms.

⁹ GPE 2010, p.3.

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Executive Summary

Evaluation purpose and approach

This evaluation is part of a larger study of the Global Partnership for Education (GPE) that comprises 30 country level evaluations (CLE). The overall study runs from 2017 until 2020. It aims to assess (i) GPE contributions to strengthening national education systems and, ultimately, education results related to learning, equity, equality and inclusion; and hence (ii) the relevance, efficiency and effectiveness of GPE's theory of change (ToC) and country-level operational model. The assessment is based on a theory-based, mixed social science research methodology known as contribution analysis.

This study was conducted between March 2019 and September 2019 and covered GPE support from 2011 to 2019. It draws on document, database and literature review, as well as on consultations with a total of 61 governmental, multilateral, bilateral, and non-governmental stakeholders in Zambia.

Education in Zambia

The Republic of Zambia, a land-locked country located in Southern Africa gained independence from Great Britain in 1964. As of 2018, it had an estimated population of 16.4 million inhabitants, and an annual estimated population growth rate of 2.9 percent. Despite its status as a lower middle-income country, Zambia has widespread rural poverty and high unemployment.

Since 2016, the education sector has been governed by two ministries with distinct responsibilities. The Ministry of General Education (MoGE) manages early childhood education (ECE), primary, secondary, as well as youth and adult learning education (YALE). The Ministry of Higher Education is responsible for university education, TEVET, science, technology, and innovation. Sector planning documents are developed jointly by the two ministries. The sector was previously governed by a single ministry, the Ministry of Education, Science, Vocational Training and Early Education (MESVTEE).

The structure of the education system of Zambia has, for various reasons, changed several times since independence. While independent Zambia adopted the 7-5-4 system (7 years of primary, 5 years of secondary, and 4 years of tertiary) in 1964, in 1996 Zambia adopted a 9-3-4 structure, (9 years of basic education, 3 years of secondary, and 4 years of tertiary). After a change in government in 2011, Zambia shifted back to a 7-5-4 structure. In 2017, there were a total of 3.3 million school-aged children at the primary level and 851 thousand children at the secondary level.

Since 1964, Zambia has developed seven national development plans (NDPs) that outline the government's socio-economic priorities over five-year periods. Operationalizing the NDPs are sectoral national implementation frameworks (NIFs) that provide sector-specific implementation plans for achieving NDP goals. **This evaluation focuses on the period covered by the 2011-2015 Education Sector National Implementation Framework III (NIF III) and the process for developing the 2017-2021 Education and Skills Sector Plan (ESSP). It also coincides with the period covered by the most recent, completed GPE ESPIG (2013-2018).**

GPE in Zambia

Zambia joined GPE/FTI in 2008 and is represented on the Board through the Africa 1 constituency. Since joining GPE, Zambia has received three grants from GPE: one Education Sector Plan Development Grant (ESPDG) and two Education Sector Plan Implementation Grants (ESPIG), one of which was through FTI. Zambia is currently in the process of preparing an application for a PDG. This evaluation focuses on the most recent 2013–2018 ESPIG, which was provided to the government as part of a larger US\$93.3 million education sector budget support (ESBS) program that was co-funded with DFID.

GPE contributions to sector planning

State of sector planning in Zambia, 2011-2019

The **2011-2015 Education Sector National Implementation Framework III (NIF III)** and the **2017-2021 Education and Skills Sector Plan (ESSP)** are of good quality as per the GPE quality standards for Education Sector Plans, with the ESSP showing some improvement over the NIF III in terms of being evidence-based, sensitive to context, and having greater attention to disparities. However, questions about the operational feasibility of the ESSP remain.

ESSP development was marred by significant delays due to a number of factors including the late ownership of the ESSP development process by the newly established ministries in charge of education (MoGE and MoHE), the delayed publication of the 7NDP and other key education policy documents, and disruptions caused by the hiring and dismissal of external consultants serving as technical assistance.

Participatory processes involving consultations with donor partners, various government ministries, CSOs, provincial actors, and teachers' unions were used to develop the ESSP. However, the mixed and contrasting reviews on the extent to which the process was as consultative as NIF III development indicates that there are challenges that remain. Although there was government ownership of the planning process, ESSP development was mostly led by external consultants overseeing the technical work.

The degree to which the 2011 and 2018 sector plans development processes built domestic planning capacities is limited. While there is some evidence to suggest improvements in sector planning capacity at central level, it is unclear the extent to which domestic planning capacities at provincial and district level have changed. Lengthy delays and government staff turnover proved challenging for capacity development, despite participatory approaches involving government officials at all stages of plan development.

GPE contributions

During the 2011-2019 period, **GPE guidelines for ESP development** helped orient the education ministries through the process of developing NIF III and ESSP. GPE guidelines also ensured the ESSP encompassed inputs from the MoGE and MoHE. **GPE's ESPDG** provided critically needed funding for an ESA, technical assistance, national and sub-national level consultations, and coordination of ESSP development. **GPE's Quality Assurance Review (QAR)** of the ESSP brought insights into neglected areas of the ESA which led

towards a more comprehensive ESSP and data driven development process. **GPE's ESPIG funding requirement 1** (credible, endorsed plan) provided an incentive to ensure the process was participatory and credible.

Implications for GPE

While Zambia already possessed a strong history of sector planning, demonstrating high levels of motivation and capability for producing planning documents, GPE support was still relevant in helping to further improve the quality of planning processes and products. However, high levels of MoGE staff turnover has contributed to the drain of institutional memory within the MoGE, which has adversely affected planning quality.

GPE contributions to sector dialogue and monitoring

State of sector dialogue and monitoring in Zambia

Zambia has active and inclusive education sector dialogue mechanisms centered around the Policy and Implementation Technical Committee (PITC) – Zambia's Local Education Group (LEG). Three technical committees responsible for procurement, finance, and monitoring of sector implementation, report to the PITC. The PITC includes the MoGE Director of Planning and Information, MoHE, donors, and CSO representatives.

The quality and effectiveness of sector dialogue and monitoring mechanisms has fluctuated over the 2011-2019 review period. Sector dialogue in 2012 was characterized by a lack of technical discussions and decision-making. Between 2013 and 2016, the processes and quality of sector dialogue improved, maturing to a point where meetings were regularly scheduled and technical discussions common. The quality of discussions in Joint Annual Reviews (JAR) increased as dialogue was better structured and more analytical. Following this period of improvement, the quality of sector dialogue and monitoring declined due to several factors including the suspension of funding from three cooperating partners. The current state of sector dialogue in Zambia is characterized by several challenges including reduced stakeholder participation in sector dialogue mechanisms, irregularity of meetings, and some degree of fractionalization among donor partners.

Although there are various sources of education data available, data collection systems are not integrated and do not produce data reliable enough to make strategic decisions. Data collection systems are split between MoGE, MoHE and a number of other systems that operate separately.

GPE contributions

During the 2011-2019 period, GPE continued to support already-existing structures of sector dialogue mechanisms. **The 2015 – 2019 ESPIG provided a major contribution to sector monitoring** through the introduction of Disbursement-Linked Milestones. Since 2016, **GPE is credited as having buoyed sector dialogue** during a period characterized by donor transition and fractionalization.

Implications for GPE

Although Zambia's existing sector dialogue and monitoring mechanisms create a foundation for mutual accountability independent of GPE activities, there has been a rapid reversal of gains seen in mutual accountability between 2013, which is the product of a number of factors, including high levels of turnover within the ministry and sector at-large and shifts in the structure and governance of MoGE. GPE leverage was particularly influential as the quality of sector monitoring showed signs of worsening, beginning in 2017. Were it not GPE, sector monitoring would be even worse. GPE processes have been credited as have sustained sector dialogue and monitoring through the enactment of GPE requirements for ESSP development and incentives related to the future GPE funding.

GPE contributions to sector financing

State of sector financing in Zambia, 2011-2019

Domestic education expenditure has been stagnant or falling since 2014, driven by rapidly increasing public debt, falling commodity prices, and a declining economic growth rate. These factors have led to cuts to capital expenditure and lower-than-expected allocations for implementing the NIF III. A declining education budget and diminished budget releases by the MoF have had a significant effect on the distribution of domestic resources between recurrent and capital expenditures. While personnel payments have largely been maintained (albeit with delays in disbursement), non-personnel recurrent expenditure, capital expenditures, and discretionary spending have all seen considerable cuts.

Basic education (pre-primary, primary, and lower secondary) has consistently occupied a significant share of Zambia's total education budget, demonstrating the prioritization of the subsector by the GRZ. Official government data indicates that the share of government education expenditure dedicated to basic education increased from 43 percent in 2011 to 58.2 percent in 2016.

The review period has seen a decline in levels of donor support and deterioration in donor relationships, including a suspension of funding from pooled funding and sector budget support, driven by issues of financial accountability and challenges in sector performance. While a number of donors have left the education space, particularly in the first years of the review period, several donors are re-entering or considering entry into the sector. Even as new donors are entering or considering entry to the sector, overall levels of donor funding have declined, and donor support is increasingly funneled through project-based modalities.

GPE contributions

GPE financial support has significantly contributed to the amount of available education financing in Zambia. Between 2014 and 2016, US\$18.5m of ESPIG funds were disbursed before funding was suspended. Over this period, ESPIG funds were equivalent to 0.65 percent of MoGE expenditures, and 3.2 percent of the MoGE discretionary budget. Between 2014 and 2016, ESPIG funds accounted for 18.1 percent of all international financing disbursements to education.

GPE's advocacy and funding requirements have had no observable influence on the volume of domestic resources dedicated to education. During the 2011-2019 review period, domestic education financing

only reached 20 percent in 2014 and has been declining since that point, despite GPE requirements for countries to meet or move towards meeting the 20 percent target and to commit to funding their ESP.

GPE had moderate influence on the quality of international financing. The Sector Budget Support modality used for the ESPIG (2013-2018) contributed to improved predictability of international funding between 2013 and 2016. The transitioning of GPE funding away from the pooled fund (where it was channeled under NIF II) and introducing a new financing modality, decreased harmonization and weakened the already-declining pooled fund.

Implications for GPE

Challenging macroeconomic factors placed serious constraints on the levels of domestic financing available for the education sector. GPE support and advocacy, especially in light of the suspension of ESPIG funding, was insufficient to increase domestic funding or preclude cuts to existing funding levels. The Sector Budget Support modality through which the ESPIG was channeled did not substantially improve the quality of international education financing. ESPIG funds only contributed marginally to the volume of international education finance, doing little to offset its overall decline.

GPE contributions to sector plan implementation

State of sector plan implementation in Zambia, 2011-2019

The monitoring arrangements of the NIF III's Performance Assessment Framework (PAF) included annual joint sector reviews, which comprehensively tracked the achievement of activity-level targets against the previous year's action plan. The PAF tracked 34 priority policy indicators, outputs, and education outcomes, including the 6 DLMs included in ESBS, and assigned yearly targets to each. An assessment of these indicators indicates that by 2017, 11 of the targets (32 percent) had been fully achieved, 12 (35 percent) had been partially achieved, and 11 (32 percent) had not been achieved.

The foremost obstacle to NIF III implementation was a shortfall in sector financing. Financing shortfalls contributed to the inability to procure TLMs at all levels; inability to procure equipment to support the introduction of the vocational pathway in secondary education; inadequate transportation for monitoring educational programs; low staffing, most notably in rural areas; retraining teachers in the new curriculum; inability to conduct planned rounds of the EGRA and EGMA; and low levels of construction of ECE, primary, and secondary schools.

One of the major accomplishments of the NIF III period was the development and phased roll-out of a new curriculum, covering from ECE to 12th grade. This involved writing new curricula for each grade, introducing local languages as a language of instruction for ECE and grades 1-4, and introducing a vocational track to grades 8-12, including new academic subjects. This initiative required updating the teacher training curricula; developing, procuring, and distributing TLMs to all grades; and supplying supplemental educational materials to vocational classrooms.

GPE contributions

During the period under review, GPE's US\$ 35.2m ESPIG co-funded the ESBS Programme with DFID, who committed US\$ 58.1m, for a total of US\$ 93.3m. ESPIG funds accounted for 38 percent of the initial grant package, but because of the suspension and non-resumption of funding by the ESPIG's closing date of March 2019, GPE only disbursed US\$ 18.2m, which accounted for 25 percent of the project's total disbursement.

The ESBS modality offered greater predictability through its disbursements than either the pooled fund or the MoGE, which enabled a smoother implementation of NIF III components supported by the ESPIG during the 2014-2016 period. Bundling GPE and DFID funding reduced transaction costs, although these costs would have been similarly low had support been channeled through the pooled fund, which was used for the previous ESPIG.

Implications for GPE

A number of extraordinarily difficult factors, including acute resource shortages and transitions within the MoGE collectively impeded sector plan implementation toward the end of the NIF III period. GPE support was insufficient to overcome these challenges, especially after ESPIG funding was suspended.

- GPE primarily contributed to NIF III implementation through sector budget support and the ESPIG disbursement linked milestones (DLM), although the effectiveness of this support was curtailed by the suspension of funding, leaving nearly half of ESPIG funds undisbursed. While these funds facilitated sector plan implementation through 2016, their suspension prevented certain plan components whose implementation had been planned with ESBS funds from being implemented, or in some cases, prevented already-developed outputs from being used to full effect.

Factors other than GPE contributions affecting change

Factors that positively influenced change in the above described areas included major NIF III-aligned initiatives from development partners, such as: USAID's work on improving early grade reading outcomes; JICA's work on improving teacher professional development; and the World Bank's Zambia Education Enhancement Project (ZEEP).

Factors that negatively influenced change included (i) delays in restructuring the MESVTEE, which hampered the Ministry's responsiveness; (ii) weaknesses in MoGE coordination with publishers and staff shortages around procurement at decentralized levels, which led to delays in procurement and distribution of TLMs; and (iii) massive levels of turnover among MoGE staff, especially at the director level and above.

System level change

System level change

During the 2011-2019 period, notable system-level improvements were made through the introduction of a new general education curriculum and expansion of early childhood education. Changes include:

Access and equity

- **Increase in number of primary schools** from 8,382 in 2011 to 8,843 in 2017
- Over the same period, **the number of secondary schools increased** from 631 to 1,009, an increase of 59.9 percent
- The number of **ECE centers increased**, from “almost none” in 2011 to 1,849 centers in 2016
- **The number of bursaries targeting students (particularly orphans and vulnerable children, or OVC) in secondary education increased** by nearly three times, growing from 15,190 in 2011 to 48,220 in 2017, with 55 percent going to girls
- **Expansion of the school meal program** from 860,000 students in 2013 to 1.1 million students in 2017, reaching 2,590 schools
- **Introduction of the Fifty-Fifty policy** in 2011 which mandates that one girl be enrolled for every boy enrolled in primary and secondary education

Quality

- **Development of a new national curriculum** for all grades within general education in 2011, which led to the publication of the Education Curriculum Framework in 2013
- **Considerable delays in textbook procurement** meant that many students did not have access to updated learning materials over the period of evaluation
- The **Teaching Council was established** in 2014 and fully operational by 2017. It serves to regulate teacher training institutions, develop teacher qualifications, and promote continuing professional development
- **The number of primary teachers increased** from 65,014 in 2011 to 78,099 in 2017, while the number of secondary teachers increased from 22,866 to 28,171 over the same period
- **The rapid growth in the teacher workforce** has supported a decrease in the pupil-teacher ratio (PTR) at primary level, which fell from 52.2 in 2011 to 42.1 in 2017, nearly reaching the national standard of 40:1
- **Absenteeism among teachers is still high.** In 2013, only 52 percent of teachers were found to be teaching in their classrooms, while 8 percent were in classrooms but not teaching; 20 percent were not teaching and not in the classroom; and 18 percent were not in attendance

Sector Management

- MoGE demonstrated progress in reducing the annual number of financing audit irregularities from 60 in 2010 to 15 in 2015, but beginning in 2016 the number of irregularities increased and follow-up and monitoring of audit irregularities failed to take place

- The frequent transfers and departures among staff at or above director level often left senior positions empty for extended periods of time, weakened sector dialogue and relationships with cooperating partners, damaged continuity, eroded institutional memory, and constrained the ability of the MoGE to engage in strategic decision-making

Likely links between sector plan implementation and system level change

In the review period, the NIF III likely guided the achievement of nearly all of the identified system-level changes. It is important to note that these improvements were largely supported by donor partners.

Implications for GPE

Virtually all of the improvements made during the review period were called for in the NIF III, demonstrating the comprehensiveness of the document and suggesting it played an important role in guiding MoGE activities. Nevertheless, flawed or limited implementation of NIF III activities diminished the ability of MoGE to cause substantial systems-level change in many areas. Zambia's experience supports the GPE ToC assertion that managerial strength is necessary for broad system improvement.

Learning outcomes and equity

Changes in learning outcomes, equity and gender equality

Between 2011-2019, there have been modest improvements in education access and equity, but challenges remain in reducing repetition rates at primary and secondary levels. Historic data on regional disparities and equitable access for the hardest-to-reach children, including the poorest and those who are out of school, are lacking.

- **Pre-primary enrollment:** In 2014, there were 131k children enrolled in pre-primary institutions. Due to the expansion of facilities in 2016, the number of ECE centres increased to 1,849 lifting the number of enrolled pre-primary children to 160 thousand
- **Primary completion rate:** The completion rate for grade 7 has improved from 86.2 percent in 2014 to 91.8 percent in 2017. Among girls, the completion rate grew from 83.6 percent in 2014 to 90.3 percent in 2017. For boys, the completion rate improved from 88.9 to 93.4 percent over the same period
- **Primary to lower secondary transition rates:** The effective transition rate from primary to lower secondary increased from 59.9 percent in 2011 to 67.5 percent in 2017. Among girls, the transition rate increased from 54.6 percent to 69 percent, and for boys it grew marginally from 65.6 percent to 66.1 percent
- **Gender equality has almost been achieved** (and remains stable) in primary and secondary enrollment

- **Primary out of school rate:** Between 2012 and 2017, the share of out of school children of primary school age grew from 9.87 to 13.98 percent. Among girls, the share grew from 8.42 in 2012 to 12.11 in 2017, and among boys it grew from 8.06 to 15.82
- **Major regional disparities persisted** with Western and Northern provinces having higher primary repetition rates and primary dropout rates than Lusaka province
- **Available data suggests that a large number of the poorest children remain out of school**, with lower enrollment rates for the bottom income quintile and a large share of children with disabilities remaining out of school

Over the 2011-2019 evaluation period, there has been little progress in learning outcomes in basic education. Over the review period, Grade 5 National Assessment System results show a decline in English and Math learning assessments. Early grade reading and mathematics assessments indicate students are struggling to acquire foundational skills such as simple addition and subtraction or reading in the mother tongue language.

Likely links to observed system level changes

Progress in pre-primary enrollment and gender parity are likely linked to a variety of initiatives introduced during the review period such as the construction of ECE centers, increase in the number of trained teachers, and the Fifty-Fifty gender policy.

In addition, there are two areas where current progress at the system-level has the potential to lead to improved learning in the future:

- **Grants to schools:** The Education Sector Performance and Service delivery survey found that at school level the amount of grant the school received per child was positively correlated with higher student learning outcomes. If the average school grant amount continues to increase as it did between 2011 and 2016 and payment linked delays are addressed, learning outcomes may increase in the future.
- **Mother tongue language:** The new Zambian education curriculum includes provision for the use of the mother tongue language at ECE and lower primary level (grades 1-4) in 2017. There is considerable international evidence that using the child's mother tongue language as the language of instruction in early grades has benefits for learning and makes transition to instruction in the official language easier. Students in Zambia are taught in English starting in grade 5. It will be important to review how the transition from mother tongue to English at grade 5 is affecting primary completion rates in the future.

Implications for GPE

System improvements over the evaluation period likely contributed to improvements in access and equity, although learning outcomes have declined. GPE's theory of change implies that sector plan implementation and subsequent system-level changes will lead to improvements in equity, access and learning, but the experience of Zambia illustrates that implementation difficulties caused by both internal and external factors can significantly disrupt expected changes at impact level.

Conclusions/ Overall observations

GPE contributions

During the 2012-2019 review period, GPE contributed to funding and guiding the production of the ESSP primarily by providing funding for the ESA and supporting national and subnational level consultations. The evidence-based QAR process helped raise the overall quality of the plan by addressing areas that had previously been neglected.

GPE process requirements have incentivized or required collaboration between stakeholders and the continuation of sector dialogue when it was otherwise frequently absent, particularly given a context of sometimes strained relationships between donors and the MoGE, frequent transitions in MoGE leadership, and departure of donors from the sector.

GPE support to sector monitoring is mixed. Although GPE processes contributed to strengthening the JAR, by the end of the review period JAR quality had reverted to similar levels as the beginning of the review period. The ESBS disbursement linked milestones (DLMs) helped focus attention on a number of select indicators, but targets were only met intermittently, and the ESPIG disbursed just 23 percent of its budget.

GPE contributions to sector financing and plan implementation were less tangible. GPE support was insufficient to protect the education sector from spending cuts in 2015 and 2016, after education spending briefly surpassed 20 percent in 2014. Similarly, there is little evidence that GPE attracted additional **international financing** to the sector nor affected the quality of such financing. While GPE's funding was more predictable than other funding streams, the suspension of disbursements midway through the ESPIG period meant that only 51.7 percent of total ESPIG funds were released.

Emerging good practice

- **Regular visits from the Secretariat:** In addition to supporting progress in development, endorsement, and finalization of the ESSP, Secretariat visits to Zambia helped stakeholders navigate the political tensions between donors and GRZ during the review period.
- **Dedicated ministerial advisers:** As part of the DFID/GPE grant, a full-time education adviser was hired to work closely in the ministry. This adviser played a critical role in advancing sectoral progress by promoting accountability and supporting the enactment of governmental commitments.
- **A robust performance assessment framework:** The presence of a performance assessment framework (in conjunction with disbursement linked milestones) within Zambia helped to increase accountability in the sector while also shifting dialogue away from procedural discussions towards technical ones oriented at achieving outputs and outcomes.

1 Introduction

1.1 Background and purpose of this summative country level evaluation

1. The Global Partnership for Education (GPE) is a multilateral global partnership and funding platform established in 2002 as the Education for All/Fast Track Initiative (EFA/FTI) and renamed GPE in 2011. GPE aims to strengthen education systems in developing countries, in order to ensure improved and more equitable student learning outcomes, as well as improved equity, gender equality and inclusion in education.¹⁰ GPE is a partnership that brings together developing countries, donor countries, international organizations, civil society, teacher organizations, the private sector and foundations.

2. This country level evaluation (CLE), of GPE's support to the national education system of the Republic of Zambia, is part of a larger GPE study that comprises a total of 20 summative and eight formative CLEs. The overall study is part of GPE's monitoring and evaluation (M&E) strategy 2016-2020, which calls for a linked set of evaluation studies to explore how well GPE outputs and activities contribute to outcomes and impact at the country level.¹¹ Zambia was selected as one of 20 summative CLE countries based on sampling criteria described in the study's inception report.¹² As per the inception report and the study's Terms of Reference (TOR), the objective of summative CLEs is:

- to assess GPE contributions to strengthening education systems and, ultimately, the achievement of education results within a partner developing country in the areas of learning, equity, equality and inclusion; and hence,
- to assess the relevance, efficiency and effectiveness of GPE's theory of change (ToC) and of its country-level operational model.¹³

3. The primary intended users of CLEs are members of the Global Partnership for Education, including Developing Country Partners (DCPs) and members of local education groups (LEGs) in the sampled countries, and the GPE Board of Directors. The secondary user is the Secretariat. Tertiary intended users include the wider education community at global and country levels.

¹⁰ Global Partnership for Education (2016): GPE 2020. Improving learning and equity through stronger education systems. <https://www.globalpartnership.org/content/gpe-2020-strategic-plan>.

¹¹ In the context of this assignment, the term 'impact' is aligned with the terminology used by GPE to refer to changes in sectoral learning, equity, gender equality, and inclusion outcomes (reflected in Strategic Goals 1 and 2 of the GPE 2016-2020 Strategic Plan). While the CLEs examine progress towards impact in this sense, they do not constitute formal impact evaluations, which usually entail counterfactual analysis based on randomized control trials.

¹² See final Inception Report, 2018, <https://www.globalpartnership.org/content/country-level-evaluations-final-inception-report>, and subsequent update, the Modified Approach to CLEs, 2018. www.globalpartnership.org/content/modified-approach-country-level-evaluations-fy-ii-2019-and-fy-iii-2020

¹³ For details on the model, see Global Partnership for Education (2017): How GPE works in partner countries. <https://www.globalpartnership.org/content/how-gpe-works-partner-countries>

Box 1.1. Scope of this summative country level evaluation

This summative CLE is focused on eliciting insights that can help GPE assess and, if needed, improve its overall approach to supporting partner developing countries. It does *not* set out to evaluate the performance of the Government of Zambia (GRZ), of other in-country partners and stakeholders, or of specific GPE grants.

The core review period for this CLE runs from the start of the implementation of the 2011-2015/18 National Implementation Framework III (NIF III) to the development and completion of the 2017-2021 Education and Skills Sector Plan (ESSP). The period of review includes one ESPIG, one PDG, and one ESPDG.

1.2 Methodology overview

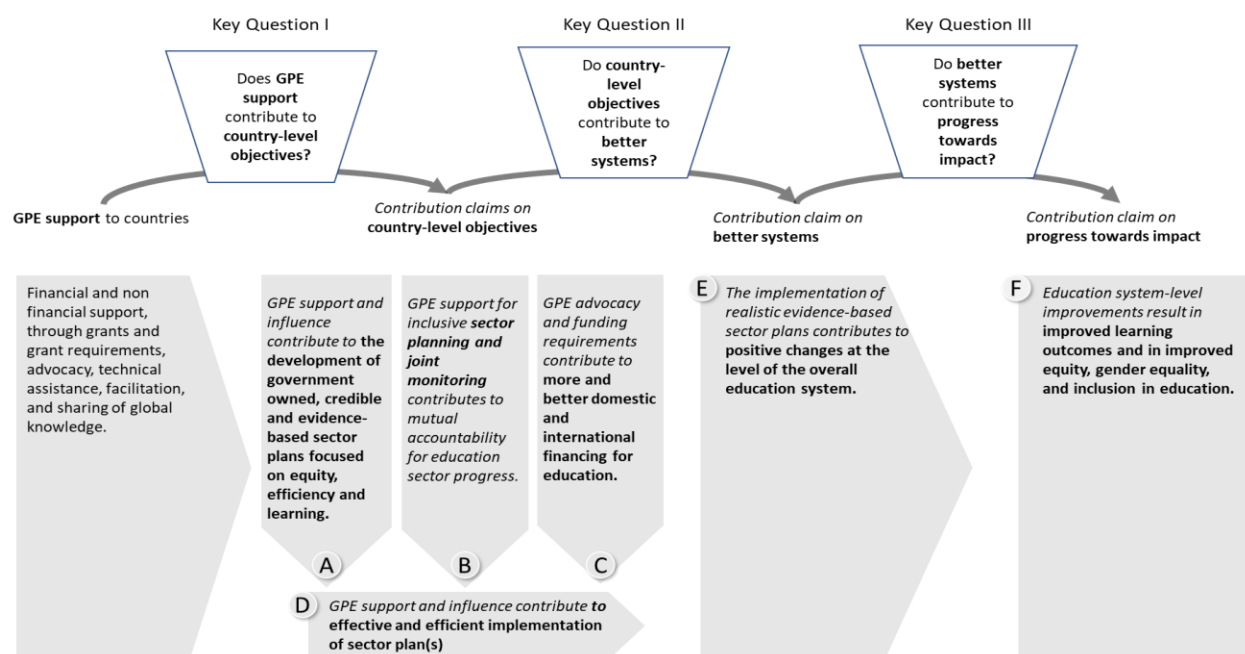
4. The guiding frameworks for the evaluation are the evaluation matrix (Appendix I) and the country-level theory of change for the Republic of Zambia (Appendix II).¹⁴ A brief summary of the CLE methodology is provided in Appendix III of this report. For further details, please refer to the final Inception Report for the overall assignment (January 2018).

5. For the Zambia CLE, the evaluation team consulted a total of 61 stakeholders from the Ministry of General Education (MoGE) and its agencies, from bilateral and multilateral donor agencies, from civil society coalitions and teacher training institutions, from non-governmental organizations, from the GPE Secretariat, and from other backgrounds (see Appendix V for a list of consulted stakeholders). Most of these stakeholders were consulted in Lusaka, Zambia between April 29 and May 10, 2019, while the remainder were consulted by phone/Skype shortly before or after the country visit. The evaluation team also reviewed a wide range of relevant documents, databases, websites as well as selected literature (see Appendix VI for a list of reviewed sources).

6. The report presents findings related to the three 'Key Questions' (KQs) from the evaluation matrix, which trace the contribution of GPE support to GPE country-level objectives (KQ I); of these country-level objectives to better education systems (KQ II); and of better education systems to progress towards impact-level objectives in terms of learning, equity, gender equality and inclusion (KQ III). The findings of this report are accordingly presented under three sections that each corresponds to one of the KQs. In turn, each section is divided into sub-sections that address key GPE contribution claims as per GPE's ToC. The three KQs and the six contribution claims (A, B, C, D, E, F) are shown in Figure 1.1.

¹⁴ This country-specific ToC was adapted from the generic country-level ToC that was developed in the assignment Inception Report.

Figure 1.1 The evaluation presents findings on key evaluation questions and contribution claims



7. Throughout the report, we use tables to provide readers with broad overviews of key CLE findings on the respective issue. To facilitate quick orientation, we use a simple color-coding scheme that is based on a three-category scale in which **green** equals ‘strong/high/achieved’, **amber** equals ‘moderate/medium/partly achieved’, **red** signifies ‘low/weak/not achieved’, and **gray** indicates a lack of sufficient data to rate the issue. In each table, the respective meaning of the chosen color coding is clarified. The color coding is intended as a qualitative orientation tool to readers, rather than as a quantifiable measure.

1.3 Structure of the report

8. Following this introduction, **Section 2** gives an overview of the national context of Zambia, with a focus on the education sector (section 2.2), and on the history of the country’s involvement with GPE (section 2.3).

9. **Section 3** presents evaluation findings related to GPE’s contributions to education sector planning; to mutual accountability in the education sector through inclusive policy dialogue and sector monitoring; to education sector plan implementation; and to domestic and international education sector financing.

10. **Section 4** discusses education system-level changes in Zambia during the period under review (2011-2019), as well as any likely links between these changes and the four areas of changes discussed in section 3 (sectoral planning, mutual accountability, plan implementation, and financing).

11. **Section 5** presents an overview of the impact-level changes in terms of learning, equity, gender equality and inclusion observable in Zambia over the course of the review period.

12. **Section 6**, finally, presents overall conclusions of the evaluation and outlines several strategic questions to GPE, with regards to the relevance, efficiency and effectiveness of GPE’s country level theory of change (ToC) and of its country-level operational model.

2 Context

2.1 Overview of Zambia

13. The Republic of Zambia, a land-locked country located in Southern Africa gained independence from Great Britain in 1964. Following independence, Zambia managed to avoid war and upheaval, earning a reputation for political stability. Independence leader and first President, Mr. Kenneth Kaunda ruled Zambia until 1991 when the first multi-party elections were held. As Africa's second largest copper producer, Zambia has experienced rapid economic growth but remains vulnerable to fluctuations in commodity prices. Between 2004 and 2014, Zambia had one of the world's fastest growing economies with real GDP growth averaging 6.7 percent per year. Between 2015 and 2017, economic growth slowed due to falling copper prices, reduced power generation due to low rainfall and dependency on hydropower, and depreciation of the kwacha (Zambia's national currency).¹⁵ Despite its status as a lower middle-income country, Zambia has widespread rural poverty and high unemployment.¹⁶ These challenges are made worse by a high birth rate (5.58 total fertility rate, 2018)¹⁷ and a relatively high HIV/AIDS burden (11.5 percent adult prevalence rate, 2017)¹⁸.

14. In 2018, the total population of Zambia was 16,445,079 and growing at a rate of 2.91 percent per year.¹⁹ Forty four percent of the country's population live in urban areas, one of the highest levels of urbanization in Africa.²⁰ The literacy rate among individuals above 15 years of age is 63.4 percent. These rates differ significantly between men and women (71 percent and 56 percent in 2015, respectively). Zambia's Human Development Index (HDI) score is also low, at 0.588, placing it at 144 out of 189 countries with HDI ratings.²¹ Zambia is divided in 10 provinces. Development indicators are generally higher in Lusaka and Copperbelt provinces and lower in Northern and Luapula provinces. There are seven official languages in Zambia: Bemba, Nyanja, Lozi, Tonga, Kaonde, Luvale, and Lunda.²² Nearly 75 percent of Zambians are Protestant and 20 percent are Roman Catholic.

15. The Government of Zambia's (GRZ) vision for development is defined by their five-year plans. The 2017-2021 National Development Plan (7NDP) is situated within Zambia's *Vision 2030*, and presents five priorities for the 2017-2021 period, including reducing developmental inequalities; enhancing human development; economic diversification and job creation; poverty and vulnerability reduction; and creating a conducive governance environment for a diversified economy. These priorities are aligned with regional and global initiatives such as the Southern African Development Community's (SADC) Regional Indicative

¹⁵ The World Factbook, "Zambia". CIA. <https://www.cia.gov/library/publications/the-world-factbook/geos/za.html> (accessed June, 2019)

¹⁶ Zambia Country Profile. BBC. <https://www.bbc.com/news/world-africa-14112449> (accessed June, 2019).

¹⁷ Total fertility rate (TFR) refers to total number of children born or likely to be born to a woman in her life time.

¹⁸ The World Factbook, "Zambia". CIA. <https://www.cia.gov/library/publications/the-world-factbook/geos/za.html> (accessed June, 2019)

¹⁹ Ibid.

²⁰ Ibid.

²¹ United Nations Development Programme Human Development Indicators. "Zambia", <http://hdr.undp.org/en/countries/profiles/ZMB> (accessed June 2019).

²² Zambia Country Profile. BBC. <https://www.bbc.com/news/world-africa-14112449> (accessed June, 2019).

Strategic Development Plan, the African Union's Agenda 2063, the Common Market for Eastern and Southern Africa (COMESA) protocols, and the Sustainable Development Goals.²³

2.2 Education sector in Zambia

16. Zambia's main legislation on education is the 2011 Education Act, which identifies a person's right to early childhood education, basic education, and high school education. The 2011 Act obligates the State to make general and vocational education progressively available and accessible to all persons.²⁴ The 2011 Education Act is the culmination of a series of reforms that started with the introduction of free basic education in 2002, through the Basic Educational Sub-sector Investment Programme (BESSIP).²⁵ However, Zambia has struggled to raise sufficient resources to honor the commitment of fee free basic education. At present, nearly 55 percent of primary schools charge fees requiring parents to contribute financially as government grants are insufficient.²⁶ In addition to the 2011 Education Act, the education sector in Zambia is guided by three other policy documents: the Educating our Future Policy of 1996, the TEVET Policy of 1998 (Skills Development), and the Science and Technology Policy of 1996. All three policies are currently being revised to reflect new developments in the sector.

17. The education sector is governed by two ministries with distinct responsibilities. The Ministry of General Education (MoGE) manages early childhood education (ECE), primary, secondary, as well as youth and adult learning education (YALE). The Ministry of Higher Education is responsible for university education, TEVET, science, technology, and innovation. The responsibility of providing pre-service and in-service teacher training falls under the MoGE, who collaborate with teacher training institutions that fall within the structure and management of MoHE.²⁷ This governing structure was introduced in 2016, following the decision to split the Ministry of Education, Vocational Training and Early Education (MESVTEE) into two ministries. In 2016, MoGE and MoHE participated in a process, led by the Cabinet Officer, to revisit strategic implications of their current structures and functions. For MoGE, this resulted in a proposed redesign of its organizational structure to better align with the program structure required by Output-Based Budgeting (OBB), which was introduced to MoGE in 2015. Changes from the MoGE restructure included the creation of two separate Directorates of Primary and Secondary Education. Most importantly, a single organizational unit was to become accountable for the implementation of the main programs of MoGE.²⁸

18. The structure of the education system of Zambia has, for various reasons, changed several times since independence. While independent Zambia adopted the 7-5-4 system (7 years of primary, 5 years of secondary, and 4 years of tertiary) in 1964, in 1996 Zambia adopted a 9-3-4 structure, (9 years of basic education, 3 years of secondary, and 4 years of tertiary). After a change in government in 2011, Zambia shifted back to a 7-5-4 structure. Each of these structural changes was justified at the time of the change.

²³ Ministry of General Education and Ministry of Higher Education, "Education and Skills Sector Plan 2017-2021," December 2018.

²⁴ Education Act 2011

²⁵ UNESCO Zambia Policy Review, 2016 <https://unesdoc.unesco.org/ark:/48223/pf0000246408>

²⁶ Ministry of General Education and Ministry of Higher Education, "Education and Skills Sector Plan 2017-2021," December 2018.

²⁷ Ibid.

²⁸ Ibid.

Reasons for the most recent change include arguments that 1) basic schools (grades 1-9) did not have the facilities or the trained teachers needed for teaching at grades 8 and 9; 2) the teacher training system was aligned to prepare teachers for primary and secondary and never focused on basic education; 3) some private and grant-aided schools resisted the change and continued to have primary and secondary schools; and 4) the collection of fees had become a challenge for grades 8 and 9.²⁹

19. In addition to the formal system, there is a non-formal education system that operates to serve, among others, displaced persons, school-age children who have either dropped out of school or have never attended formal school, geographically isolated children, street and working children, as well as adults that want to be literate.³⁰ The MoGE recognizes community schools and Interactive Radio Centres provided by the Education Broadcasting Services as two alternative approaches to primary schooling. The Ministry has equally recognised open and distance learning (including e-learning) as a mode of education provision.³¹

20. Following the Government's approval of the National Decentralization Policy in 2014, MoGE started preparations for the decentralization and devolution of ECE and adult education to the local authorities.³² The decentralization of primary education had been in motion since 2001.³³ The Ministry has convened meetings with Cabinet Office, Ministry of Local Government and Housing, and other stakeholders to outline the process of implementing the National Decentralisation Policy. The drive to decentralization will continue to have major implications on the effective implementation of the 2017-2021 Education and Skills Sector Plan as many local and district level authorities will need to rapidly build capacity.

21. In 2015, the Ministry started revising the Education Policy, the Education Act, and started formulating the ECE policy. These regulatory frameworks are expected to address issues of devolution, the operationalization of the Teaching Council, the Higher Education Authority and the National Qualifications Framework.³⁴

Table 2.1 Official school age, by level³⁵

LEVEL AND GRADE	AGE GROUP (IN YEARS)	CHILDREN OF SCHOOL AGE	STUDENTS IN SCHOOL
Early childhood education (pre-primary)	3-6	2,151,098	n/a
Primary (Grades 1- 7)	7-13	3,292,072	3,287,907
Secondary (Grades 8-12)	14-18	2,005,070	851,483
Tertiary	>19	-	22,753
Total:	-	7,448,240	4,139,390

²⁹ Ministry of General Education. "Education Sector Analysis – Final Draft Version", January 31, 2018

³⁰ Ibid.

³¹ Ibid.

³² Ministry of General Education (MoGE), 2017 Education Statistical Bulletin.

³³ Das, Dercon, Krishnan, and Habyarimana. World Bank, 2002.

³⁴ Ibid

³⁵ Source: 2017 Education Statistical Bulletin; UNESCO Institute of Statistics (UIS) database, data.uis.unesco.org.

22. Based on data from the UNESCO Institute of Statistics (UIS) and MoGE's 2017 Education Statistical Bulletin, the Zambian education system includes the following:

- **Out of school children:** In 2016, about 20 percent of primary-aged and 60 percent of secondary-aged children were out of school or about 575,000 children aged between 7 and 18. Many of the younger children who are out of school can be expected to enter the system later, increasing the problem of over-age students.³⁶
- **Classrooms:** There was a recent increase in permanent classroom at primary level. The total number of permanent classroom increased from 39,941 in 2016 to 43,627 in 2017. Infrastructure development has continued in order to increase the classroom spaces at all levels. In 2016, the total number of permanent classroom spaces reported for secondary schools was 10,113 and this increased to 10,216 in 2017.³⁷ Despite these recent gains, there is an acute shortage of primary classrooms. At current usage and rates of repetition, it is estimated that 1,400 new primary classrooms need to be constructed each year until 2022 simply to keep up with population growth.³⁸ Currently there are 66 pupils per classroom on average, and 39 percent of classrooms are being used for double-shifting.³⁹ At the secondary level, the student to classroom ratio is 75.⁴⁰
- **Teachers:** A total number of 106,270 teachers were reported in 2017, an increase of 10,042 from the 96,228 teachers in 2016. Of the total number of teachers, 78,099 were primary school teachers and 28,171 were secondary school teachers.⁴¹

23. Since 1964, Zambia has developed seven national development plans (NDPs) that outline the government's socio-economic priorities over five-year periods. Operationalizing the NDPs are sectoral national implementation frameworks (NIFs) which provide sector-specific implementation plans for achieving NDP goals. Over the 2011-2019 review period, the Government of Zambia (GRZ) developed two education sector plans: the 2011-2015 Education Sector National Implementation Framework III (NIF III) and the 2017-2021 Education and Skills Sector Plan (ESSP).

³⁶ Ministry of General Education. "Education Sector Analysis – Final Draft Version", January 31, 2018

³⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

³⁸ Ministry of General Education. "Education Sector Analysis – Final Draft Version", January 31, 2018

³⁹ Ibid.

⁴⁰ Ibid.

⁴¹ Ibid.

Table 2.2 *Timeline of key policy documents in the Zambian education sector, 2011-2019*

CATEGORY	PRE 2010	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Review Period			Review period for this CLE: 2011-2019										
National & sector policies	2006-2010 Fifth National Development Plan		2011-2015 Sixth National Development Plan & 2013-2016 Revised Sixth National Development Plan						2017-2021 Seventh National Development Plan				
Sector Plans	2008-2010 NIF II		2011-2015 NIF III (+ extension)						2017-2021 ESSP				
	NIF II Implementation			NIF III Implementation 2012-2017 (+ extension)									
Joint Sector Reviews			
GPE Grants	ESPIG 2009-2011, \$60 m												
					ESPIG 2013-2018, \$35.2 m								
								ESPDG 2016-2018, \$498k					

2.3 GPE in Zambia

24. Zambia joined GPE/FTI in 2008 and is represented on the Board through the Africa 1 constituency. Since joining GPE, Zambia has received three grants from GPE: one Education Sector Plan Development Grant (ESPDG) and two Education Sector Plan Implementation Grants (ESPIG), one of which was through FTI. Zambia is currently in the process of preparing an application for a PDG. Over the course of the evaluation period, DFID was the grant agent (GA) for the ESPIG and UNICEF was and still is the Coordinating Agency (CA). UNICEF was the GA for the ESPDG. This evaluation includes a review of the second ESPIG, ESPDG, and the PDG. Dates and values for all grants are shown in Table 2.3.

Table 2.3 *GPE grants to Zambia*⁴²

GRANT TYPE	YEARS	ALLOCATIONS (US\$)	DISBURSEMENTS(US\$)	GRANT AGENT
Program Implementation Grant (ESPIG)	2013-2018	35,200,000	21,264,000	DFID
	2009-2011	60,200,000	60,200,000	Netherlands
Sector Plan Development Grant (ESPDG)	2016-2018	498,391	498,391	UNICEF
Plan Development Grant (PDG) ⁴³	2018 ⁴⁴	382,500 (requested)	n/a	World Bank

⁴² Source: "Zambia", GPE website, <https://www.globalpartnership.org/country/zambia>. All links in this document are as of June 2019. All figures in the table are in current US\$ (as of year of grant approval).

⁴³ PDG Application 2018

⁴⁴ Application still in process.

25. While Zambia is eligible to receive up to US\$10m from GPE's multiplier fund, it has not yet applied for or received funds through the multiplier as Zambia has just recently completed its 2013-2018 ESPIG. Zambia also received grants through CSEF I, II, and III, which were to the Zambia National Education Coalition (ZANEC), a coalition of non-governmental organizations to support its engagement in education sector policy dialogue and citizens' voice in education quality, equity, and financing and sector reform.

3 GPE contributions to sector planning, dialogue/monitoring, financing, and implementation

3.1 Introduction

26. This section summarizes findings related to Key Question I of the evaluation matrix: “Has GPE-support to Zambia contributed to achieving country-level objectives related to sector planning, to sector dialogue and monitoring, to more/better financing for education, and to sector plan implementation? If so, then how?”⁴⁵

27. The GPE country-level theory of change, developed in the inception report and adapted to the Zambian context (Appendix II), outlines four contribution claims related to GPE’s influence on progress towards achieving country-level objectives (one claim per objective).

28. This section is structured around and tests the four contribution claims by answering two sub-questions for each phase of the policy cycle. First, in Zambia, what characterized sector planning, mutual accountability, sector financing and ESP implementation respectively during the period under review? And second, has GPE’s support contributed to observed changes in (and across) these dimensions and, if so, how?

⁴⁵ Improved planning, dialogue/monitoring, financing, and plan implementation correspond to Country-Level Objectives (CLOs) 1, 2, 3 and 4 of GPE’s 2016-2020 Strategic Plan.

3.2 GPE contributions to education sector planning⁴⁶

Overview

29. This section addresses the following Country Evaluation Questions (CEQs):

- What characterized the education sector plan in place during the core 2011-2019 period under review? (CEQ 1.1.b)
- Has GPE support to sector planning contributed to better (more relevant, more realistic, government-owned) sector plans? (Key Question V)⁴⁷ During the 2011-2019 period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support? (CEQ 3.2)
- What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector planning? (CEQ 3.1)
- What are implications of evaluation findings for GPE support to Zambia? (Key Question IV)

30. A high-level overview of evaluation findings on sector planning is provided in table 3.1. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.1 Overview: CLE findings on sector planning and related GPE contributions in 2011-2019⁴⁸

DEGREE OF PROGRESS TOWARDS A GOVERNMENT-OWNED, ROBUST ESP	DEGREE OF GPE CONTRIBUTION ⁴⁹	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ⁵⁰				
		1	2	3	4	5
Achieved: MoGE and MoHE led a data-driven process to develop the 2017-2021 ESSP, representing improvement over the 2011-2015 NIF III in prioritization and relevance.	Strong: There is evidence that GPE financial and non-financial support contributed to a more relevant and data-driven plan and 2017-2021 planning process.					

⁴⁶ This section addresses evaluation questions CEQ 1.1 b and 1.2 b-d, as well as to (cross-cutting) CEQs 3.1 and 3.2.

⁴⁷ In particular: To what extent has the revised Quality Assurance and Review (QAR) process for education sector plans contributed to the development of better-quality education sector plans? Why? Why not? (CEQ 9); To what extent have the revised ESPDG mechanism and/or ESPIG grant requirements (under the GPE New Funding Model launched in 2015) contributed to the development of better-quality education sector plans? Why? Why not? (CEQ 10); To what extent has GPE support to inclusive sector dialogue influenced sector planning? (CEQ 11b).

⁴⁸ Colors stand for 'strong' (green) 'modest' (amber), 'minimal to not detectable' (red), or 'insufficient data' (grey)".

⁴⁹ The assessment is based on whether the CLE found evidence of (i) GPE support likely having influenced (parts of) sector planning; (ii) stakeholder perceptions on the relevance (relative influence) of GPE support (iii) existence or absence of additional or alternative factors beyond GPE support that were equally or more likely to explain (part of) the noted progress. The same assessment criteria are used for rating GPE contributions in all following chapters.

⁵⁰ For sector planning, the five underlying assumptions in the country level ToC were: (1) country level stakeholders having the *capabilities* to jointly improve sector analysis and planning; (2) stakeholders having the *opportunities* (resources, time, conducive environment) to do so; (3) stakeholders having the *motivation* (incentives) to do so; (4) GPE having sufficient leverage within the country to influence sector planning, and (5) EMIS and LAS producing relevant and reliable data to inform sector planning.

Characteristics of sector planning during the 2011-2019 review period

Finding 1: Although education sector planning during the review period was characterized by numerous delays such as late ownership of the planning process, the quality of resulting planning documents has improved in some domains. However, challenges remain in ensuring sector plans are achievable and operational.

31. Zambia has a strong tradition of national planning. The current national plan is the seventh in a series that started in 1964 following independence.⁵¹ However, there have been periods in which national planning processes have been absent. Three national development plans were implemented in succession, but the Fourth National Development Plan launched in 1989 was “abandoned in 1991 following the introduction of the multiparty system.”⁵² After a ten-year absence, the national planning process was reintroduced in 2002 leading to the development of the revised fourth, and new fifth, sixth and the seventh national development plans.
32. There are three tiers of national plans in Zambia. At the top is Vision 2030, an ambitious document outlining Zambia’s long-term plan to become a “prosperous middle-income country by 2030.” Since 2006, Vision 2030 has been the guiding document for all national development plans (NDPs) -- the second tier of planning documents. NDPs outline the government’s socio-economic priorities over a five-year period.⁵³ Plans for operationalizing the NDPs are described in sectoral national implementation frameworks (NIFs), the third tier of national planning documents. NIFs provide sector-specific roadmaps, annual implementation plans, and budgets for attaining NDP objectives and the aspirations of Vision 2030.⁵⁴
33. Over the 2011-2019 review period, the Government of Zambia (GRZ) developed two education sector plans: the 2011-2015 Education Sector National Implementation Framework III (NIF III) and the 2017-2021 Education and Skills Sector Plan (ESSP). Both education sector plans are/were aligned with the GRZ’s NDPs: the Sixth National Development Plan (SNDP) and the 2017-2021 Seventh National Development Plan (7NDP).⁵⁵
34. The change in name from NIF to ESSP is not the only difference between the two sector plans.⁵⁶ The overarching strategic focus of the ESSP is to improve the *quality* of education. The ESSP states that its

⁵¹ The national plan is the central plan for all sectors.

⁵² Independent Appraiser - Rwehera, Mathias. “Zambia ESSP 2017-2021 Appraisal Report – Revised,” November 22, 2018.

⁵³ Five-year periods are arranged to match the terms of the elected government.

⁵⁴ Ministry of General Education and Ministry of Higher Education, “Education and Skills Sector Plan 2017-2021,” December 2018.

⁵⁵ Contrary to its predecessor plans, the 7NDP does not have separate sector chapters, and so there is no separate education chapter. Rather, the ‘Education and Skills Development Sector’ falls under the strategic area ‘Enhancing Human Development’, and under the development outcome of ‘Improved Education and Skills Development’. The key strategies highlighted in the Plan are: a) Enhance access to quality, equitable and inclusive education; b) Enhance access to skills training; c) Enhance private sector participation; d) Continuous review of curriculum; and e) Enhance role of science, technology and innovation (from DFID Report).

⁵⁶ The newly established Ministry of Development and National Planning had instructed that the 7NDP would have no sector chapters and that all sectors should develop strategic plans instead of national implementation frameworks (NIF). Therefore, MoGE would develop the 2017-2021 Education and Skills Sector Plan (ESSP). This would later change to cover both MoGE and MoHE sector plans. (from DFID report)

“overall objective is to focus on raising the levels of learning outcomes” through improved efficiency, quality, access and equity in service delivery. This represents a shift from NIF III’s prioritization of access as a strategic objective. According to NIF III, “the goal of the education sector during 2011-2015 is to increase equitable access to quality education and skills.”

35. Despite shifts in prioritization, there remains a high degree of continuity between the two plans. The ESSP continues NIF III initiatives linked to the revised curriculum of 2014, the elevation of skills-based education and TVET as a sector priority, and the focus on early childhood education among others. Table 3.2. summarizes key sector issues and plan priorities from both sector plans.⁵⁷

Table 3.2 Key sector issues and plan priorities for the NIF III and ESSP planning cycles

2011-2015 NIF III	2018 EDUCATION SITUATIONAL ANALYSIS
<p>Key issues identified (as per NIF III Sector-level context):</p> <ul style="list-style-type: none"> • Insufficient infrastructure and desks. • Inadequate teaching and learning materials. • Low learning achievement in early grade literacy and numeracy. • Low learning achievement especially in Science and Mathematics. • Low teacher motivation resulting in high teacher absenteeism. • Low capacities to utilize available data for effective planning and decision making. • Poor coordination of key stakeholder mobilization and participation. • Delayed disbursement of funds. • Ineffective teacher supervision and management. • Delays in updating and reviewing the curriculum at primary, secondary, and TVET. 	<p>Key issues identified (as per executive summary):</p> <ul style="list-style-type: none"> • The ECE system is underdeveloped and teachers aren’t trained. • At primary level, Grade 5 assessments show stagnation since 1999. • Fewer than one-third of children aged 5-6 are enrolled in ECE. • One-third of primary school completers can’t access lower secondary school. • High repetition rates in primary school. • Low retention rates in secondary school. • High rates of teacher absenteeism. • Insufficient number of teachers at all levels. • Children from rural areas do not participate as much as children from urban zones. • Girls are not performing as well as boys in tests as early as Grade 2.
2011-2015 NIF III	2017-2021 ESSP
<p>Nine broad objectives:</p> <ol style="list-style-type: none"> 1. Increase access, efficiency and equity to quality ECE and Primary Education 2. Increase access, efficiency and equity to quality secondary school education 3. Increase the number of qualified and competent teachers in schools 4. Increase access to science, technology, and innovation⁵⁸ 5. Increase access, participation and equity in the provision of quality university education 6. Increase efficiency and equitable access to quality TVET 7. Increase adult literacy levels 	<p>Under the strategic objective of improving learning, the key priority areas within the themes of efficiency, quality, access, and equity are:</p> <ul style="list-style-type: none"> • ECE • Primary education • Secondary education • AMEP/YALE • Teacher Education, Management and Specialized Services • University Education • TVET

⁵⁷ Highlighted sectoral issues are based on the 2011-2015 NIF III and the 2018 Education Situational Analysis.

⁵⁸ Specifically, to (i) give priority to the teaching of science and technology subjects in educational institutions at all levels, (ii) promote research and innovation, and (iii) promote collaboration between industry and research institutions. (2011-2015 NIF III)

8. Expand and improve infrastructure
9. Review the curriculum at all levels to make it relevant and responsive to national aspirations and education needs.

36. For the most part, identified sector issues and plan priorities are strongly linked. The 2011-2015 NIF III prioritization of access reflected key input related sector constraints such as poor infrastructure and classroom facilities and inadequate amounts of TLMs. However, issues related to low learning achievement in early grade literacy and mathematics, and in science and mathematics in higher grades may have been deprioritized in the 2011-2015 NIF III as quality concerns continue hamper the sector. The 2018 ESA, for example, identified that very little progress has been made in Grade 5 assessments since 1999. As a result, the 2017-2021 ESSP rightly prioritizes quality and efficiency given stagnation in learning achievements, high primary repetition rates, and low secondary retention rates. According to the ESSP appraisal, the main challenges faced by the education system are taken up in the ESSP (specifically in Chapters 3 and 4).
37. ESSP development was initiated by the MoGE in 2015⁵⁹ and developed in parallel with the 7NDP, following the end of the 2011-2015 SNDP.⁶⁰ In January 2016, MoGE with assistance from the Zambia Education Sector Support Technical Assistance facility (ZESSTA), started to review and identify lessons from NIF III implementation.⁶¹ These lessons fed into the development of outcome indicators and cost projections for ESSP and the education and skills chapter of the 7NDP.⁶² Three months later a roadmap for ESSP development and the education and skills chapter of the 7NDP was produced, and in June 2016 MoGE and MoHE, through support from UNICEF, applied to receive funding from GPE for an Education Sector Plan Development Grant (ESPDG). Using ESPDG funds, GRZ consulted key stakeholders at national, provincial, and district levels, undertook a set of diagnostic studies, and conducted a comprehensive education situational analysis (ESA). Information from these initiatives fed simultaneously into the education and skills chapter of the 7NDP and draft ESSP framework.
38. A participatory process was used to develop the ESSP framework and identify ESSP strategic priorities. A team including planning officials from both MoGE and MoHE, officials from Cabinet Office and the Ministry of National Development Planning (MoNDP), national and international technical assistance (TA), and representatives from CPs were all part of developing the ESSP framework. Strategic priorities for the ESSP were subsequently agreed to by a variety of stakeholders through a similarly participatory

⁵⁹ Education sector planning in Zambia is led by the Directorate of Planning and Information (DPI) in the MoGE and the Directorate of Planning and Development (DPD) in the MoHE. The two Directorates work together through a technical committee that is assisted by national and international Technical Assistants (TA) as requested by the two Ministries. Technical committees include, for example, the Gender Committee, Monitoring and Evaluation Technical Committee (METC), and the Financial Management Committee (FMC).

⁶⁰ Ministry of General Education and Ministry of Higher Education, "Education and Skills Sector Plan 2017-2021," December 2018, pg 18.

⁶¹ ZESSTA is a technical assistance program funded by DFID/GPE under the ESBS grant.

⁶² A set of 15 key lessons were identified from the review. Examples of lessons include 1) Plans have been activity-based and have lacked a clear theory of change, 2) NIF III was overly complex with targets that could not be achieved, 3) the cost projection model was not well-aligned with activity targets, 4) tracking of implementation progress was hampered by data limitations, 5) under NIF III, there has not been much attention for geographical and income disparities, and 6) the conceptualisation of quality in NIF III was limited to quality inputs, not learning.

and consultative process. Workshops were regularly and actively attended by officials from both MoGE (HQ, Provincial, District and school level) and MoHE, Teacher Unions, NGOs, and CSOs.⁶³ At the sub-national level, consultations were held with selected school staff and the Deans of District Education Board Secretariats (DEBS) and Deans of Provincial Education Office (PEO).⁶⁴ These meetings were facilitated by international and national consultants who ensured ESSP priorities were relevant, data-driven, and aligned with the 7NDP.

39. A variety of supporting analyses and documentation were produced following agreement of ESSP priorities. First, a system simulation and cost projection model generating a range of possible projected expenditure scenarios was developed to provide a basis for further prioritization and finalization of primary education activities. Second, a comprehensive M&E framework was developed to provide a basis against which GRZ and other relevant stakeholders could collaboratively track progress towards the prioritized objectives. Finally, an implementation plan (IP) was produced to facilitate annual planning at the sub-sector level based on the ESSP, including annual work plans and budgets for the MoGE and MoHE. These were viewed by most stakeholders as well aligned with the ESSP. After an atypically long three-year process that also included a quality assurance review from GPE, the 2017-2021 ESSP was finalized in December 2018.⁶⁵
40. ESSP development was marred by significant delays due to a number of factors, including:
- a. **Late ownership of the ESSP development process by the two ministries in charge of education.** Although the MoGE initiated the start of ESSP development, it took considerable time for MoGE and MoHE to agree on the development of one single ESSP instead of two separate plans – one for basic education and the other for higher education. In addition, it is important to note that the two new ministries were in the process of clarifying their own mandates, governance structure, and responsibilities following the split of the Ministry of Education, Vocational Training and Early Education (MESVTEE) into two ministries in 2016. The time taken by the government to clarify the division of labor between the newly created MoGE and MoHE have indirectly contributed to the lack of clarity regarding who, between the two ministries, should assume ownership of ESSP process during the early stages of its development.⁶⁶
 - b. **Delayed publication of the 7NDP and other key education policy documents.**⁶⁷ In 2016 and the first half of 2017, ESSP delays were also due to the stalled development of the 7NDP, to which the ESSP needed to be aligned. Since the 7NDP supersedes all sectoral plans, ESSP development had to pause until the 7NDP was finalized. This coincided with the prolonged review of the National Education Policy, which began in 2015 and has still yet to be completed, and the review of the 2011 Education Act, which commenced in 2012

⁶³ Ministry of General Education and Ministry of Higher Education, “Education and Skills Sector Plan 2017-2021,” December 2018, pg 18.

⁶⁴ Independent Appraiser - Rwehera, Mathias. “Zambia ESSP 2017-2021 Appraisal Report – Revised,” November 22, 2018. Through the decentralized policy, GRZ established three levels of education governance: the national headquarters in Lusaka, ten provincial education offices (PEOs), and 109 DEBs.

⁶⁵ According to the GPE Secretariat, education sector plans typically take between 12 to 24 months to develop. Ref: Zambia ESPDG Revision, CL Assessment 3_March 2018.

⁶⁶ In a reversal of a 2011 decision, the MESVTEE was split into the MoGE and MoHE in 2015 causing some disruptions in clarifying, once again, the governance structure and roles and responsibilities of the two Ministries.

⁶⁷ Independent Appraiser - Rwehera, Mathias. “Zambia ESSP 2017-2021 Appraisal Report – Revised,” November 22, 2018.

and is still ongoing.⁶⁸ Although delays in the review of these important policy documents did not directly affect ESSP development, stakeholders noted that the absence of an overarching education policy has been detrimental to adequate priority setting in the sector.⁶⁹

- c. **Disruptions caused by external technical assistance.** ESSP development was supported by external consultants hired by the ESPDG GA to provide technical assistance (TA) for ESSP and ESA development. The first team hired for the TA role was dismissed in 2018 following stakeholder criticism of the quality of the first ESA draft and suboptimal stakeholder participation during the initial stages of ESSP development.⁷⁰ A new team of external consultants was subsequently hired to assume TA responsibilities. Transition between the two teams likely contributed to delays in ESSP development. One stakeholder described the process of engaging with different consultants as “cumbersome” and remarked that once the new team of consultants arrived, ESSP development began to run more efficiently.

41. Despite delays, the final 2017-2021 ESSP represents an improvement in quality relative to the 2011-2015 NIF III. Table 3.3. below compares the quality of the two plans. The GPE’s assessment of the quality of the final 2011-2015 NIF III is presented in the first column under the heading “GPE Results Framework Ratings,” and GPE’s assessment of the quality of the 2017-2021 ESSP at appraisal stage is presented in the second column.⁷¹ It is important to note the different stages at which GPE assessments have been made. The 2017-2021 ESSP assessment was made at the appraisal stage and does not reflect GPE’s final assessment of the plan. This evaluation analyzes the changes between the two final plans in the fourth column using GPE’s ESP standards as the measurement of comparison.

⁶⁸ The initiation of these policy reviews come at a time of change in Zambia’s leadership. In 2012 Zambia had a newly elected Patriotic Front Government and education was one of the four core sectors identified by the new government. The 2011 Education Act was driven by the previous government led by the Movement for Multi-Party Democracy.

⁶⁹ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

⁷⁰ GPE Secretariat provided feedback on the ESA in May 2017, comments included the lack of government and CSO involvement during initial planning phases.

⁷¹ As part of the independent appraisal check, the Secretariat assess the quality of the ESSP in relation to the GPE/IIEP guidelines and standards of best practice. According to the Secretariat, the ESSP meets all seven quality standards (Appraisal check Zambia ESSP 2017-2022).

Table 3.3 GPE ratings of plan quality, and evaluator assessment of difference between plans⁷²

ESP/TEP STANDARDS	GPE RESULTS FRAMEWORK (RF) RATINGS		CHANGE/IMPROVEMENT BETWEEN THE TWO PLANS (EVALUATOR ASSESSMENT BASED ON INTERVIEWS AND DOCUMENTS, E.G. PLAN APPRAISALS)
	NIFIII 2011-2015	ESSP 2017-2021	
Overall vision (n/a)	2/2	1/2	No change. Both NIF III and ESSP clearly define sector priorities, objectives, and activities that are aligned to their NDPs and Vision 2030. ⁷³ Principles and values of the ESSP are provided in the final ESSP. ⁷⁴
Strategic	12/14	7/14	Slight decline. The ESA was a key input in developing the ESSP – a feature that was absent from NIF III formulation. As a result, the ESSP identified most of the sector challenges, particularly around issues of quality and relevance, access and equity, and management and governance. However, there continues to be gaps in terms of addressing the identified causes of sector challenges in the strategic plan. However, it is likely that GPE’s assessment of NIF III partly reflected an evolution in the importance of quality relative to access during the move from FTI to GPE.
Holistic (ESP) / targeted (TEP)	5/6	6/6	Some improvement. Both plans discuss all levels of education and offer discussion of capacity development needs. Although the ESSP includes sections on all major sub-sectors (ECE, primary, secondary, tertiary, adult learning, non-formal and vocation), a few stakeholders commented on the imbalance of analysis among all sub-sectors, with additional focus and attention given to primary education. ⁷⁵

⁷² GPE ratings are taken directly from GPE’s results framework data, indicator 16a, 2016. To improve comparability, the table place comparable ESP/TEP criteria/sub-criteria on the same line. The numbers inside the second and third column cells indicate the number of points awarded to a given plan under GPE’s indicator 16a, relative to the maximum possible number of points that could have been awarded. Most items being rated by GPE can be rated zero (not addressed), one (partially addressed), or two (fully addressed), though detailed rating guidelines vary.

⁷³ The coherence between ESSP and 7NDP strategies is made explicit in the ESSP Annex.

⁷⁴ GPE’s assessment at appraisal stage noted the lack of principles and values in the ESSP. In the final ESSP, the moral imperative of the ESSP’s design is described as one that will enable all Zambians to develop their knowledge and skills, manifest excellence in performance and moral uprightness, defend democratic ideals, and accept and value other persons on the basis of their personal worth and dignity, irrespective of gender, religion, ethnic origin, or any other discriminating characteristics. These are describes as principles that will guide ESSP implementation.

⁷⁵ The ESSP, for example, does not include a simulation analysis for higher education. Several stakeholders (government, donor, and CSO) also commented on the increased attention given to general education as compared to higher education in the ESSP.

Evidence-based	0/2	2/2	Strong improvement. The ESSP not only presents key results from the ESA but also includes lessons from the reviews of NIF I, II, and III implementation and studies on equity in the Zambian education sector, out of school children, teacher training, and financing of public universities. ⁷⁶ A comprehensive education situational analysis was not part of NIF III development.
Achievable (ESP) / operational (TEP)	15/19	12/19	Slight decline. Both plans are ambitious and include annual action plans but lack robust financial frameworks and confirmed funding. The ESSP appraisal report recommends several improvements to the plan including rerunning the simulation model using official expenditure frameworks (instead of ministry specific data) and providing a more detailed financial projection for higher education. Operationally, the ESSP faces the challenge of coordinating implementation through two Ministries (General Education and Higher Education) - an issue that was consistently brought up by government stakeholders. These issues raise serious question about the feasibility of achieving the 2017-2021 ESSP. In hindsight, GPE may have overated the operationalibility of NIF III since the NIF III faced numerous operational challenges (see section of plan implementation).
Sensitive to context	0/2	2/2	Strong improvement. Unlike NIF III, the ESSP notes risks -such as government implementation and financial management capacity constraints and unstable macro-economic environment - and ranks them by severity and outlines possible mitigation measures.
Attentive to disparities	2/6	3/6	Some improvement. Both plans afford extensive attention to gender issues. The ESSP represents an improvement in that there is a stronger focus on children with special needs than NIF III. However, according to the MoGE review of past NIFs, geographic equity issues were neglected, including urban-rural, intra-district, inter-district, and inter-provincial dimensions. The ESSP still falls short in describing and addressing geographic disparities within Zambia.
Overall, at least 5/7 met for ESP? (at least 3/5 for TEP?)	Yes	Yes	No change: While not stronger in every dimension, owing to improvements in the categories of whether plans are strategic, evidence-based, and sensitive to context, as well as its superior attention to disparities, the ESSP represents a moderate improvement over NIFIII.

⁷⁶ Visser Miriam, Tossings Suzanne, Chipoma Cornelius; Equity in the Zambian education sector: Diagnostic Study; January 2018. Tossings Suzanne, Visser Miriam, Chipoma Cornelius; Out of school children in Zambia: Diagnostic Study; January 2018. Chipoma Cornelius, Visser Miriam, Tossings Suzanne; Teacher Training, Recruitment, Deployment, Management and Retention in Zambia: Diagnostic Study; January 2018. Nyamazana Mushiba, Brooker Fred; Financing of public universities in Zambia: Diagnostic Study; January 2018.

42. As shown in Table 3.3, although the ESSP represents an improvement over NIF III in certain domains, a few notable weaknesses remain. These are elaborated below:

- a. **Operational feasibility.** Despite being a comprehensive plan, several stakeholders questioned whether it was operationally feasible, citing a few concerns including: (a) a shorter implementation period: delays in finalizing the ESSP development has left the government with three operational years instead of the intended five⁷⁷ (b) lack of funding: several stakeholders questioned how the GRZ would finance such an ambitious plan given the current burden of debt servicing, decreasing trend in domestic financing of education, and competition among sub-sector directorates and (c) misalignment between target indicators and the implementation plan: the independent appraisal notes that at times there is no indication in the plan regarding how and by what methods, interventions, incentives, or regulations the target is to be achieved.⁷⁸ As the GRZ begins to implement its Decentralisation Policy, there are additional concerns about the capacity of sub-national level actors to adequately execute the ESSP.⁷⁹ According to the 2018 ESA, system capacity in terms of the ability to execute education management and governance functions efficiently, is cited as a critical priority in the sector. Weak education management and governance has resulted in poor accountability of operational units, including directorates, provinces, districts, and schools. Therefore, serious questions remain about the operational feasibility of the 2017-2021 ESSP.
- b. **Imbalanced analysis between basic and higher education.** NIF III was developed at a time when the education sector had a single ministry - the Ministry of Education, Science, Vocational Training and Early Education (MESVTEE). The development of NIF III by a single Ministry resulted in a sector plan that, despite its shortcomings was wide-ranging and included activities for primary, secondary, vocational, and higher education. At the time of developing the ESSP however, MESVTEE was divided into two ministries – the MoGE and MoHE - following a restructuring of the education sector in 2015.⁸⁰ Despite efforts to treat both sub-sectors equally, the ESSP gives greater weight to general education programs than to higher education activities. In addition, a simulation model is not presented for higher education. Donor, government, and CSO stakeholders also noted that coverage of higher education in the ESSP is not as thorough as it is for general education. The lack of attention given to higher education can be partially attributed to the lack of capacity within the MoHE, which is partly a result of its leaner structure.⁸¹ A few stakeholders suggested that restrictions in GPE funding towards higher education may have contributed to lower engagement levels from the MoHE, as they knew higher education activities would never be eligible for GPE funding.

⁷⁷ ESSP was finalized in December 2018.

⁷⁸ Independent Appraiser - Rwehera, Mathias. "Zambia ESSP 2017-2021 Appraisal Report – Revised," November 22, 2018.

⁷⁹ The MoGE started to implement the GRZ's National Decentralization Policy in 2017 with the process of devolving functions, authority, and resources from national to provincial headquarter and districts. The process cedes the provision of ECE, primary education, and Youth and Adult Literacy to local authorities.

⁸⁰ The 2015 decision to split the MESVTEE into two Ministries (the MoGE and MoHE) was a reversal of the 2011 decision to merge the two Ministries together.

⁸¹ According to the independent appraisal report and one donor stakeholder.

43. With regards to the plan development process, the evaluation noted several areas of mixed progress. In some cases, areas of strengths also included areas for improvement.
- a. The compilation and use of data in ESSP development represents a significant improvement. The ESSP builds on numerous key framing documents that have helped shape its direction and structure. These include (a) Zambia Education Sector Diagnostic Studies on the themes of equity, out-of-school children, teacher management, and financing of higher education, (b) the Education Situational Analysis (ESA), the first conducted in Zambia since 2010, and (c) lessons from an internal review of NIF I, II, and III.⁸² Despite strong support from GPE, the ESA was never completed.⁸³ A few stakeholders mentioned dissatisfaction with the final ESA by noting the lack of depth in its analysis on issues around capacity and implementation gaps and criticized the credibility of the data collected.⁸⁴ EMIS data, which was used in the planning process, continues to suffer from reporting errors, inconsistencies, and delayed reporting.⁸⁵ Nevertheless, the ESA is viewed positively by many stakeholders who also cite the ESA as an important input to ESSP development.
 - b. ESSP development was generally government-led and -owned, with the Directorates of Planning at the MoGE and MoHE actively involved throughout the process. Following the late ownership of the planning process by the two education ministries, the GRZ benefitted from existing inter-sectoral national planning frameworks.⁸⁶ As with all sector strategic plans in Zambia, guidance and structure for sector plans were provided by Cabinet Office and Ministry of National Development Planning. While most MoGE and MoHE staff generally felt ownership of the planning process, there were a few stakeholders (among government, donors, and CSOs) that believed ESSP development was mostly led by the Coordinating Agency and the team of external consultants overseeing the technical work. This differs slightly from the NIF III development process. One stakeholder noted that compared with the ESSP, NIF III had less involvement from external consultants and remarked that “NIF III was written by Zambians.” Overall, the evaluation found that, while authorship relied heavily on consultants (which may have been necessary as the new agencies took form), governmental ownership was present for the ESSP development).
44. Overall, the evaluation found that ESSP development was a largely consultative process. However, the mixed and contrasting reviews on the extent to which the process was as consultative as NIF III development indicates that there are challenges that remain.

⁸² Lessons from the internal review of NIFs have been taken into account in the development of the ESSP.

⁸³ According to the GRZ, the ESA was never completed since (i) ESSP development needed to begin even without a completed ESA in order to stick to ESPDG timelines, and (ii) it is argued that the ESA was a living document and one that will be updated regularly (ESSP Endorsement/Appraisal report). The ESA was conducted in 2016/2017 with the involvement of consultants and MoGE technical staff who reviewed numerous drafts, the latest of which dates in January 2018.

⁸⁴ One stakeholder questioned the reliability of government collected and produced data.

⁸⁵ EMIS is discussed in further detail in subsequent sections.

⁸⁶ In 2015, the MESVTEE was split into two Ministries. Proposals to restructure the MoGE were completed in 2017 (ESBS / DFID report). Pg. 104

- a. On one hand, stakeholders remarked that ESSP development was more participatory and consultative than that of the NIF III. One stakeholder described the NIF III consultative process as “tokenistic” where invitations to meetings were often shared at the last minute. In contrast, requests for feedback and input were more regular and organized in the ESSP development.⁸⁷ Stakeholders at national and subnational levels were consulted through an iterative and participatory process to identify key issues and agree on ESSP priorities. ESSP workshops were attended by officials from both MoGE (at the HQ, Provincial, District, and school level), MoHE, teacher unions, NGOs, and CSOs.
 - b. On the other hand, certain CSO representatives raised concerns about the lack of consultation relative to NIF III development, particularly during the initial stages of ESSP development.⁸⁸ Teacher union representatives remarked on the unfavorable conditions leading to the ESSP appraisal meeting, citing the short lead time given to unions to appoint their interviewees. A few stakeholders remarked that although the ESSP development process was designed to be consultative, active participation was limited, particularly among donors. The evaluation team also noted that several stakeholders such as parents, communities, youth, and children were not part of the ESSP planning process.
45. The degree to which the 2011 and 2018 sector plans development processes built domestic planning capacities is limited. While there is some evidence to suggest improvements in sector planning capacity at central level, it is unclear the extent to which domestic planning capacities at provincial and district level have changed. Although the Ministry of National Development Planning (MoNDP) provides each sector with national planners, these selected officials do not have sector-specific technical knowledge. Government and donor stakeholders remarked that members of the technical working groups that developed the ESSP benefitted from engagement with the technical consultants hired by the CA in ensuring education specific factors were considered by planners.⁸⁹ Planning workshops led by the CA at central, district, and provincial levels were also credited as having improved education sector planning capacity.⁹⁰ It should also be noted that interviewed stakeholders did not describe any observed planning capacity changes among provincial or district level officers. In the case of ESSP, lengthy delays and staff turnover (especially governmental) proved challenging for capacity development, despite participatory approaches involving government officials at all stages of plan development.⁹¹ According to one donor, “the frequent transfer and turnover of staff had eroded the MoGE’s institutional capacity and memory.”⁹²

⁸⁷ CSOs remarked that meeting invitations would be sent in advance and the frequency of

⁸⁸ Global Partnership for Education (GPE). “Feedback on the draft ESSP 2017-2021”, January 31, 2018.

⁸⁹ Technical consultants were hired by the Coordinating Agency through the ESPDG.

⁹⁰ IIEP/GPE Guidelines on conducting sector assessments. Volume I and Volume II.

⁹¹ Between 2015 and 2017 there was a high turnover of senior staff in the MoGE, as follows: 3 Ministers; 3 Permanent Secretaries; 3 Directors of Planning, one of them in an acting capacity for almost one year; 4 Directors of Human Resource and Administration; 2 Directors of Early Childhood Education, even though the Directorate was only established in 2015; 3 Chief Planning Officers, one of them in an acting capacity for more than one year; and 3 Chief Accountants (DFID report).

⁹² e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

GPE contributions to sector planning

Finding 2: GPE financial and non-financial support likely contributed to improved quality in sector planning. GPE mechanisms (ESPDG, ESA funding, GPE guidelines, and QAR processes) encouraged the development of a comprehensive ESSP, although questions remain about its operational feasibility. Support from the Secretariat and the Coordinating Agency has helped government and donors to navigate the ESSP planning process. However, there are suggestions that GPE processes have “academized” sector planning.

46. GPE offers a series of financial and non-financial mechanisms to support sector planning. Table 3.4 provides an overview of these mechanisms, grouped by whether they are likely to have made a significant,⁹³ moderately significant, or limited/no contribution to funding in Zambia. This grouping does not constitute a formal score.

Table 3.4 GPE contributions to sector planning during the 2011-2019 review period

2011-2015 NIF III PLANNING CYCLE	2017-2021 ESSP PLANNING CYCLE
SIGNIFICANT CONTRIBUTION TO SECTOR PLANNING	
<ul style="list-style-type: none"> • GPE guidelines for NIF III development: Guidelines helped orient MESVTEE through the process of developing NIF III by (i) recommending the development of a stronger chapter on the financing framework, (ii) ensuring NIF III was appraised by donors (iii) ensuring that an evaluation of NIF II was conducted.⁹⁴ 	<ul style="list-style-type: none"> • ESPDG funding: The ESPDG provided critically needed funding for an ESA, technical assistance, national and sub-national level consultations, and coordination of ESSP development – key components of the planning process that would have suffered from a lack of funding were it not for GPE.⁹⁵ Funding towards these critical inputs has been credited to have partially influenced the shift to learning.⁹⁶ The ESPDG covered nearly 80% of the total estimated funding for ESA and ESSP development.⁹⁷ • GPE guidelines for ESP development: The 2017-2021 ESSP was developed following GPE guidelines, including the requirement of a comprehensive plan encompassing inputs from both the MoGE and MoHE.

⁹³ In this section and all sections that follow, a GPE contribution is rated ‘significant’ if it made a clear, positive, and noticeable difference in an outcome of interest to GPE. This outcome of interest need not necessarily be ‘improved planning overall’, but could be a noticeable improvement in sub-components of this desirable outcome, such as ‘improved government ownership’, ‘improved participation’, ‘improved results framework’, etc. Assessments are based on evaluator judgement based on interviews and documents consulted for this CLE.

⁹⁴ Global Partnership for Education (GPE). “FINAL QAR I Report”, 5 Nov 2012.

⁹⁵ ESPDG funded activities include 1) Data collection for situation analysis, 2) preparation of situational analysis, 3) provincial consultations on NIF III and ESSP situational analysis, 4) Implementation of selected diagnostic studies, 5) Understanding constraints in delivery sector plan, 6) Development of 2017-2021 strategic framework, 7) Prepare Draft ESSP, 8) Prepare and print ESSP dissemination materials, 9) Dissemination of ESSP report, 10) Review and finalize ESSP. (ESPDG CL Initial Assessment Zambia)

⁹⁶ Ministry of General Education. “Education Sector Analysis – Final Draft Version”, January 31, 2018

⁹⁷ Total cost to develop the ESSP was US\$635,988. The total ESPDG amount was US\$ 498,391 (GPE CL Initial Assessment)

2011-2015 NIF III PLANNING CYCLE	2017-2021 ESSP PLANNING CYCLE
	<p>GPE guidelines helped ensure sub-national government stakeholders as well as CSOs were consulted throughout the planning process. One stakeholder remarked that ESSP credibility would have been reduced were it not for the GPE guidelines.</p> <ul style="list-style-type: none"> Support from and visits by Secretariat country lead: Visits from the GPE Secretariat Country Lead at various stages⁹⁸ of the planning process clarified GPE guidelines, galvanized stakeholder cooperation, and ensured progress was being made in ESSP development. CPs remarked that visits from the Secretariat country lead helped country stakeholders navigate the politically tense environment between donors and GRZ during the review period. The Secretariat was also credited to have guided country stakeholders finalize and endorse ESSP. Coordinating Agency: The CA's role in coordinating discussions around ESSP development has been crucial. The CA also played the role of ESPDG Grant Agent. In the GA role, the CA facilitated consensus between the newly created MoGE and MoHE to agree on the development of one ESP instead of two separate plans – a process that was lengthy and tedious but crucial in the development of a “credible ESSP”.⁹⁹ Quality assurance review (QAR): Several stakeholders reflected positively on the QAR process, remarking that the QAR was evidence-based and brought insights into neglected areas of draft ESA and ESSP. Per new QA requirements, the independent appraisal was conducted by an independent consultant who attended two workshops on ESP appraisal organized by GPE and IIEP.¹⁰⁰ Secretariat guidance in preparing the ESPDG application: The Secretariat review of the application ensured the planning process included TA funding and external support from UNESCO/IIEP. The GPE Secretariat was also flexible in extending the ESPDG grant on three separate occasions given unanticipated delays.¹⁰¹

⁹⁸ There were 3 GPE Secretariat visits during the ESSP planning process, based on back to office reports.

⁹⁹ Global Partnership for Education (GPE), “ESPDG Revision Request Assessment – Internal CLE assessment” March 3, 2018

¹⁰⁰ The appraiser attended workshops held in Paris on July 2016 and January 2018. (Appraisal report, pg. 10).

¹⁰¹ The ESPDG was approved in May 2016. The first six-month extension was approved by GPE Secretariat in January 2017. The second extension was approved in July 2017 for a nine-month extension to March 2018. The final extension was given in April 2018 for an extension of six months to allow ESSP finalization.

2011-2015 NIF III PLANNING CYCLE	2017-2021 ESSP PLANNING CYCLE
MODERATE CONTRIBUTION TO SECTOR PLANNING	
<ul style="list-style-type: none"> • ESPIG funding requirement 1 (a credible, endorsed plan): The funding requirement and the ESPIG QAR process provided an incentive to ensure all critical NIF III documents were complete. The NIF III package included final versions of: <ul style="list-style-type: none"> • SNDP • NIF III and CP’s Appraisal Report • Joint Assistance Strategy • Mutual Accountability Framework • Joint Financing Agreement • 2012 Joint Annual Report • Education Sector Performance Assessment Framework 	<ul style="list-style-type: none"> • ESPIG funding requirement 1 (a credible, endorsed plan): Given Zambia’s history of sector planning, it can be assumed that the 2017-2021 ESSP would have been developed in the absence of GPE funding. However, GPE requirements catalyzed the planning process, produced more rigorous sector analyses, and ensured the process was participatory and credible. • GPE guidelines on ESA: GPE guidelines and feedback were used to inform and improve ESA development, which would have been a significant contribution were it not for delays and ultimate incompleteness of the ESA.
LIMITED/NO CONTRIBUTION TO SECTOR PLANNING	
<ul style="list-style-type: none"> • CSEF grants: ZANEC has used CSEF funding primarily for activities related to increasing and improving education finance and training members on monitoring NIF III activities. There is no evidence that CSEF-funded activities supported sector planning. • Disbursement Linked Milestones:¹⁰² ESPIG DLMs were based on progress against a selection of indicators from the agreed-upon PAF. While the ESPIG funding requirements have been credited to have driven PAF completion, there is little evidence to suggest any DLMs have contributed to sector planning. 	<ul style="list-style-type: none"> • CSEF grants: CSEF funding have been used by ZANEC to conduct independent research and advocacy for improving sector financing. However, is no evidence to suggest that these CSEF-funded activities supported sector planning.

47. GPE/FTI did not provide financial or direct technical support for the development of the 2011-2015 NIF III.¹⁰³ However, drafts of the 2011-2015 NIF III were shared with the GPE Secretariat for comments to ensure it met GPE standards in anticipation of Zambia’s upcoming 2013 ESPIG application.¹⁰⁴

¹⁰² The 2015-2019 ESPIG - as part of the Education Sector Budget Support (ESBS) program - included a performance-related tranche with a series of disbursement-linked milestones (DLM). Because the 2015-2019 ESPIG performance tranche predated GPE’s New Funding Model, it is important to note that findings on the 2015-2019 ESPIG’s performance tranche cannot be attributed to the “variable component” of GPE’s New Funding Model, even though the performance tranche and the variable component share the same principles of results-based financing.

¹⁰³ According to the GPE « Zambia » website and lack of ESPDG documentation.

¹⁰⁴ Global Partnership for Education (GPE). “FINAL QAR I Report”, 5 Nov 2012.

48. There is agreement among MoGE and donor stakeholders that GPE support (ESPIG funding requirements, GPE guidelines, and the QAR process) helped improve the quality of the 2017-2021 ESSP. Although MoGE has a history of developing education sector plans, ESPIG funding requirements and GPE guidelines provided a clear incentive to develop a comprehensive education sector plan. Stakeholders noted the valuable role of GPE quality assurance processes and in particular the feedback the Secretariat provided on the first ESA and ESSP drafts that led to much-improved documents.¹⁰⁵ Although it took the government and ESPDG GA considerable time to address, Secretariat comments are credited as having streamlined the ESSP development processes to ensure it meets criteria for a “credible ESP.”¹⁰⁶ Improvements to the ESSP’s outcome indicators were made in view of Zambia’s future application for GPE’s ESPIG.¹⁰⁷ Recommendations from the ESSP independent appraisal were addressed by the MoGE to the extent possible, contributing to an improved version of the sector plan. A few stakeholders also mentioned the merit of the independent appraisal, commenting that an objective viewpoint and feedback was appreciated.
49. However, a few stakeholders were skeptical about the extent to which GPE contributed to ESSP quality. One stakeholder mentioned that the multiple rounds of GPE ESSP and ESA review and number of technical comments unnecessarily “academized” the ESSP development process, contributing to delays. Another stakeholder remarked that the MoGE did not have an active research department to conduct the necessary research and appropriately respond to GPE’s technical feedback, which was considered unrealistic. Another stakeholder warned that the GPE funding requirements is shifting Zambia towards a “box-checking” culture of planning, driven by GPE grants.
50. Finally, there is concern that the drive towards a comprehensive, holistic, and quality sector plan may have led planners to overlook serious capacity constraints related to implementation. Lessons from NIF III implementation showed low levels of education management and governance and poor accountability of operational units in provinces and districts. These challenges are likely to be exacerbated by the implementation of GRZ’s Decentralisation Policy, as sub-national units will require significant support and training to adequately implement sector policies and plans. System capacity in terms of the ability to execute education management and governance functions efficiently, is cited in the ESA a critical challenge in the sector.¹⁰⁸

Unintended positive and negative consequences of GPE support

51. One positive consequence of GPE support was that data collected for ESSP development was also used in the development of the education and skills chapter of the 7NDP. The process of developing the 7NDP in parallel with ESSP allowed the 7NDP technical committees to benefit from findings surfacing from the ESA and diagnostic studies. The use of common data for both plans ensured alignment of key sector challenges and the subsequently identified sector priorities. Although the

¹⁰⁵ In April 2017, the Secretariat received the draft ESA document along with diagnostic studies for review and feedback. Secretariat Peer Review Group for Zambia reviewed the document and consolidated feedback was provided to UNICEF and MoGE in May 2017. In Secretariat’s feedback, it was noted that ESA has significant weaknesses and needs to be strengthened on several critical areas. In addition, it was noted that the analysis presented is not adequate on various areas such as the management structure, etc. (GPE CL Assessment)

¹⁰⁶ Global Partnership for Education (GPE), “ESPDG Revision Request Assessment – Internal CLE assessment” March 3, 2018

¹⁰⁷ Global Partnership for Education (GPE). “GPE Secretariat’s comments on Zambia’s draft Education and Skills Sector Plan (ESSP) 2017-2021” pg. 1, April 2018.

¹⁰⁸ Ministry of General Education. “Education Sector Analysis – Final Draft Version

national development planning process includes sectoral specific data, it is likely that GPE support to fund a comprehensive ESA and diagnostic sector studies provided 7NDP additional data than they would not have had.

52. GPE requirements have caused the two restructured Ministries, the MoGE and MoHE to collaborate and informally exchange institutional knowledge. There is recognition that GPE requirements for a credible and comprehensive plan forced the two ministries to co-develop a single ESSP. One senior government stakeholder mentioned that were it not for GPE, there would be a proliferation of independent sub-sector plans between the two Ministries that would have created difficulty in forming an integrated and coordinated sector. The independent appraisal commends the two Ministries for working together although each has separate mandates, budgets, governance and intitutional arrangements, and different primary stakeholders.¹⁰⁹
53. One negative consequence of GPE support was that the decision to apply for an PDG during an ongoing forensic audit of government finances and the suspension of all GPE funding for NIF III implementation due to poor performance (see section 3.4 for more detail) was viewed unfavorably by some stakeholders. The decision to move forward with a PDG application while issues surrounding the previous ESPIG grant remained unresolved was questioned by one donor stakeholder and was considered “untimely.” These issues have kept PDG approval on hold. The first version of the PDG application, although initially endorsed by the PITC, was rejected by the GPE Secretariat, citing the need for further emphasis on fiduciary and risk assessments components in the application. The revised PDG, which includes those provisions, remains on hold since it has yet to receive unanimous support from the PITC.

Additional factors beyond GPE support

54. Additional **positive** factors beyond GPE support that likely contributed to sector planning during the 2011-2019 review period include: (i) Findings from other relevant reports such as Zambia’s Grade Five National Assessment (G5NA) and SAQMEC. These reports may have contributed to the prioritization of learning outcomes as opposed to access.¹¹⁰ (ii) The strong working relationship of MoGE and CSOs may have helped mitigate challenges associated with working in tight timelines and decision-making, particularly when ESSP and GPE grant applications need PITC approval.
55. As described in Table 3.4, GPE’s significant contributions to sector planning are seen in three areas: (i) funding, (ii) guidelines for developing a holistic, credible, and relevant plan, and (iii) quality assurance. There are several contextual factors that have enabled GPE to have had such a significant impact on these areas in light of Zambia’s pre-existing track record of strong national planning.
 - a. **Decrease in funds for education:** Since 2015 GRZ has faced a sharp decline in available funds for social sector programs, including for education.¹¹¹ This decrease in domestic resources has been coupled with a reduction in international finance to education, which has exacerbated the already precarious financial outlook of education finance in the country. ESPDG funding was cited by one stakeholder as GPE’s single most important contribution to the ESSP development process.
 - b. **High MoGE staff turnover:** Between 2015 and 2017, the MoGE went through a period of high senior staff turnover. According to the ESBS final report, high levels of turnover

¹⁰⁹ Rwehera, Mathias. “Zambia ESSP 2017-2021 Appraisal Report – Revised”, November 22, 2018.

¹¹⁰ Ministry of General Education and Ministry of Higher Education. “Education and Skills Sector Plan 2017-2021”, pg. 38, December 2018.

¹¹¹ Ministry of General Education. “Education Sector Analysis – Final Draft Version”, pg. 31, January 31, 2018,

reduced accountability and seriously eroded the Ministry's institutional capacity and memory. Key positions (Permanent Secretary, Director of Planning and Director of Human Resources) were left unfilled or were occupied on a temporary basis for significant periods during the length of the evaluation period, including during periods of ESSP development. This leadership gap was further exacerbated by the massive turnover of staff in the Directorate of Planning and other areas of the MoGE between 2015 and 2017.¹¹² As a result, GPE guidelines and QAR provided much needed direction and quality assurance amidst high turnover and gaps in ministry capacity.

Implications for GPE's ToC and country-level operational model

Finding 3: Zambia has a strong history of sector planning, demonstrating high levels of motivation and capability for producing planning documents. GPE support has integrated into these existing patterns to improve the quality of sector plans.

56. Zambia has a long history of developing strong and consultative education sector plans. National and sector-specific development plans are created every five years. Sector plans are developed through technical working groups including officials from the ministry of education, Cabinet Office, Ministry of National Development Planning, and CPs. Strategic priorities are often agreed through a participatory process that involve stakeholders at provincial, district, and school level.¹¹³ GPE processes have integrated into and improved an already- strong sector planning landscape with the effect of improving the quality of education sector plans through the introduction of additional financing, quality assurance mechanisms and GPE guidelines, and improved use of data.
57. Available evidence indicates that two of the five assumptions about sector planning underlying the GPE country-level of change **held true** in the context of Zambia during the 2011-2019 period. The evaluation found that country-level stakeholders have the (i) capabilities and (iii) motivation to jointly improve sector analysis and planning. Although donor stakeholders noted that staff turnover has disrupted MoGE and MoHE capability for sector planning over the evaluation period, Zambia still has a strong pool of national planners that are able to conduct consultative, evidence-based, and credible sector plans.¹¹⁴ Existing patterns of sector planning that precede GPE involvement demonstrate a precedent of motivation for developing education sector plans. However, GPE ESSP guidelines and ESPIG requirements to have a "credible" sector plan have incentivized increased quality and use of data in sector plan development.
58. Three country-level theory of change assumptions were found to hold **partially true**: (ii) stakeholders have the *opportunities* (resources, time, conducive environment) to improve sector analysis and planning, (iv) GPE has sufficient leverage within the country to influence sector planning, and that (v) EMIS produces relevant and reliable data to inform sector planning. Zambia initiated the process of

¹¹² Between 2015 and 2017 the MoGE, the number of individuals who filled the following roles was as follows: 3 Ministers; 3 Permanent Secretaries; 3 Directors of Planning, one of them in an acting capacity for almost one year; 4 Directors of Human Resource and Administration; 2 Directors of Early Childhood Education (although the Directorate was only established in 2015); 3 Chief Planning Officers, one of them in an acting capacity for more than one year; and 3 Chief Accountants.

¹¹³ Ministry of General Education and Ministry of Higher Education. "Education and Skills Sector Plan 2017-2021", pg. 35, December 2018.

¹¹⁴ In Zambia, the Ministry of National Development Planning (MoNDP) provided each sector with national planners. Although selected officials from MoNDP do not usually have sector specific technical knowledge, they are specialized planners who are knowledgeable about the national planning system and approach.

developing several key education sector policies and activities including the 7NDP, ESA, ESSP, and PDG application during a condensed three-year period between 2016 and 2019. These initiatives, although planned sequentially, often overlapped, in the process stretching stakeholder engagement across all activities¹¹⁵ and calling into question the ability of stakeholders to dedicate adequate time to each activity. Zambia's history of long, medium, and short-term sector planning indicates that GPE's funding requirements were likely not responsible for the development of education sector plans. However, they did provide a valuable incentive to improve sector plan quality. Although there has been progress in the government's use of data for decision making, the MoGE still has challenges in producing timely education data. Publication of data from the EMIS is often delayed and there have been instances of reporting errors. Furthermore, coverage is incomplete (it did not cover all schools), and there are inconsistencies with other education databases, such as the ECZ. These challenges limit the use of EMIS data in decision making. At the time of this evaluation, reforms to EMIS to address these issues were started but had not yet been completed.¹¹⁶ Discussion of EMIS is expanded under the subsequent section.

¹¹⁵ MoGE staff were also in the midst of revision the Education Act and Education Policy. In addition, GRZ was undergoing a financial audit of government expenses, the outcome of which was eagerly anticipated by stakeholders.

¹¹⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

3.3 GPE contributions to mutual accountability through sector dialogue and monitoring

Overview

59. This section addresses the following evaluation questions:

- Have sector dialogue and monitoring changed during the 2011-2019 review period? If so, then how and why? If not, why not? (CEQ 2.1 and 2.2)
- Has GPE contributed to observed changes in sector dialogue and monitoring? If so, then how? If not, why not? (CEQ 2.3) Has GPE support had any unintended effects, positive or negative? (CEQ 3.2)
- What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector dialogue and monitoring? (CEQ 3.1)
- What are implications of evaluation findings for GPE support to Zambia? (Key Question IV)

60. A high-level overview of evaluation findings on sector planning is provided in Table 3.5. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.5 *Overview: CLE findings on sector dialogue and monitoring, and related GPE contributions*

PROGRESS MADE TOWARDS MUTUAL ACCOUNTABILITY	DEGREE OF GPE CONTRIBUTION	DEGREE TO WHICH UNDERLYING TOC ASSUMPTIONS LIKELY HELD TRUE ¹¹⁷			
		1	2	3	4
Sector Dialogue: No change – After a period of improvement in CSO inclusion and quality of technical discussions, dialogue processes declined and resumed to levels seen in 2012. There remains room for improvement in dialogue effectiveness and efficiency.	Strong: GPE activities and technical support have provided incentives for increased CP and government cooperation and have sustained sector dialogue during a review period characterized by transition of CPs and senior officials in and out of the sector.				

¹¹⁷ For sector dialogue and monitoring, the underlying assumptions in GPE's country level ToC are: (1) GPE has sufficient *leverage* at global and country levels to influence LEG existence and functioning; (2) country level stakeholders having the *capabilities* to work together to solve sector issues. (3) Stakeholders have the *opportunities* (resources, time, conducive environment) to do so; (4) stakeholders have the *motivation* (incentives) to do so.

PROGRESS MADE TOWARDS MUTUAL ACCOUNTABILITY	DEGREE OF GPE CONTRIBUTION	DEGREE TO WHICH UNDERLYING TOC ASSUMPTIONS LIKELY HELD TRUE ¹¹⁷			
<p>Sector Monitoring: No change – Following a period of improvement between 2013-2016, the quality of sector monitoring declined to 2012 levels. Improving the quality and sustainability of JARs are considered areas for improvement.</p>	<p>Modest: The addition of DLMs based on GPE funding requirements contributed to a strengthened PAF monitoring framework. GPE guidelines and support for conducting JARs contributed to its improvement between 2013-2016. However, GPE supported structures such as the PITC and JAR showed signs of fragility as the quality of sector monitoring declined to 2012 levels.</p>				

Characteristics of sector dialogue during the 2011-2019 review period

Finding 4: Sector dialogue has seen two distinct periods of growth and decline. Between 2013 and 2016 the quality of sector dialogue improved, characterized by regular meetings driven by technical discussions. Since 2017, participation in and frequency of sector dialogue meetings has decreased.

61. Zambia has a well-developed structure for sector dialogue that is formalized through the Education Sector Management and Coordination Guidelines of 2010.¹¹⁸ Within this structure, there are several dialogue mechanisms which have varying degrees of activity. Under leadership of MoGE, the Policy and Implementation Technical Committee (PITC) – Zambia’s Local Education Group (LEG)¹¹⁹ - convenes cooperating partners (CP), civil society organizations (CSO), and MoGE department-level leadership every quarter and when needed to discuss policy, planning and implementation issues in the sector. Three technical committees, which are responsible for procurement, finance, and monitoring of sector implementation, report to the PITC. These are: the Procurement and Technical Committee (PTC), the Monitoring and Evaluation Technical committee (METC), and the Financial Technical Committee (FTC). Aside from the PITC, there are several committees responsible for the implementation and monitoring of sector plan implementation. These include the Coordinating Partners Coordinating Committee (CPCC), a donor only group, and the Projects Coordinating Committee (PCC), a larger group of donors, government, and CSOs that coordinate the implementation of all programs using the project-support modality of assistance.¹²⁰ Although the number of committees is large, stakeholders did not describe meetings or dialogue mechanisms as duplicative. These mechanisms are described in greater detail in Table 3.6.

Table 3.6 Overview of coordination bodies in Zambia

BODIES	MANDATE	MEMBERSHIP	FREQUENCY
Policy and Implementation Technical Committee (PITC)	Overarching joint coordination body between CPs, CSOs, and the GRZ. Examines policies, monitors sector progress, reviews and endorses technical and financial reports from sub-committees ¹²¹ , and supports the preparation of Joint Annual Reviews (JAR). The PITC endorses education sector plans and GPE application grants.	Chaired by the MoGE’s Director of Planning and Information. Membership includes the MoHE, MoGE Director of Human Resource and Administration, Director of Standards and Curriculum, Director of Open and Distance Education, CPs (including the CA and GA), teacher unions, and CSOs. ¹²²	Every quarter and as needed. ¹²³

¹¹⁸ Republic of Zambia, “Joint Assistance Strategy for Zambia (JASZ) Education Sector Management and Coordination Guidelines”, January 2010.

¹¹⁹ ZANEC, “Review of the Performance of the Education Sector in Zambia Since the 2015 Joint Annual Review”, May 2016.

¹²¹ Sub-committees that report to the PITC are the PTC, METC, and FTC.

¹²² No membership from provincial representatives.

¹²³ Ministry of General Education and Ministry of Higher Education. “Education and Skills Sector Plan 2017-2021”, pg. 35, December 2018.

	This body is Zambia's LEG.		
Projects Coordinating Committee (PCC)	Coordinates the work of bilateral, multilateral, and CSOs on project-specific activities.	Rotating chair. Membership is open to CPs (bilateral and multilateral organizations) and CSOs implementing projects using the project-specific modality of assistance. To ensure coordination, representatives from the CPCC and PCC sit on both committees.	Every month and as needed.
Cooperating Partners Coordination Committee (CPCC)	Overarching formal coordinating forum for all cooperating partners. CPCC is used to prepare relevant sector issues and to agree on CP positions discussions with the MoGE at the PITC.	Rotating chair. Membership is open to all cooperating partners (bilateral, multilateral, CA, GA, and CSOs) engaged in the education sector.	Meets on a regularly basis, at least once a month.
Monitoring and Evaluation Technical Committee (METC)	Technical advisory committee that reports to the PITC in the areas of monitoring, evaluation, and research. METC's main objective is to review the implementation and performance of sector programs. Tasks include developing sector performance indicators, reporting sector performance, and providing strategic direction on data collection and analysis.	Chaired by the Director of Planning and Information and consists of the following members: Systems Development Manager, Principal Education Standards Officer, Principal Education Officer, Cooperating Partners, CSOs, and other invited technical advisors.	Every month and as needed.
Procurement and Technical Committee (PTC)	Advisory body that provides recommendations to the PITC in the area of procurement. Main tasks of PITC include reviewing procurement policies and reports, and monitoring procurement procedures.	Chaired by the Head of the Purchasing and Supplies Unit and consists of the Senior Purchasing and Supplies Officer, Principal Planning Officer, Senior Buildings Officer, and representatives of from the CPs.	Every month and as needed.

¹²³ Ministry of General Education and Ministry of Higher Education. "Education and Skills Sector Plan 2017-2021", pg. 35, December 2018.

Financial Technical Committee (FTC)	Advisory body that reports to the PITC in the areas of financial management. The main task of the FTC is to monitor allocation, release, and utilization of funds at various levels. FTC also reviews and endorses quarterly financial reports.	Chaired by the Chief Accountant. Membership consists of CP representatives Principal Planning Officer, Senior Internal Auditor, Senior Accountant, and Senior Purchasing and Supplies Officer among others. ¹²⁴	Every month and as needed.
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62. Although the organization of sector dialogue has seen minimal change since 2011, the quality and effectiveness of those mechanisms has fluctuated over the 2011-2019 review period.¹²⁵ In 2012, sector dialogue was described as “non-functioning” where little focus was given to technical issues and decision-making.¹²⁶ Between 2013 and 2016, the processes and quality of sector dialogue improved, maturing to a point where stakeholders reported having regularly scheduled meetings and technical discussions on sector implementation.¹²⁷ Improvement in sector dialogue during this period was partially influenced by the following factors:

- a. **The presence of an education adviser.** The forthcoming education sector budget support (ESBS) final report notes the important role played by the full-time education adviser as part of the DFID support. Through daily interactions with different MoGE departments, the education adviser played a critical role in promoting accountability, pressing for progress, and reminding stakeholders of commitments.¹²⁸
- b. **The pre-existing inclusion of sub-sectoral departments and CSOs in dialogue structures.** Donor partners, CSOs, and MoGE sub-departments are formally included in key sector dialogue mechanisms such as the PITC and PCC. These groups have benefitted from GPE/FTI efforts to ensure dialogue mechanism are inclusive and remain open to CSOs. Apart from the occasional reminder, there was little need to sensitize actors on the importance of inclusivity in sector dialogue over the review period. Although there is still room for improvement, the quality and depth of CSO participation has improved as reflected in the minutes and reports of the dialogue structures. CSO stakeholders cited having a strong relationship with MoGE and gave no indication that their voices and opinions were not being heard by government.
- c. **Accountability and incentives generated by the performance assessment framework (PAF) and disbursement linked milestones (DLM).** PAF and the associated DLMs played an important role in improving the quality of sector dialogue by shifting discussions from procedural to technical issues and redirecting focus to outputs and outcomes. The potential for accessing

¹²⁴ Republic of Zambia, “Joint Assistance Strategy for Zambia (JASZ) Education Sector Management and Coordination Guidelines”, January 2010.

¹²⁵ Fluctuations in the quality of sector dialogue can also be attributed to the styles of government leadership. Proactive and engaging leaders within the government have tended to push for improved dialogue and coordination.

¹²⁶ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

¹²⁷ Visser, Bartholomew and Chileshe, 2017, ESBS.

¹²⁸ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

GPE financial resources through the ESPIG made an important difference as it committed GRZ attention to tracking DLM indicators.

63. Following this period of improvement, there is broad consensus that the quality of sector dialogue declined. Although the structure for dialogue continues to exist on paper, the quality of dialogue is no longer as robust as it was in 2016. Several CP stakeholders questioned the current arrangement of sector dialogue and monitoring citing a need to renew its structure given its establishment in 2010.¹²⁹ There are several factors which explain why sector dialogue has deteriorated so rapidly. These include:

- a. **Suspension of funding from three cooperating partners.** In 2016, Irish Aid did not approve the disbursement of US\$5 million to the Sector Pool Fund, following the conclusion of its mid-term review that implementation of the Irish Aid Country Strategy Paper had not been satisfactory. In addition, DFID/GPE did not disburse the US\$8 million core tranche in February 2017, nor did it release the £2 million DLM payment in April that same year. Suspension by DFID/GPE of payment was linked to poor performance of the DFID/GPE program.¹³⁰ The suspension of donor funding strongly contributed to the breakdown in sector dialogue between the government and donor partners. The CA's ability to convene stakeholders and encourage sector dialogue was also limited during this period due the staff transitions. In July 2017, a junior education officer from the CA was leading ESSP coordination.¹³¹
- b. **Reprioritization of Irish Aid away from education.** The suspension of funding from several CPs also coincided with the decision by Irish Aid to review its engagement in the sector and to re-allocate the time of its own education adviser to other priorities. For many informants, this was a strong blow to the sector as Irish Aid – while a relatively small CP in financial terms – had, over the preceding decade, played a critical role in facilitating policy dialogue and had been a strong advocate of harmonization and alignment efforts.¹³²
- c. **The departure of the full-time education adviser.**¹³³ As noted in DFID's second monitoring report, "the impetus to keep sector dialogue on track was very strong when the full-time adviser was in place." With the removal of DFID education adviser in 2016, a catalyst for consultation and dialogue was lost, as other CPs in the sector (namely JICA, the United Nations Children's Fund (UNICEF) and USAID) provided projectized support and had less of a direct interest in joint mechanisms.¹³⁴

64. The current state of sector dialogue in Zambia is characterized by a number of challenges that prevent dialogue mechanisms from functioning as effective vehicles for accountability and decision-making. These include:

- a. **Reduced stakeholder participation in sector dialogue mechanisms.** Although stakeholders consider the PITC to be the decision-making body of the sector, the effectiveness of this mechanism has suffered from a decline in stakeholder participation. Stakeholders noted that

¹²⁹ UNICEF will undertake a review of the current structure of sector dialogue and monitoring. The ToR for the review was released in early 2019.

¹³⁰ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

¹³¹ Global Partnership for Education, "Back to office Report, 2017", June, 2017.

¹³² e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

¹³³ The position was supposed to remain in place throughout the GPE grant period.

¹³⁴ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

key decision makers are frequently absent during meetings, affecting the quality of decision-making processes. A few government and CSO stakeholders also noted that the level of participation of CPs in these meetings is uneven. Apart from the CPCC and PITC, stakeholders noted that participation in other sector dialogue mechanisms had been near non-existent after 2017.

- b. **Irregularity of meetings.** Instead of meeting every quarter, the PITC now operates in an ad-hoc basis, convening whenever is needed. With the suspension of GPE/DFID funds, the PITC meets primarily to discuss issues around ESSP development, ESPDG application, and other GPE processes such as PDG applications.
- c. **Some degree of fractionalization among DPs.** The education sector is also in a period of transition, as donors such as Irish Aid are moving away from education and donors like the World Bank re-enter the sector. The GRZ financial audit has also caused some fractionalization among DPs, with varying views of the importance and completeness of the forensic audit and differing views on the extent to which the results of this audit should inform future aid allocations.

65. Despite these challenges, there are signs of renewed government commitment to sector dialogue. More recently, the GRZ has also shown commitment to independently leading sector dialogue and coordination. In January 2019, the MoGE and MoHE organized, financed, and led a two-day education conference that convened stakeholders at the national, provincial, and district levels to discuss sector challenges and aspirations.¹³⁵ The conference also included private sector education providers and non-state actors. One stakeholder remarked that “the fact that the Ministers from both divisions (MoGE and MoHE) attended the conference in its entirety was a promising signal of government leadership in sector dialogue.”

Strengths and weaknesses of sector monitoring

Finding 5: Joint Annual Reviews are the main mechanism for joint sector monitoring. As with sector dialogue, sector monitoring has seen a pattern of growth and decline. Although there are various sources of education data available, data collection systems are not integrated and do not produce data reliable enough to make strategic decisions.

66. There is no integrated data collection and management system that is being used to monitor the education sector. Data collection systems are split between MoGE, MoHE and a number of other systems that operate separately from MoGE and MoHE. These include the School information database, Student Loan/Bursary Management System, ECZ’s information system, and TEVETA’s information system. Of these data collection systems, the MoGE has the most established information and management system which provides the country with its main source of education data for planning and budgeting purposes. The MoGE information system, which is managed by the Directorate of Planning and Information, collects data on an annual basis largely through a paper-based system.

67. Using the World Bank SABER assessment rubric, Zambia’s EMIS system can be considered as latent or emerging within the four policy areas of focus.¹³⁶ Zambia falls short of having a clear legal framework to support a fully functioning EMIS. Disparate and basic mechanisms are in place, but they do not fully

¹³⁵ The World Bank provided some non-financial support in the organization and leadership of the education conference.

¹³⁶ The four policy areas are: Enabling environment, System soundness, Quality data, and Utilization for decision making.

support the components of an integrated system, as described in the above paragraph. The various data collection systems have basic mechanisms to collect, save, and produce information, but lacks the ability to regularly produce timely and high-quality data..

68. The lack of an integrated and functioning data collection system has been a key constraint to evidence-based decision making and policy implementation. Most of the disparate national data collection systems are difficult to reconcile.¹³⁷ According to the 2017-2021 ESSP, there is neither coordination between the various data sources nor do these sources consistently produce timely and high-quality information that can be used for policy and management purposes.¹³⁸ District education profiles are not produced in all districts and in 2012 there were no provincial or district monitoring committees. The capacity of the MoGE to produce timely data remains insufficient, with little process for random checking of data and lengthy periods needed for officials to produce statistical reports.¹³⁹

69. GRZ has embarked on various initiatives to strengthen M&E within the sector. These includes
- a. A re-launch of Data Management Committee (DMC) at the central, provincial, and district levels,
 - b. Improvements in MoGE's EMIS architecture, including the harmonization of data collection tools;
 - c. Creating a National M&E Policy (NMEP) to strengthen the role of reporting against development objectives by Ministries;
 - d. Revamping the Technical Education, Vocational and Entrepreneurship Training Authority's (TEVETA) new web-based TEVET Information Management System; and
 - e. Introducing an M&E capacity-building program within MoGE undertaken in partnership with the University of Zambia (UNZA).

These measures are set against the backdrop of several GRZ-wide initiatives to improve monitoring and evaluation and overall results-based management. These include the launch of the 7NDP National Performance Frameworks (NPF) and associated Sector Performance Frameworks (SPF) and the forthcoming National M&E Policy (NMEP) all of which are intended to strengthen the role of reporting against development objectives within line ministries, including MoGE and MoHE.

70. There are three main sources of learning achievement data. Zambia is unusual in having three sources of learning achievement data available from large-scale sample-based surveys that test primary and secondary school pupils. The longest established is Zambia's own national assessment that has surveyed learning achievement dating as far back as 1999 and has since tested Grade 5 pupils every two or three years. The second is the assessment conducted by SACMEQ every seven years testing Grade 6 pupils in fourteen countries and regions. The third is the most recent Early Grade Reading Assessment (EGRA) and Early Grade Mathematics Assessment (EGMA) conducted in 2014 and 2018 to assess Grade 2

¹³⁷ For example, CSO, demographic and financial data is entered into the School EMIS database, supplementing the information collected from the MoGE EMIS.

¹³⁸ Ministry of General Education and Ministry of Higher Education. "Education and Skills Sector Plan 2017-2021", December 2018.

¹³⁹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

pupil competencies. These surveys measure pupil learning over time and the tests are designed to enable comparison over time.¹⁴⁰

71. The primary mechanism for tracking the NIF III's implementation was the Performance Assessment Framework (PAF). Since 2008, there had been recommendations from donors to establish a Performance Assessment Framework (PAF) for the education sector.¹⁴¹ An appraisal of a draft NIF III recommended that GRZ and CP develop a joint PAF to coordinate the tracking of sector plan implementation.¹⁴² In 2012/2013, development of the PAF for NIF III was expedited following support from DFID/GPE through the ESPIG. The PAF tracked 34 priority policy indicators, outputs, and education outcomes, including the 6 DLMs included in ESBS, and assigned yearly targets to each.

72. The most important mechanism for joint sector monitoring and evaluation is the Joint Annual Reviews (JAR), which were formalized in the Education Sector Management and Coordination Guidelines of 2010.¹⁴³ Each year, JARs report progress against Performance Assessment Framework (PAF) indicators. JARs are conducted over a two- to three-day period and involve CPs, government officials from various levels (central, provincial, and district) and CSOs.¹⁴⁴ A summary of JAR findings and next steps are documented in an aide memoire and signed by all JAR participants as a demonstration of their commitment to its action items. Table 3.7. shows changes in the quality of JARs over the period of review.

Table 3.7 JSRs in Zambia have shown improvement over the review period

JSR QUALITY STANDARDS ¹⁴⁵	GPE RF SCORE		EVALUATOR ASSESSMENT BASED ON DOCUMENTS (E.G. JSR AIDE-MEMOIRES, ETC.) AND CONSULTED STAKEHOLDERS ¹⁴⁶
	2017	2019	
Participatory and inclusive	No	No	<ul style="list-style-type: none"> The quality of the process of stakeholder participation in the JARs improved between 2013 and 2016. JAR reports and aide memories during this period better reflected the perspectives of CSOs in recent years, although consultations with these

¹⁴⁰ Ibid.

¹⁴¹ Ibid.

¹⁴² Ibid.

¹⁴³ Ibid.

¹⁴⁴ There are four objectives of the JAR as reflected in the JASZ. They are 1) Review Sector performance and implementation against the budget and the planned activities in the AWPB for the previous year, 2) Review sector performance and implementation against the agreed sector-wide indicators, targets and milestones set out in the education sector Performance Assessment Framework (PAF) for the previous year. 3) Provide input into the annual work plan and budgeting process for the coming year, 4) Provide a forum for sharing information (policy dialogue) and experiences in the Education Sector among all key stakeholders.

The approach to the Joint Annual Review process is intended to be participatory and includes three key elements: (a) evidence generation; (b) field visits; and (c) technical review meeting. All stakeholders are represented at a two- and half-day technical review meeting and during the field visits.

¹⁴⁵ JSR quality criteria scored by GPE's Results Framework (RF) indicator 18. GPE, Results Framework Indicators, Methodological Guidelines, version 8, June 2017, p.47). Years listed in the table header are years of results framework data-collection, which scored the Zambia JSR from the previous year (i.e., GPE RF 2016 scored the 2015 JSR. Note that each JSR reviews Zambia's education sector performance for the previous year, such that the 2015 JSR evaluated sector performance in 2014). Only two years of GPE RF scores were available at the time of this review.

¹⁴⁶ The evaluator assessment covers the full duration of the review period (2011-2019), while GPE RF scores only cover the 2014 and 2015 JSRs.

JSR QUALITY STANDARDS ¹⁴⁵	GPE RF SCORE		EVALUATOR ASSESSMENT BASED ON DOCUMENTS (E.G. JSR AIDE-MEMOIRES, ETC.) AND CONSULTED STAKEHOLDERS ¹⁴⁶
	2017	2019	
			stakeholders are often perfunctory and follow-up on some of the issues remain patchy. ¹⁴⁷ After 2017, however, JARs were mostly attended by technical staff with only limited participation by senior management of CPs and GRZ.
Evidence-based	Yes	No	<ul style="list-style-type: none"> From 2013 to 2016, JAR processes were increasingly informed by a variety of sources. The 2016 JAR, for example, reviewed the Education Statistical Bulletin, the Annual Progress Reports, and relevant research papers. Sector performance was assessed by on-site visits to schools and other education institutions during joint field visits that precede the JAR technical meeting. Subsequent JARs, however, have failed to reach these standards.
Comprehensive	No	Yes	<ul style="list-style-type: none"> Although JARs have a specific thematic focus every year, a review of JAR annual progress reports show an improvement in coverage of all sub-sectors (early childhood, primary, secondary, TVET, and higher education). Coverage on non-formal and adult literacy remain inconsistent.
A monitoring instrument	Yes	Yes	<ul style="list-style-type: none"> Until mid-2016 there had been a move towards stronger technical discussion and more technical focus within the JARs. JAR processes, as well as JAR reports, were found to be better structured and more analytical, with a focus on the identification of solutions, and indicators against which to measure progress. Between 2013-2016 the quality of the PAF indicators had improved, and the reduction in the number of PAF indicators had contributed to their effectiveness. However, some of these gains have shown signs of impermanence. Neither the PAF nor the agreed-upon action items of the 2016 JAR was assessed in 2017.
Anchored in an effective policy cycle	Yes	Unknown	<ul style="list-style-type: none"> Examples of recommendations from JARs effectively feeding into sector plan implementation are few. Several stakeholders noted that follow-up on action items from the previous JAR was difficult to achieve, particularly after 2017 due to lack of mutual accountability and funding.

73. In 2012, the JARs that took place were described as merely “talking shops.”¹⁴⁸ JAR field visits focused on inputs, rather than on outcomes, and for the latter part of the NIF II period, the JAR findings and recommendations were never followed up. Since 2012, the quality of Joint Annual Reviews (JARs) is marked by periods of progress (2013-2016) and decline (2017-2019).

74. There was a marked improvement in the quality of the technical dialogue in JARs between 2013 and 2016. A review of the different JAR reports as well as the evidence from interviews suggest that, up to mid-2016, the quality of technical discussions within the JARs increased as dialogue was better

¹⁴⁷ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

¹⁴⁸ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming).

structured and more analytical.¹⁴⁹ In addition, the quality of the monitoring against PAF indicators improved, with a reduction in the number of PAF indicators contributing to the overall effectiveness of reporting.¹⁵⁰ The quality of the process of stakeholder participation in the JARs was also found to have improved, with a better reflection of the perspectives of CSOs, learners, and provincial and district level staff in JARs during this period, although consultations with these stakeholders were often mechanical and follow-up on some of the issues raised remained sporadic.

75. Between 2017 and 2019, the quality of JARs declined and interest and commitment to the processes waned. During this period, JARs have been described by many CP stakeholders as poorly organized. In 2017 for example, key inputs to the JAR (such as the Annual Performance Report and the education statistics bulletin) were only made available on the last day of the technical meeting. Neither the PAF nor the DLMs were scored at JARs during this period, and there was no assessment/scoring of the agreed-upon actions in the 2016 JAR report. The decline can be partly attributed to the decrease in funding, including the suspension of DFID/GPE funds which contributed to past JARs, as well as the series of extraordinary factors that contributed to the overall decline in sector dialogue (see paragraph 60).
76. Although stakeholders support the concept of JARs in principle, several donors and MoGE officials questioned the effectiveness of JAR as currently implemented. The JAR is viewed by most stakeholders as an important opportunity to jointly review the progress and performance of the sector. There are some examples of JARs being used in decision-making and priority-setting, and the increased participation of CSOs in JARs is seen as a significant improvement in joint sector monitoring.¹⁵¹ However, several CP and CSO stakeholders also noted that JARs are increasingly being treated as an academic exercise therefore creating some level of disillusionment on the part of CPs. One donor lamented that in the attempt of include stakeholders and consult broadly, the JAR is turning into overly large “conference-like” forum that redirects precious resources and logistics away from its intended purpose. The quality of the 2017 and 2018 JAR was described by many as poor, as stakeholders cited the suspension of GPE funding and pause in tracking the associated PAF indicators as potential reasons for the decline in quality.¹⁵²

¹⁴⁹ Ibid.

¹⁵⁰ In 2013, JAR reports mention PAF indicators as a monitoring tool but does not assess progress against the indicators. The 2014 JAR report presents the indicators and assesses the percentage of achievement against PAF indicators (59% achieved). By 2015 the JAR report includes a qualitative assessment against each of the PAF indicators, analysing the factors that contributed (or not) to progress. In 2016 the JAR had report evolved even further, making a detailed assessment of PAF indicators by subsector and analysing performance. Between 2012 and 2013, the PAF development was refocused, resulting in a more focused PAF, with a stronger (and smaller) number of indicators, which is seen by all stakeholders as a significant improvement.

¹⁵¹ For example, the 2016 JAR is credited to have highlighted low teacher pupil ratio which later became a government priority. Teacher pupil ratios have since improved. That same year, JAR was used to assess the quality of TLM resulting in a review of the development of TLMs.

¹⁵² The 2019 JAR was supported by UNICEF at the last minute after it was nearly cancelled by GRZ due to a lack of funding.

GPE contributions to sector dialogue and monitoring

Finding 6: GPE has continued to support already-existing structures of sector dialogue mechanisms. GPE’s major contribution to sector monitoring is through the introduction of the Performance Assessment Framework and Disbursement-Linked Milestones. Since 2016, GPE is credited as having buoyed sector dialogue during a period characterized by stakeholders entering and exiting the sector.

77. GPE has employed several financial and non-financial mechanisms to support sector dialogue and monitoring. Table 3.8 provides an overview of these mechanisms, grouped by the extent to which they have contributed to mutual accountability in Zambia. This grouping is indicative and does not constitute a formal score.

Table 3.8 *GPE contributions to mutual accountability during the 2011-2019 review period*

SIGNIFICANT CONTRIBUTION TO MUTUAL ACCOUNTABILITY
<ul style="list-style-type: none"> • ESPIG: The 2015-2019 ESPIG which contained DLMs was incorporated into the 2015-2019 GPE/DFID ESBS grant. GPE DLMs were tracked through the PAF and JARs. The selected DLMs, in line with MoGE priorities, helped attract additional attention to selected topics, and functioned as effective incentives to improve sector dialogue and monitoring. • Sector dialogue: The presence of a full-time DFID education advisor was a critical input to improving sector dialogue between 2013-2106. Several interviewees noted the important role the education advisor played in promoting accountability, pressing for progress, and reminding stakeholder of commitments. • Coordinating agency: Various stakeholders mentioned that the CA played an instrumental role in sustaining sector dialogue, despite challenges related to the availability of technical staff in 2017. One donor remarked that, were it not for the CA, sector dialogue in Zambia would have all but ceased after 2016. The CA provided stability during a period of transition and corralled CPs, government, and CSOs around GPE related processes such as ESSP development and PDG applications. • CSEF funding: ZANEC has received CSEF funding since 2010/2011. Funding has been used for a variety of activities including: advocacy for the employment of a fully-fledged director of finance within the MoGE, financial support for monitoring and participating in JARs,¹⁵³ research on financing tertiary and adult education, and training of ZANEC members at provincial levels, focused on building capacities in monitoring implementational of NIF III.¹⁵⁴ According to the 2016 CSEF Annual Report, Zambia was identified as a country that was on track to meet Outcome 2.2¹⁵⁵, an indication that CSEF funding has influenced the support of generation and use of research and evidence on quality, equity, financing and education system reform.¹⁵⁶
MODERATE CONTRIBUTION TO MUTUAL ACCOUNTABILITY
<ul style="list-style-type: none"> • GPE support in conducting JARs: An important milestone was that the 2013 JAR report was transformed into an aide memoire, a document that summarized key findings and outlined next steps for MoGE and CPs,

¹⁵³GCE CSEF report to UNESCO – Full Narrative Report Revised.

¹⁵⁴ Global Campaign for Education, “CSEF 2013 – 2015 Progress Report to UNESCO for the period 01 July to 31 December 2013”, March 2015.

¹⁵⁵ Outcome 2.2: Coalitions that produce relevant documentation/analysis and/or engage citizens in original and credible research, data collection and evidence building – to inform sector policy dialogue on one or more of: a) domestic financing for education; b) equity & inclusion in education; c) quality education & learning; d) quality & inclusivity of education sector dialogue processes.

¹⁵⁶ Global Campaign for Education, “2016 Annual Report: Civil Society Education Fund (CSEF) 2016-2018,” April 2017.

and CSOs.¹⁵⁷ The introduction of aide memoires has been cited by stakeholders as an improvement to the JAR process. This development was reportedly pushed by the ESPIG process that DFID and GPE had initiated at the beginning of 2012. However, dedication from stakeholders to completing and committing to the aide memoire has been limited. Several stakeholders mentioned that aide memoires were often delayed and completed several months after the JAR, leading to a loss in momentum and declining sense of accountability among partners.

LIMITED/NO CONTRIBUTION TO MUTUAL ACCOUNTABILITY

- N/A

78. There is evidence to suggest that sector dialogue would look different in the absence of GPE, as reflected in Table 3.8. In particular, improvements seen in sector dialogue and monitoring between 2013-2016 were catalyzed by GPE processes, financial and non-financial support. The improvement of JAR as a sector dialogue and mutual accountability mechanism was driven by GPE processes (during the FTI/EFA period and the current period of review) and sector monitoring has benefitted from the PAF framework. Moreover, GPE funding requirements under the ESPIG has incentivized the government to track progress towards the DLMs and there is a consensus among donors and MoGE representatives that the DLMs introduced through the 2012-2019 ESPIG helped direct additional attention to issues related to improving girls' access to quality education, focus on disadvantaged and vulnerable children, and improving teaching and learning of literacy and numeracy.¹⁵⁸ CSO and donor stakeholders' credit GPE as having sustained sector dialogue during a period of transition.¹⁵⁹ Through guidelines on sector planning and leadership from the CA, GPE has provided an incentive for stakeholders to continue dialogue. DLMs have also been credited to have brought about a strong focus on technical issues to sector dialogue, providing structured topics for discussion in PITC meetings. However, there is indication that DLMs led to an almost exclusive focus on DLM indicators at the expense of all indicators in the sector.

79. Although the introduction of DFID/GPE support meant adding additional dialogue and coordination mechanisms with the MoGE, the ESBS contribution to donor harmonization was a net positive.¹⁶⁰ Introducing the ESBS modality in 2012 meant opening up an additional line of communication between the MoGE and donors, bringing with it additional transaction costs. However, bilateral meetings between donors within the pooled fund and the MoGE were already common, and would have likely occurred between DFID/GPE and the MoGE if its support were channeled through the pooled fund. Furthermore,

¹⁵⁷ Aide memoires are signed by CPs, GRZ, and CSOs.

¹⁵⁸ The six disbursement linked milestones (DLMs) constitute 14% of the total programme. DLMs focus on (a) improving girls' access to quality education through secondary (b) improving the equity between boys and girls and those who are disadvantaged/vulnerable (c) improving teaching and learning of the foundational skills of literacy and numeracy (d) enhancing GRZ's ability to effectively allocate and manage its resources to achieve results. GPE PIG Application.

¹⁵⁹ The review period has seen donors such as Ireland and DFID suspend or disengage from the education sector, as partners such as the World Bank and the EU are beginning to enter it.

¹⁶⁰ The Education Sector Budget Support Programme (ESBS) was a US\$93.3 million program co-funded by DFID (US\$58.1 million) and GPE (US\$35.17 million). Eighty percent of total ESBS support was allocated to fund core activities of the GRZ's sector plan. The remaining 20 percent would be disbursed to the GRZ only upon the achievement of jointly agreed disbursement-linked milestones that are assessed annually. The ESBS performance tranche included six disbursement-linked milestones (DLMs), through which US\$ 14.1m (US\$ 4.8m through GPE's ESPIG) was initially allocated. According to the ESBS Endline report, the choice of ESBS rather than pooled funding was at the time justified by: 1) the available evidence supporting the benefits of ESBS; 2) the challenges besetting the Sector Pool Fund in 2012; 3) and the fact that budget support was the government's preferred modality.

one study observed that the frequency of meetings between individual donors and MoGE officials had not changed between 2012 and 2018.¹⁶¹ Significantly, the ESBS project involved the accompaniment of a DFID education advisor, who contributed to improved harmonization by advancing the PAF development process.¹⁶²

Additional factors beyond GPE support

80. Additional **positive** factors beyond GPE support that likely contributed to strengthening processes and mechanisms for mutual accountability include the existence of the sector pool funding mechanism, which provided a basis of trust and collaboration between donors and MoGE particularly during the 2013-2016 period.

81. Additional **negative** factors which limited the basis for *mutual accountability* between key sector stakeholders include:

- a. **Ongoing audit queries around financial mismanagement and poor performance** of DFID/GPE funds dominated the CP agenda and sector dialogue after 2017. Although the decision to suspend DFID/GPE funding was due to poor performance and lack of progress in implementing the ESBS grant, the discovery of financial mismanagement exacerbated an already straining relationship between the government and donor partners. The need to address grant performance issues and financial mismanagement dominated sector dialogue after 2016.
- b. **Staff turnover in the MoGE** (especially between 2015 and 2017) weakened the MoGE institutional capacity and memory. Staff movements took place across government ministries following the 2016 elections but the scale of these movements and the simultaneous nature of the transfers, often without adequate handover, was particularly serious in the education sector.¹⁶³ Various interviewees noted that as a result of these staff movements, the MoGE's understanding of the structure, importance, and underlying principles and commitments of the joint CP dialogue had been significantly reduced.¹⁶⁴
- c. **Movement away from a budget support funding modality.** The decline in sector dialogue was likely also influenced by a growing trend of CPs to move away from a budget support funding mechanism in favor of projectized funding modality, which creates challenges for effective joint monitoring.

82. The evaluation also noted that the PITC's decision to move forward with the application of a PDG in preparation of a new ESPIG was seen by one donor as premature, considering the audit of the previous GPE/DFID grant had yet to be finalized. Although the decision to move forward with a new PDG application was supported by GRZ and several donors, it was not a unanimous decision, which caused an unintended negative effect on the level of harmonization among CPs. The PDG application was eventually not approved by the GPE Secretariat and a revised version is currently stalled at the PITC. The GPE Secretariat also invited the GRZ to reapply with more focus on fiduciary oversight review.

¹⁶¹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 29.

¹⁶² e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 30.

¹⁶³ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming).

¹⁶⁴ Ibid.

Implications for GPE's ToC and country-level operational model

Finding 7: Although Zambia's existing sector dialogue and monitoring mechanisms create a foundation for mutual accountability independent of GPE activities, there has been a rapid reversal of gains seen in mutual accountability between 2013, which is the product of a number of factors, including high levels of turnover within the ministry and sector at-large and shifts in the structure and governance of MoGE.

83. Available evidence suggests that two out of the four assumptions about sector dialogue and sector monitoring underlying the GPE country-level theory of change (Appendix II) fully held in Zambia during the 2011-2019 review period.

84. The evaluation found that the assumptions *GPE has sufficient leverage at global and country levels to influence PITC existence and functioning* (i), and country-level stakeholders have the *motivation (incentives) to work together to solve sector issues* (iv) **hold true** in the Zambian education sector. Although Zambia's sector dialogue structures (formalized in 2010) and JARs (introduced in 1999)¹⁶⁵ were already in place before the period of review, there is enough evidence to suggest that GPE has improved existing mechanisms by ensuring the inclusion and participation of CSOs in these mechanisms and providing guidelines to improve JAR implementation. GPE leverage was particularly influential as the quality of sector monitoring showed signs of worsening, beginning in 2017. Were it not GPE, sector monitoring would be even worse. GPE processes have been credited as have sustained sector dialogue and monitoring through the enactment of GPE requirements for ESSP development and incentives related to the future GPE funding.

85. Relatedly, the assumption that country-level stakeholders have the (ii) *capabilities* and (iii) *opportunities* (resources, time, conducive environment), to work together to solve sector issues are **partially true**. Although GPE inputs through technical assistance and DLMS brought a stronger focus on technical issues, the sustainability of those changes was not evident, as evidenced by the fact that sector dialogue and monitoring structures weakened considerably when key individuals departed from the sector after 2016. Sector monitoring post-2017 also suffered from a lack of funding following the suspension of GPE/DFID funding in 2016. Without support from CPs, the GRZ has found it difficult to conduct JARs and other joint sector monitoring activities.

¹⁶⁵ Ministry of General Education of the Republic of Zambia, "Terms of Reference for 2018 JAR", 2018.

3.4 GPE contributions to sector financing¹⁶⁶

Overview

86. This section addresses the following evaluation questions:

- How has education sector financing (domestic and international, quantity and quality) evolved during the 2011-2019 period under review? (CEQ 1.5)
- Has GPE contributed to leveraging additional education sector financing and improving the quality of financing? If so, then how? If not, then why not? (CEQ 1.6) Have there been unintended, positive or negative, consequences of GPE financial and non-financial support? (CEQ 3.2)
- What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector financing? (CEQ 3.1)
- What are implications of evaluation findings for GPE support to Zambia? (Key Question IV)

87. A high-level overview of evaluation findings on sector financing is provided in Table 3.9. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.9 Overview: CLE findings on sector financing and related likelihood of GPE contributions

PROGRESS MADE TOWARDS MORE/BETTER EDUCATION SECTOR FINANCING					LIKELIHOOD ¹⁶⁷ OF GPE CONTRIBUTIONS TO ¹⁶⁸ :			UNDERLYING ASSUMPTIONS APPLIED? ¹⁶⁹	
Total domestic education expenditure	Education share of domestic budget	Met 20% Goal? ¹⁷⁰	Total intl. education financing to country	Quality of intl. financing	Share of domestic financing	Amount of intl. financing	Quality of intl. sector financing	GPE has leverage on domestic finance	Context permits domestic or ODA improvement
Increase 2011 to 2015, then decrease to 2017	Increase 2011 to 2014, then decrease to 2017	Only in 2014; decreased thereafter	Decrease overall, and since 2014	Decrease between 2011 - 2014	Limited	Limited	Limited	1	2

¹⁶⁶ This section addresses evaluation questions CEQ 1.5 and 1.6, as well as to (cross-cutting) CEQs 3.1 and 3.2.

¹⁶⁷ Note that, different from similar tables in previous chapters, the summary focuses on the 'likelihood' rather than the 'degree' of GPE contributions. This reflects the nature of the respective change processes, which make it difficult to elicit evidence on direct links between GPE support and observed changes.

¹⁶⁸ Assessment is based on (i) existence/absence of positive change in respective area; (ii) stakeholder views on likelihood of GPE support/funding criteria having influenced domestic or international funding decisions; (iii) absence or existence of additional factors that are as/more likely than GPE support to explain noted trends.

¹⁶⁹ For sector financing, the two underlying assumptions in the country level ToC were: (1) GPE has sufficient *leverage* to influence the amount and quality of domestic education sector financing, and (2) *External (contextual) factors* permit national and international stakeholders to increase/improve the quality of sector financing.

¹⁷⁰ One of GPE's ESPIG funding requirements is that 20 percent of government expenditure be invested in education, or that government expenditure on education show an increase toward the 20 percent threshold.

Characteristics of sector financing during the review period

Finding 8: Domestic education expenditure has been stagnant or falling since 2014, driven by rapidly increasing public debt, falling commodity prices, and a declining economic growth rate. These factors have led to cuts to capital expenditure and lower-than-expected allocations for implementing the NIF III.

88. Education spending as a share of total domestic expenditure and GDP: Between 2011 and 2015, Zambia's domestic education expenditure saw notable increases in both absolute and inflation-adjusted terms. The total domestic education expenditure increased from US\$566.6m in 2011 to US\$1,119.2m in 2015 (in constant 2016 US dollars), an increase of 99 percent.¹⁷¹ This rapid increase can be explained by growth in the total GRZ budget (which grew from US\$ 3.7b to US\$ 5.6b between 2011 and 2014 in constant 2016 US\$) and growth in the share of the GRZ budget dedicated to education (increasing from 15.3 percent in 2011 to 20.1 percent in 2014), which was largely driven by growing personnel expenditures caused by an expanding teacher workforce and increased teacher salaries. However, in the 2015 to 2017 period, domestic education spending decreased, as total domestic education spending fell to US\$ 832m in 2016 before recovering somewhat to US\$1007.1m in 2017, and the share of domestic spending dedicated to education fell to 16.5 percent in 2016 and 2017.

Table 3.10 Domestic education spending grew in relative and absolute terms between 2011 and 2014, but declined in subsequent years¹⁷²

CATEGORY	2011	2012	2013	2014	2015	2016	2017	TREND
Total domestic education expenditure, 2016 US\$ (millions) ¹⁷³	566.6	679.5	735.1	1125.6	1129.4	832.0	1007.1*	Up then down
Education expenditure as share of GDP, % ¹⁷⁴	3.09%	3.43%	3.44%	5.15%	5.14%	4.23%	4.32%	Up then down
Education Share of Total Government Expenditure (TGE), % ¹⁷⁵	15.3%	17.2%	15.4%	20.1%	17.2%	16.5%	16.5%*	Up then down

¹⁷¹ Author's calculations, using data from the 2018 ESA and the WB Public Expenditure Review (December 2015).

¹⁷² UIS data for education financing indicators is unavailable. Data was compiled from a variety of sources (see subsequent footnotes). For several indicators, various sources differ in the values they report. When sources differ, the most consistent or reliable data is presented in this table. In all cases, data was originally available in Kwacha (either nominal or unspecified). When data is presented in 2016 US\$, original data in current Kwacha was deflated using Zambia's annual average CPI ([IMF World Economic Outlook Database](#)) and converted to U.S. dollars using the December 2016 exchange rate ([U.S. Treasury](#)).

¹⁷³ Sources include 2018 ESA and the WB Public Expenditure Review (December 2015)

<https://openknowledge.worldbank.org/bitstream/handle/10986/23883/K8640.pdf?sequence=2&isAllowed=y>

¹⁷⁴ Authors calculations, using World Bank Databank GDP (current Local Currency Unit, or LCU) and total education expenditure data from the 2018 ESA and 2015 World Bank Public Expenditure Review. Data aligns with that presented in the 2018 ePact report (which is less granular).

¹⁷⁵ 2011-2015 data is from the World Bank [Public Expenditure Review](#) (December 2015) and ESA, 2018. There is some discrepancy between sources beginning in 2015. The figure calculated using ePact data for 2016 is somewhat

CATEGORY	2011	2012	2013	2014	2015	2016	2017	TREND
Per student education expenditure, basic/primary, 2016 US\$ ¹⁷⁶	69	96	117	-	134	171	-	Up
Per student education expenditure, high school/secondary, 2016 US\$ ¹⁷⁷	226	270	320	-	175	200	-	Up then down
Share of Primary Education in total education expenditure (%) ¹⁷⁸	43%	46%	57%	58%	55.9%	58.2%	-	Up

* Denotes budget or projection

89. Changes in rates of economic growth. Changes in domestic spending on allocation are closely tied to the conditions of the Zambian economy. Between 2011 and 2013, Zambia's real annual GDP growth rate averaged 6.3 percent, beating the region's growth rate of 4.7 percent. However, a much slower growth rate between 2014 and 2016 (averaging 3.8 percent per year), fueled by a number of factors including a drop in global commodity prices, decreased copper production, decreased Chinese demand, and policy uncertainty led to a stagnation in government revenue. These challenges were accompanied by an increase in inflation, which rose from an annual average rate of 7.1 percent in January 2012 to 21.1 percent in December 2015.¹⁷⁹

90. Increase in public debt burden. Additionally, a rise in the public debt burden has increasingly constrained the level of domestic funding that can be allocated to social sectors. Since 2011, an increase in infrastructure investment and consumer subsidies increased the GRZ budget deficit from 2.5 percent of GDP in 2011 to 6.8 percent of GDP in 2015. Between 2008 and 2015, external debt increased by 404 percent, from US\$ 1.2b to US\$6.05b.¹⁸⁰ Total debt service on external debt, in current US\$, increased from US\$ 220.5m in 2011 to US\$1.6b in 2017.¹⁸¹ Total debt service as a percent of GNI increased from 0.99 percent in 2011 to 6.6 percent in 2017.¹⁸² It is anticipated that 27 percent of the 2019 GRZ budget will go to debt servicing.¹⁸³ While increased public debt burden has decreased the fiscal space available for all

lower, at 15.5 percent. The 2017 figure is the author's calculation using data from the 2018 ESA on targets for the education budget and total public expenditure.

¹⁷⁶ 2011-2013 data is from the World Bank's 2015 Public Expenditure Review and refers to basic education (grades 1-9). 2015-2016 data is from the 2017-2021 ESSP and refers to primary education (grades 1-7). Data is unavailable for 2014 and 2017. Note that some of the increase between 2013 and 2015 may be attributable to the transition from a 9-3-4 structure to a 7-5-4 structure.

¹⁷⁷ 2011-2013 data is from the World Bank's 2015 Public Expenditure Review and refers to high school education (grades 10-12). 2015-2016 data is from the 2017-2021 ESSP and refers to secondary education (grades 8-12). Data is unavailable for 2014 and 2017. Note that some of the decrease between 2013 and 2015 may be attributable to the transition from a 9-3-4 structure to a 7-5-4 structure, although document review and interview data do not explain this trend.

¹⁷⁸ 2017-2021 ESSP

¹⁷⁹ 2018 ESA, p. 31.

¹⁸⁰ MoGE. 2018 Education Sector Analysis, p. 31-32

¹⁸¹ World Bank. "Debt service on external debt, total (TDS, current US\$)," Databank, 2019. Accessed at <https://data.worldbank.org/indicator/DT.TDS.DECT.CD?locations=ZM>

¹⁸² World Bank. "Total debt service (% of GNI)," Databank, 2019. Accessed at <https://data.worldbank.org/indicator/DT.TDS.DECT.GN.ZS?locations=ZM>

¹⁸³ PwC. "Zambia's 2019 National Budget: PwC analysis and outlook." September 2018. p. 10.

public-sector spending, representatives from two donor organizations indicated that shifts in government priorities have resulted in greater cuts to education than to other social sectors. Indeed, as the share of the government budget dedicated to education fell from 20.2 in 2015 to 16.5 percent in 2017, the health budget only fell from 9.6 percent to 8.9 percent; housing fell from 1.7 percent to 1.3 percent; and social protection grew from 2.7 percent to 4.2 percent.¹⁸⁴ These donor stakeholders suggest that the decline of the education budget is a result of lower government prioritization of education than other sectors.¹⁸⁵

91. Government budget execution rates. While the education sector has had consistently high budget execution rates, the share of the allocated budget released by the Ministry of Finance (MoF) fell sharply in 2015, principally due to an economic downturn and rising public debt. Between 2012 and 2016, MoGE budget execution rates ranged from 90 percent to 100 percent, with the exception of 2013 when it reached 113 percent.¹⁸⁶ The World Bank's 2015 Public Expenditure Review states that budget execution for personnel expenditures and infrastructure investments have not faced problems, but execution of school grants is much lower – 84 percent in 2013.¹⁸⁷ MoGE-wide budget execution rates in 2015 and 2016 were 100 percent and 99 percent, respectively. However, the budget released to MoGE by the MoF as a share of the budget committed fell from 94 percent in 2014 to 63 percent in 2015 and 78 percent in 2016. Although release rates improved from 2015 to 2016, much of the 2016 release was delayed to the end of the year, indicating low levels of predictability.¹⁸⁸ As a consequence, many functions within the MoGE have received significantly diminished budgets. For example, in 2016, Provincial Education Offices (PEOs) and District Education Board Secretaries (DEBS) received below 20 percent of their budgeted allotment, while early childhood education, educational materials, and infrastructure received no allocations in 2016. That year, in-service teacher training only received 3 percent of its budgeted allocation.¹⁸⁹ By 2017, the situation had somewhat improved. The MoF transitioned to quarterly releases of funding, which contributed to improved predictability. By midway through the year, 48 percent of the budget had been released.¹⁹⁰ Notwithstanding, funding for areas such as educational materials and infrastructure had still not been released by midway through 2017, and releases to PEOs and DEBS were still significantly lower than their budgets.¹⁹¹

¹⁸⁴ KPMG, "2017 Budget Highlights: Zambia." 2016

¹⁸⁵ UNICEF's annual Analytical Briefs on Social Sector Budgets from 2016 to 2019 note the declining share of education in the social sector budget over this period, but do not explain underlying factors behind the trend. The 2018 Analytical Brief notes the declining share of the budget and questions the level of commitment of the GRZ to meeting its aspirations in the education sector or is pursuing "business as usual," but does not provide a detailed analysis of spending trends.

¹⁸⁶ In 2013, the education sector received funding exceeding the sector budget by 38 percent, leading to higher expenditure than was budgeted, even as not all disbursed funds were spent. Reviewed sources do not explain why excess funds were disbursed this year. Source: UNICEF, "Zambia Education Budget Brief: Review of Budget Performance and 2016 Allocations," 2016.

¹⁸⁷ World Bank, "Education Public Expenditure Review in Zambia," December 2015.

¹⁸⁸ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 33.

¹⁸⁹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 33.

¹⁹⁰ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 33.

¹⁹¹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 33, 48-49.

92. Recurrent versus capital expenditures. A declining education budget and diminished budget releases by the MoF have had a significant effect on the distribution of domestic resources between recurrent and capital expenditures. While personnel payments have largely been maintained (albeit with delays in disbursement), non-personnel recurrent expenditure, capital expenditures, and discretionary spending have all seen considerable cuts. Between 2012 and 2015, MoGE personnel expenses consistently accounted for between 67.5 percent and 68.6 percent of the released ministry budget, but this figure grew to 82.2 percent in 2016. Non-personnel recurrent expenditure grew from 16.8 to 19.0 percent of the released budget between 2012 and 2014, but fell to 4.8 percent in 2015 and 4.4 percent in 2016. Similarly, capital expenditures grew from 5.1 percent of the released budget to 15.7 percent between 2012 and 2015, but fell to 7.5 percent in 2016.¹⁹²

93. The growth in teacher supply and increases in teacher salaries have contributed both to the increase in total domestic education expenditure between 2011 and 2015 and the increase in the share of the education budget dedicated to personnel expenditures. Between 2011 and 2017, the number of primary teachers increased from 65,014 to 78,099, while the number of secondary teachers increased from 22,866 to 28,171, increases of 20.2 percent and 23.2 percent, respectively. Virtually all of this increase occurred between 2011 and 2014.¹⁹³ In addition to the large increases in teacher supply, teachers also received significant salary increases over this period stemming from a number of incentives and policy changes. The most important of these was a large salary increase for all civil servants in 2013, including teachers, that raised the average primary teacher salary by 45 percent, to US\$ 9,520 per year. Additional incentives that contributed to increased personnel costs included the introduction of rural hardship allowances (amounting to a salary increase of 20 percent for teachers stationed in rural schools), teacher housing, and training schemes.¹⁹⁴ As of 2014, teacher salaries were 6.7 times Zambia's per-capita GDP, which is much higher than the GPE recommendation of 3 to 5 times per-capita GDP.¹⁹⁵ This evidence suggests that much of the increase in education spending in years prior to 2015 was associated with the growth of the teacher workforce and teacher salaries, and that when the MoGE was faced with a stagnating or declining budget beginning in 2015, non-salary expenditure was cut in order to maintain elevated salary levels.

94. Allocations by sub-sector. Basic education (pre-primary, primary, and lower secondary) has consistently occupied a significant share of Zambia's total education budget, demonstrating the prioritization of the subsector by the GRZ. Official government data indicates that the share of government education expenditure dedicated to basic education increased from 43 percent in 2011 to 58.2 percent in 2016. The share dedicated to high school increased from 9.7 percent to 21 percent over the same period.¹⁹⁶ However, these figures are difficult to interpret. Over this period, Zambia was undergoing a shift from activity-based budgeting to output-based budgeting (OBB). As a result of this shift,

¹⁹² e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 49.

¹⁹³ ePact 2018; 2017 Educational Statistical Bulletin; UIS

¹⁹⁴ Grieve Chelwa, Miquel Pellicer, and Mashekwa Maboshe, "Teacher Pay and Educational Outcomes: Evidence from the Rural Hardship Allowance in Zambia," ERSA Working Paper 764, October 2018, p. 6.

¹⁹⁵ 2018 ESA. Even before this increase, salaries for primary teachers in Zambia were already high for the region. Using data available between 2003 and 2009, the primary teacher salary as a ratio to GDP per capita was higher in Zambia than in all but two of the 35 sub-Saharan African countries where data was available. Source: World Bank. "Education Public Expenditure Review in Zambia." December 2015, p. 41. <https://openknowledge.worldbank.org/bitstream/handle/10986/23883/K8640.pdf?sequence=2&isAllowed=y>

¹⁹⁶ Reported by sources such as the 2017-2021 ESSP, ePact 2018, and UNICEF's 2016 Zambia Education Budget Brief, which cite sources such as Public Expenditure Reviews and the 2016 Output-Based Budgeting Yellow Book for the Education Sector.

accounting categories were adjusted. For example, a category variously reported as “HQ” or “Administration,” which covered a large number of personnel expenses, decreased from 36.1 percent in 2011 to 5.6 percent in 2015, and does not appear in 2016, likely as a result of recategorization of expenses during the shift to OBB. It is therefore difficult to assess to what degree the growth of the basic education budget share is a result of accounting adjustments rather than a true increase in allocations.¹⁹⁷ While these factors make trend analysis difficult, it is clear that basic education is a budget priority, and that Zambia’s allocation to basic education far surpasses the GPE recommendation of dedicating 45 percent of education spending to basic education.

95. Sector plan funding. The total cost of implementing the NIF III between 2013 and 2015 was estimated to be US\$ 4,449m. Financing projections at the outset of the NIF III assumed that domestic education funding would increase steadily from US\$ 1,012m in 2012 to US\$ 1,643m in 2015. Assuming a total external financing envelope of US\$ 184m between 2013 and 2015, there would still be a financing gap of US\$113m.¹⁹⁸ However, domestic levels of financing fell far short of these targets, leaving a much larger funding gap than anticipated. In the 2013 to 2015 period, the sum of domestic education spending and education ODA was US\$ 3,058m (constant 2016 dollars), accounting for just 68 percent of NIF III cost.¹⁹⁹ The 2017-2021 ESSP provides forecasts for the MoGE and MoHE budgets and revenues between 2018 and 2022, including estimates of financing gaps. Under the medium scenario for budgets and expenditures, the MoGE budget is expected to grow from ZMW 9,337m in 2018 to ZMW 11,580m in 2022, while expenditures are expected to grow from ZMW 9,279m to ZMW 11,662m over the same period. This model projects a total budget surplus of ZMW 61m over this five-year period, which is equivalent to 0.1 percent of total costs over the 2018-2022 period.²⁰⁰

96. Household education spending. In 2015, 6.3 percent of average household expenditure was dedicated to education.²⁰¹ This represents an increase of 1.5 percentage points from 2010, when households dedicated an average of 4.8 percent of expenditure to education.²⁰² Data collected in 2015 does not include a breakdown of education expenditure by income quintile. In 2010, the share of household expenditure dedicated to education grew with income, as households from the first to the seventh income deciles dedicated between 3.9 and 4.4 percent of expenditures to education, while expenditures grew to 4.9, 6.1, and 8.0 percent in the eighth, ninth, and tenth deciles.²⁰³ Total average household education expenditure ranged from US\$ 18 for a household in the first income decile to US\$ 858 for a household in the tenth income decile.²⁰⁴ In 2010, the average annual household expenditure for

¹⁹⁷ These judgments are further complicated by the division of the MESVTEE into the MoGE and MoHE in 2015 and the shift of the structure of general education from basic/high school to primary/secondary school.

¹⁹⁸ MESVTEE. GPE Program Implementation Grant Application - Zambia. March 2013, p.6. This document did not specify whether dollar figures were real or nominal.

¹⁹⁹ Note that the base year for the projection of NIF III costs is unavailable. This calculation does not therefore account for inflation and should be considered an approximation.

²⁰⁰ Ministry of General Education and Ministry of Higher Education. “Education and Skills Sector Plan 2017-2021”, December 2018. The budget surplus or gap varies somewhat by year. A budget surplus is projected for 2018 to 2020, while a small funding gap is expected for 2021-2022.

²⁰¹ Central Statistical Office of Zambia, “2015 Living Conditions Monitoring Survey Report,” p. 113. This amounts to US\$ 140, based on an average monthly expenditure of 1,558 Kwacha, or \$US 2,222, in 2016 USD.

²⁰² World Bank. “Education Public Expenditure Review in Zambia.” December 2015, p. 44

²⁰³ World Bank. “Education Public Expenditure Review in Zambia.” December 2015, p. 44

²⁰⁴ World Bank. “Education Public Expenditure Review in Zambia.” December 2015, p. 44. Figure in 2010 USD. This calculation is based on a 2010 exchange rate of US\$ 1 to ZMW 4.797.

a child in a government primary school was US\$ 3.50, compared to US\$ 107 for a student in government secondary school.²⁰⁵ While exact figures from recent years are not available, documents suggest that a decline in domestic education spending has placed an additional financial burden on households, as DEBS and PEOs have requested funding from parent-teacher associations to cover costs of transporting educational materials, teacher training expenses, and other operational costs.²⁰⁶

Finding 9: The review period has seen a decline in levels of donor support and deterioration in donor relationships, including a suspension of funding from pooled funding and sector budget support, driven by issues of financial accountability and challenges in sector performance. Even as new donors are entering or considering entry to the sector, overall levels of donor funding have declined and donor support is increasingly funneled through project-based modalities.

97. Driven both by growth in domestic education spending and a decline in international education financing, international financing as a share of total education spending in the sector has seen a sharp decline since 2007, when it accounted for 18 percent of all education spending. International financing as a share of total education expenditure declined to 6 percent by 2012 before reaching a low of 1 percent in 2013. Since 2014, it has accounted for between 2 and 3 percent of all education spending.²⁰⁷

98. Between 2011 and 2017, Zambia received Official Development Assistance (ODA) disbursements to all sectors that fluctuated between US\$ 572.4m and US\$ 729.2m. Between 2011 and 2014, an increasing proportion of ODA was allocated to education, rising from 5.9 percent to 9.3 percent. However, this proportion fell to 3.3 percent by 2017. Similarly, while gross ODA disbursements to education rose from US\$ 38.2m to 66.9m between 2011 and 2014, they fell to US\$ 24.3m by 2017. Between 2012 and 2017, basic education accounted for between 40 and 44 percent of education ODA in all but one year (29 percent, in 2014).²⁰⁸

Table 3.11 Overseas Development Assistance Disbursements, all sectors vs. education, US\$ millions²⁰⁹

FLOW	2011	2012	2013	2014	2015	2016	2017	TREND
Total ODA, all sectors, million US\$	644.5	623.4	679.3	721.8	572.4	641.6	729.2	Fluctuating
Total education ODA, million US\$	38.2	38.7	38.2	66.9	38.4	34.9	24.3	Falling

²⁰⁵ World Bank. "Education Public Expenditure Review in Zambia." December 2015, p. 43.

²⁰⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 48-49.

²⁰⁷ Sources include ePact, ESSP, and World Bank [project document](#).

²⁰⁸ OECD Creditor Reporting System (CRS) data, <https://stats.oecd.org/Index.aspx?DataSetCode=CRS1> accessed March 11, 2018.

²⁰⁹ Note that financing figures from OECD-CRS do not align with international education financing figures reported in domestic sources (e.g. the ESSP, ePact). While OECD-CRS does track the same trends as domestic sources (e.g. fluctuation in funding before 2014 and a decline since 2015) sources frequently differ by at least 20 percent. Additionally, all domestic sources report a 75 percent reduction in international education funding from 2012 to 2013 before rebounding in 2014, but this is not reflected in OECD-CRS data.

FLOW	2011	2012	2013	2014	2015	2016	2017	TREND
Education ODA as % of total ODA	5.93%	6.20%	5.62%	9.26%	6.71%	5.44%	3.33%	Falling

Figures in million US\$, constant 2016 values (Source: OECD-CRS, 2019. All figures adjusted to include GPE ESPIG contributions).

99. **Funding modalities.** During the period of review, three funding modalities were used in the education sector, namely project support, a pooled fund, and sector budget support. Table 3.12 below describes the changes in the donor landscape taking place between 2011 and 2017.

Table 3.12 Donor modalities and commitments, 2011 to 2017

DONOR	DISBURSEMENT (OECD-CRS, UNLESS OTHERWISE INDICATED) ²¹⁰								MODALITY ²¹¹	
	2011	2012	2013	2014	2015	2016	2017	TOTAL		
ADB	35.3m						-	-	US\$ 35.3m ²¹²	Project; not present since 2015
DFID ²¹³	0.3	0.9	15.7	24.7	5.8	0.17	0.9	US\$ 48.8m	Sector budget support	
GPE ²¹⁴		-	-	9.7	8.0	0.8	-	US\$ 18.5m	Pooled fund in 2012; sector budget support 2013-2018	
Irish Aid	9.4	10.5	9.0	7.9	7.2	1.2	1.4	US\$ 37.2m	Pooled fund; stopped disbursement by 2016	
JICA	2.9	5.4	5.5	2.6	5.3	2.7	3.9	US\$ 25.3m	Pooled fund until 2017; projects in all years	
UNESCO ²¹⁵								N/A	Project	
UNICEF	0.6	0.5	0.3	0.7	1.2	1.1	1.3	US\$ 4.97m	Project	
USAID	6.1	13.1	14.5	17.3	18.1	2.6	6.1	US\$ 71.7m	Project	
World Bank	-	-	-	-	16.5	25.5	60.0	US\$ 102.0m	Project	

* Indicates that disbursements did not take place or had discontinued through the indicated modality in or by 2017.

100. Zambia's education pooled fund was established in 2003 and included 8 of the 12 donors active in the sector at that time. By 2008, the number of active donors in the sector was reduced to six (four of which contributed to the pooled fund), as many donors transitioned to General Budget Support. In 2013, the pooled fund was restructured under the Joint Financing Arrangement (JFA) – to which only the three donors providing budget support (Ireland, Japan, and the UK) signed on – which would guide the pooled

²¹⁰ Note that financing figures from OECD-CRS do not align with international education financing figures reported in domestic sources (e.g. the ESSP, ePact). From OECD Creditor Reporting System (CRS) data, <https://stats.oecd.org/Index.aspx?DataSetCode=CRS1> accessed March 11, 2018.

²¹¹ Table adapted from e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 28.

²¹² MESVTEE. GPE Program Implementation Grant Application - Zambia. March 2013, p.15.

²¹³ OECD-CRS data does not include ESBS funding, which has been added manually.

²¹⁴ From DFID, "ESPIG Annual Implementation Status Report, July 2016-June 2017," July 2017.

²¹⁵ Not included in OECD-CRS database.

fund's contributions to NIF III and provide a common monitoring and reporting framework.²¹⁶ As such, the period leading up to 2013 was characterized by the departure of some donors from the sector and declining harmonization as other donors shifted some or all of their contributions from the pooled fund toward project-based support.²¹⁷

101. This trend only continued over the course of the 2011-2019 review period. Because of concerns around accountability and limited sector progress, all donor contributions to the pooled fund had ceased by 2017. One of the two donors remaining in the pooled fund had been disbursing only intermittently (in 2012, 2014, and 2016) because of an internal requirement that disbursements not be made until all audit queries had been resolved. The other donor made regular annual disbursements through 2015. However, the donor's 2016 mid-term review was critical of the pooled funding modality and found that results of the donor's education program were weak and had low visibility. As a consequence, this donor did not release funds in 2016 and discontinued participation in the pooled funding modality.²¹⁸

102. The commencement of the DFID/GPE Education Sector Budget Support (ESBS) Programme in late 2013 introduced a third funding modality to the sector, in addition to the pooled fund and project support. As GPE contributed to the pooled fund under NIF II, the introduction of ESBS left just two donors contributing to the pooled fund. The rationale for directing DFID/GPE support through sector budget support rather than the pooled fund was based on evidence in support of the ESBS modality,²¹⁹ challenges facing the pooled fund, and GRZ's preference for the sector budget support modality.²²⁰ The decision to introduce DLMs were also welcomed by stakeholders as a method of providing MoGE targets to aim for and for identifying priority areas.²²¹

103. The ESBS Programme included three components of support, namely direct financial support, technical assistance through the Zambia Education Sector Support Technical Assistance facility (ZESSTA), and a full-time education advisor.²²² The ESBS Programme's direct financial support had a performance-based component, which accounted for 16 percent of the financial support. While it was termed sector budget support, the ESBS modality did not, in practice, behave as sector budget support, as ESBS funds

²¹⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 26, 115. Note that DFID through ESBS did not contribute to the pooled fund, but that ESBS contributions were in keeping with the principles outlined in the JFA.

²¹⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 26.

²¹⁸ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 28-29.

²¹⁹ A DFID assessment of various investment options cited an ODI study which observed that sector budget support did more to support government systems and expand service provision than alternative aid modalities. The DFID assessment observed that SBS would also be more closely integrated with government systems than the pooled fund, which uses parallel systems (this assumption did not prove entirely true in practice, as ESBS support was also handled separately from GRZ funds). Source: DFID, "DFID and GPE funded Zambia Education Sector Budget Support Programme," February 2013.

²²⁰ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 14.

²²¹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 52

²²² e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming). See section 3.5 for additional detail on ZESSTA.

were handled separately from other domestic funds and were clearly traceable to the ESBS Programme. ESBS funds were planned and accounted for separately from domestic funds.²²³

104. Until 2016, ESBS core funds were disbursed as planned. Performance tranche funds were disbursed based on progress against performance indicators, and because of uneven performance, were thus not disbursed some years.²²⁴ However, ESBS funding was suspended in the 2016-17 and 2017-18 fiscal years because MoGE performance was deemed unsatisfactory by the GA on a number of issues, including delays in completing the ESSP, failure to adopt certain financial accountability measures, and failure to conduct Grade 2 assessments.²²⁵ Resumption of ESBS funding was made conditional upon compliance with a Performance Improvement Plan, but these conditions were not met.²²⁶ Consequently, US\$9.1m of GPE core funds and US\$3.7m of performance related (DLMs) funds were never disbursed.²²⁷

105. While a number of donors have left the education space, particularly in the first years of the review period, several donors are re-entering or considering entry into the sector. With its US\$ 60m Zambia Education Enhancement Project (ZEEP), the World Bank re-entered the education sector in 2016 after several years of not operating in the sector. The European Union is also currently exploring entry into the education space, likewise through a project-based modality. As such, several donors described recent years as a transition period in the donor landscape.

GPE contributions to sector financing

Finding 10: GPE's primary contribution to international education financing came through its ESPIG grant, although the suspension of ESBS meant that nearly a third of ESPIG funds were ultimately never disbursed before the program's closure in March 2019.²²⁸ ESBS was seen as more predictable than the pooled fund but was also seen as weakening the pooled fund through its introduction. CSEF grants and the ESBS disbursement linked milestones also contributed to improvements in domestic financing.

106. GPE offers a series of financial and non-financial mechanisms to support the quantity and quality of domestic and international sector financing. Table 3.13 provides an overview of these mechanisms, grouped by whether they are likely to have made a significant, moderately significant, or no/limited contribution in Zambia. This grouping does not constitute a formal score.

²²³ ESBS Programme funds also do not meet the OECD/DAC criteria for sector budget support, as they are channelled separately from GRZ funds. e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 14-15.

²²⁴ DFID performance tranche funds were disbursed in the 2013/14, 2014/15, and 2016/17 fiscal years. ESPIG performance tranche funds were only disbursed in the 2014/15 financial year. Source: DFID, "ESPIG Annual Implementation Status Report, July 2016-June 2017," July 2017.

²²⁵ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 13.

²²⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 22.

²²⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 32-33. Additionally, according to Annex 2 of the July 2016 to June 2017 ESPIG Annual Implementation Status Report (p. 38), US\$ 3.8m of the TA component was not disbursed, and US\$ 0.9m of the Project Supervision/Evaluation component was also not disbursed.

²²⁸ It is expected that the remaining funds will be rolled-over in the next GPE grant application.

Table 3.13 GPE contributions to sector financing during the 2011 - 2019 review period

SIGNIFICANT CONTRIBUTION TO DOMESTIC FINANCING	SIGNIFICANT CONTRIBUTION TO INTERNATIONAL FINANCING
<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> ESPIG funds: Between 2014 and 2016, US\$18.5m of ESPIG funds were disbursed before funding was suspended. The grant was never reinstated, leaving US\$17.0m of the total US\$35.2m ESPIG grant undisbursed when the program closed in March 2019.²²⁹ Over this period, ESPIG funds were equivalent to 0.65 percent of MoGE expenditures, and 3.2 percent of the MoGE discretionary budget.²³⁰ Between 2014 and 2016, ESPIG funds accounted for 18.1 percent of all international financing disbursements to education.²³¹
MODERATE CONTRIBUTION TO DOMESTIC FINANCING	MODERATE CONTRIBUTION TO INTERNATIONAL FINANCING
<ul style="list-style-type: none"> DLM influence on domestic spending: The ESPIG included DLMs on public financial management, including reducing audit irregularities and implementing the Financial Management Action Plan (FMAP). This focused MoGE efforts on implementing these reforms, which temporarily contributed to improved efficiency of spending and public financial management. These targets were inconsistently met, however (2/3 in 2014 and 2015, 1/3 in 2016) and the degree of the contribution is unclear.²³² Another DLM, requiring that the share of the education budget dedicated to primary and secondary education increase progressively was met in 2014, 2015, and 2016.²³³ 	<ul style="list-style-type: none"> ESPIG co-funding: GPE's ESPIG (2009-2011 and 2013-2019) was co-funded with DFID, which contributed to harmonization between the two funders. However, donor stakeholders indicated that DFID would likely have provided the same allocation to the education sector in the absence of GPE. ESPIG modality: The Sector Budget Support modality used for the ESPIG (2013-2018/2019) contributed to improved predictability of international funding between 2013 and 2016. The transitioning of GPE funding away from the pooled fund (where it was channeled under NIF II) and introducing a new financing modality, decreased harmonization and weakened the already-declining pooled fund.

²²⁹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p.13. There are some discrepancies between various sources in the total amount of ESPIG funds disbursed. e-Pact reports that US\$18.2m were disbursed, compared to US\$17.7 in the July 2016 to June 2017 ESPIG Annual Implementation Status Report (p. 38). GPE's Zambia webpage (<https://www.globalpartnership.org/country/zambia>) reports that US\$ 21.3m had been disbursed.

²³⁰ These figures represent authors' calculations based on annual budget and ESBS disbursement figures. Because annual GPE disbursements are reported by DFID fiscal year (running April to March) and MoGE figures are reported by calendar year, GPE disbursements as a share of MoGE budget cannot be accurately determined by year. Disbursements are therefore reported as a share for the entire relevant period. Data from e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 34.

²³¹ Authors' calculations based on ePact data on GPE and total donor disbursements. Using ESSP data on total donor commitments and ePact data on GPE disbursements, this figure falls to 10.5 percent.

²³² e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 40-41.

²³³ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 51-52.

<ul style="list-style-type: none"> • CSEF Grants: The Zambia National Education Coalition (ZANEC) received funding under CSEF I, II, and III. This funding supported ZANEC's efforts to advocate for increased education sector budgets, including submitting position papers to the national parliament. These advocacy efforts contributed to the growth of education share of the national budget, which reached 20.2 percent in 2014.²³⁴ These levels were not sustained in subsequent years, largely due to economic decline and increasing debt service payments. 	<p>However, the education advisor included with ESBS boosted harmonization through support to PAF.</p>
LIMITED/NO CONTRIBUTION TO DOMESTIC FINANCING	LIMITED/NO CONTRIBUTION TO INTERNATIONAL FINANCING
<ul style="list-style-type: none"> • GPE Secretariat advocacy: Several donor stakeholders referenced GPE Secretariat advocacy for increased domestic education financing, leveraging unfavorable comparisons with other countries in the region, but noted that these efforts have not been successful in mobilizing additional financing. • ESPIG domestic funding requirement: GPE requires countries to meet or move towards meeting the 20 percent target and to commit to funding their ESP. During the 2011-2019 review period, domestic education financing only reached 20 percent in one year (2014) and has been declining since that point. Interviewed stakeholders did not connect the ESPIG funding requirement to changes in levels of domestic financing. One donor representative stated that the suspension of GPE funding further weakened any leverage the GPE Secretariat has in advocating for increased spending. 	<ul style="list-style-type: none"> • GPE multiplier: GPE's multiplier mechanism was not in effect in Zambia during the 2011-2019 review period. However, an allocation for US\$ 10m through the multiplier is available for application by 2020. This application will not move forward until all ongoing audit processes have been fully resolved.²³⁵ • GPE additionality: Neither donors nor MoGE representatives asserted that GPE activities attracted additional donors or additional international financing to the education sector. Several donor stakeholders expressed the belief that GPE activities had not catalyzed additional donor financing, citing the departure of donors and decline in international financing as evidence. Donors considering re-entry into the sector state that GPE has not influenced their investment decisions. • Sector Plan Development Grant: Zambia received a US\$ 498k ESPDG between 2016 and 2018 which contributed to the development of the ESSP and marginally increased the amount of international financing for education. A credible, endorsed ESSP is a prerequisite for the next round of ESPIG funding, which has yet to be applied for successfully.

107. Between 2014 and 2016, ESBS funds were perceived as more predictable than domestic funds, and were sometimes used to fill gaps when domestic disbursements came late.²³⁶ Prior to its suspension, the ESBS modality was also perceived as more predictable than the pooled fund, as disbursements from

²³⁴ Global Campaign for Education, "CSEF 2013-2015 Progress Report to UNESCO for the period 01 July to 31 December 2013." March 2015.

²³⁵ According to the GPE Secretariat, no funding applications will be considered until the forensic audit case is resolved.

²³⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 34.

pooled fund contributors were sometimes late or absent.²³⁷ GPE funds were additionally important because they came at a time when other donors were pulling out of the sector.

108. The evaluation did not note unexpected contributions of GPE to sector financing. However, it did note unintended mixed or negative effects of GPE. As the ESPIG associated with NIF II was funneled through the pooled fund, directing the NIF III ESPIG through ESBS represents a transition away from the pooled fund by GPE. Given the weak state of the pooled fund at the time of the introduction of ESBS (2013), channeling GPE/DFID support through the pooled fund could have had a revitalizing and strengthening effect. Several donor stakeholders indicated that actors at the time of the introduction of the ESBS expected the DFID/GPE support to be channeled through the pooled fund, and the decision to pursue ESBS effectively weakened the fund. Alternatively, the pooled fund's weakness constituted an argument in favor of the creation of a new funding mechanism, as it could be seen as signaling a fresh start in the context of already-strained relationships between donors and the MoGE.²³⁸

109. There is no evidence that GPE support directly displaced domestic or international financing. While the suspension of GPE/DFID funding and discontinuation of disbursements into the pooled fund occurred in close temporal proximity, it is important to note that the two events were not directly related. Donor representatives expressed that the decisions to halt funding for each organization were made independently – the decision to suspend GPE/DFID funding in 2016 did not lead to the cessation of donor disbursements to the pooled fund in 2016 and 2017, and vice versa.

Additional factors beyond GPE support

110. The evaluation did not identify additional **positive** factors that affected domestic financing beyond GPE support. Additional positive factors affecting international financing beyond GPE support include a number of donor initiatives contributing to the level of financing available in Zambia over the course of the review period, which are presented in Table 3.12.

111. Additional **negative** factors affecting international financing include a) the 2010 reclassification of Zambia as a lower-middle income country, which has contributed to diminished access to international financing as financing conditions have changed and donors shifted priorities²³⁹; and b) the already-noted donor discouragement stemming from a perceived lack of results, inability to attribute progress to donor investments, and a perceived lack of accountability around financial audits, leading donors to transition out of the sector, suspend funding, or switch from pooled to project funding. The primary negative factors affecting domestic financing include a) an economic downturn fueled by falling copper prices, decreased Chinese demand, policy uncertainty, and rising inflation; and b) a surge in public debt resulting from increased infrastructure investment.

²³⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 29.

²³⁸ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 15.

²³⁹ MoGE. 2018 Education Sector Analysis, p. 32

Observations on GPE's ToC and country-level operational model

Finding 11: Challenging macroeconomic factors placed serious constraints on the levels of domestic financing available for the education sector. GPE support and advocacy, especially in light of the suspension of ESPIG funding, was insufficient to increase domestic funding or preclude cuts to existing funding levels .

112. The first assumption of the GPE theory of change with regards to sector financing, that “GPE has sufficient leverage to influence the amount and quality of domestic education sector financing,” was found to **not hold true** in the context of Zambia, as the review period saw a sizeable decline in the share of government spending dedicated to education. While education spending briefly surpassed 20 percent of total government expenditure in 2014, these levels of funding were not sustained. Subsequent years saw a sharp decline in spending levels. While several of the DLMs aimed at improving public financial management that were connected to the ESPIG’s performance tranche were met in several years, these conditions were not sustained over the long term. Similarly, while CSEF grants supported CSO advocacy for increased funding, any increases in funding were not permanent, and the degree of causality stemming from CSEF funds could not be verified.

113. Levels of domestic financing were largely determined by macroeconomic factors beyond the influence of GPE, including levels of external debt and world copper prices. As total government expenditure was stagnating or falling, there was no evidence that GPE activities effectively protected prior levels of spending or forestalled cuts. The suspension of ESPIG funding further eroded GPE leverage over Zambia’s domestic financing. There is evidence that the remainder of ESPIG funds were not sufficient leverage for the adoption of financial accountability measures, as the conditions for resumption of ESPIG funding enumerated by the Performance Improvement Plan were not met. Furthermore, while ESPIG funds represented an important contribution to discretionary funding, they accounted for a small proportion of total education spending.

Finding 12: The Sector Budget Support modality through which the ESPIG was channeled did not substantially improve the quality of international education financing. ESPIG funds only contributed marginally to the volume of international education finance, doing little to offset its overall decline.

114. The second assumption, that “external (contextual) factors permit national and international stakeholders to increase/improve the quantity and quality of sector financing,” was also found to **not hold true**. The quantity of international financing decreased over the review period due to a myriad of factors, including an environment of declining trust between donors and government actors, the reclassification of Zambia as an LMIC, and challenges regarding sector performance and accountability. These factors have led to the departure of donors from the sector and the suspension of the pooled fund and sector budget support. Donor representatives interviewed through this evaluation expressed a preference for project-based funding and a skepticism toward pooled funding mechanisms, largely based on concerns around financial accountability and disappointment in results stemming from pooled fund contributions. By the end of the review period, both ESBS and the pooled fund had ceased disbursement, and donors entering or considering entry into the sector were favoring project-based support.

115. The impact of the GPE/DFID ESBS on the quality of donor financing is mixed. The modality represented an improvement over the pooled fund in that it had greater predictability, but it also weakened the pooled fund through the creation of a similar yet separate modality. Notwithstanding, it is unclear whether the eventual outcome of a complete suspension of pooled funding would have been avoided if ESPIG and DFID funds had been directed through the pooled fund.

3.5 GPE contributions to sector plan implementation²⁴⁰

Overview

116. This section addresses the following evaluation questions:

- What have been the strengths and weaknesses of sector plan implementation during the review period? Why? (CEQ 1.3)
- Has GPE contributed to observed characteristics of sector plan implementation? If so, how and why? (CEQ 1.4) Has GPE support had any unintended effects, positive or negative? (CEQ 3.2)
- What other factors contributed to observed characteristics of plan implementation? (CEQ 3.1)
- Going forward, what are implications of findings for the GPE ToC/operational model? (CEQ 7)

117. Table 3.14 provides an overview of evaluation findings on sector plan implementation and on related GPE contributions during the review period. These observations are elaborated on through the findings and supporting evidence presented below.

Table 3.14 Overview: CLE findings on sector plan implementation and related GPE contributions

PROGRESS MADE TOWARDS SECTOR PLAN IMPLEMENTATION	DEGREE OF GPE CONTRIBUTION	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ²⁴¹					
		1	2	3	4	5	6
Moderate: Available evidence indicates that 58 percent of NIF III activities were fully or partially achieved. Much of this was due to activities conducted through 2016, as few contributions to implementation were made in 2017-2018.	Limited: Because of the suspension of ESBS funding, GPE funds constituted just 0.65 percent of MoGE expenditures from 2014 to 2016. GPE did not disburse ESPIG funds in 2017-18. DLMs provided some incentive to focus on selected indicators, but ultimately just US\$ 1.1m was disbursed.						

²⁴⁰ This section addresses evaluation questions 1.3 and 1.4, as well as (cross-cutting) CEQs 3.1 and 3.2.

²⁴¹ For sector plan implementation, the six underlying assumptions in the country level ToC were: (1) Relevant government actors having the *motivation* to implement the sector plan; (2) government actors gave the *opportunity* (resources, time, conducive environment) to implement the plan; (3) government actors have the *technical capabilities* to do so; (4) country level stakeholders have the motivation and opportunity to align their own activities with the priorities of the ESP; (5) country level stakeholders take part in regular, evidence-based joint sector reviews and apply resulting recommendations to enhance ESP implementation; (6) the sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data.

Strengths and weaknesses of sector plan implementation

Finding 13: While the NIF III effectively acted as the guiding policy document for the sector, its implementation was uneven. Progress was made on implementing NIF III activities between 2011 and 2016, but cuts to domestic and international financing and high levels of turnover in the MoGE severely constrained plan implementation in 2017-2018. Even so, 58 percent of actions called for in the NIF III had fully or partially taken place.

118. Between 2011 and 2018, activities in the education sector were guided by the NIF III. The NIF III was initially intended to cover an implementation period of 2011 to 2015. However, it was extended to 2016 to align with the SNDP's extension to 2016, which included updating a number of annual targets. In 2016, 72 percent of NIF III activities could be found in annual work plans, indicating that the planning document

was acting as a guiding force for the implementation of sector activities.²⁴² Additionally, because the ESSP was not finalized until late 2018, the NIF III remained the major sector planning document through 2018, even though it was not officially extended. In this latter period, it did not adequately set priorities for the sector, which was especially significant in the sector's context of resource scarcity.²⁴³

119. The primary mechanism for tracking the NIF III's implementation was the Performance Assessment Framework (PAF). The PAF tracked 34 priority policy indicators, outputs, and education outcomes, including the 6 DLMS included in ESBS, and assigned yearly targets to each. An assessment of these indicators indicates that by 2017, 11 of the targets (32 percent) had been fully achieved, 12 (35 percent) had been partially achieved, and 11 (32 percent) had not been achieved. See Appendix XII to review PAF indicators, targets, and accomplishments in detail.

120. Additionally, the NIF III outlined objectives for each subsector, as well as strategies, key activities, and targets for accomplishing each objective. The evaluation team conducted a review of activities included in the NIF III.²⁴⁴ Given GPE's focus on basic education, the review limited its scope to subsectors related to basic education and institutional development, namely Early Childhood Education; Primary Education; Secondary Education; Teacher Education, Supply, and Management; Institutional and Human Resource Framework, and Implementation and M&E Framework.²⁴⁵ The evaluation team identified 70 priority activities within these areas. Of these activities, 19 were largely achieved in the 2011-2019 review period (27 percent), 22 were partially achieved (31 percent), and 7 were not achieved (10 percent).²⁴⁶ Additionally, data was not available to indicate the degree to which 22 activities (31 percent) were implemented, and it is likely that many of these activities were not implemented.²⁴⁷ Virtually all of the activities carried out by the MoGE during the review period were included in the activities laid out by the NIF III. Table 3.15 provides examples of the aforementioned activities. A comprehensive listing of these activities, and their degree of completion, can be found in Appendix XII.

Table 3.15 Review period achievements against NIF III activity-level targets²⁴⁸

ACCESS ²⁴⁹	QUALITY	INSTITUTIONAL DEVELOPMENT
PLANNED NIF III ACTIVITIES WHICH WERE LARGELY ACHIEVED 2011-2019		

²⁴² MoGE. Education and Skills Sector: Fourth National Implementation Framework (NIF IV) Situation Analysis (initial draft for consultation). May 2016

²⁴³ ePact, pg.?

²⁴⁴ Based on the Education Sector Extended National Implementation Framework III: 2011-2016.

²⁴⁵ Omitting Technical Education, Vocational and Entrepreneurship Training; Youth and Adult Literacy; University Education; Infrastructure Development; and ICT in Education

²⁴⁶ In a separate assessment of progress against NIF III activities, the 2016 NIF IV Situation Analysis assessed that 30 percent of NIF III activities were "on track," 30 percent were "partially implemented," and 12 percent were "off track," but had made some progress toward the NIF III targets. Source: MoGE. Education and Skills Sector: Fourth National Implementation Framework (NIF IV) Situation Analysis (initial draft for consultation). May 2016

²⁴⁷ Relatedly, the ESA indicates that there has not been full reporting against the 286 output indicators across all subsectoral areas of the NIF III (MoGE, ESA, p 22), which presented challenges in verifying the level of implementation of many of the activities included in the NIF III.

²⁴⁹ The NIF III does not classify objectives or activities into Access, Quality, and Institutional Development categories. The categorization of NIF III activities into these buckets is indicative, and was made by the evaluation team to aid in the analysis of plan implementation.

- **Fifty-Fifty policy:** In 2011, MoGE implemented the Fifty-Fifty policy, which mandates that one girl be enrolled for every boy enrolled in primary and secondary school. Although there are enforcement gaps at the senior secondary level, the policy has improved gender parity at lower grades (2018 ESA).
- **Bursaries to vulnerable learners:** The number of bursaries distributed to secondary students roughly tripled between 2011 and 2015, from roughly 15k to 46k, with the majority going to girls. Much of this increase has been a result of bursaries shifting from primary to secondary students (2018 ESA). Little data is available about bursaries to other vulnerable groups.
- **Development of new ECE, primary, and secondary curricula:** A new curriculum was developed and introduced to all schools, covering all levels of general education. The new curriculum includes the introduction of local languages as the language of instruction for ECE and the first four grades of primary. It also includes the establishment of a two-tier secondary education system, which introduced a vocational track for grades 8 through 12 (2018 ESA)
- **Revise ECE teacher education curriculum:** An ECE teacher training curriculum has been developed, and was introduced as a subject in 11 teacher training colleges (2018 ESA).
- **Creation of ECE directorate:** In 2015, the Directorate of Early Childhood Education (DECE) was created, elevating its status in the sector. The ECE Directorate now has the mandate to develop policy frameworks, expand access, and coordinate delivery (2018 ESA).
- **ECE Policy:** An ECE policy was also launched in 2015, with the objectives of establishing a financing mechanism for supporting ECE development and ensure the rights of young children (ePact).
- **Establish the Teaching Council:** The Teaching Council was established in 2014 and fully operational by 2017. It serves to regulate teacher training institutions, develop teacher qualifications, and promote continuing professional development (ePact 2018).

PLANNED NIF III ACTIVITIES WHICH WERE PARTIALLY ACHIEVED 2011-2019

- **Primary & secondary school construction:** Between 2011 and 2017, the number of primary schools increased from 8,386 to 8,843. The number of secondary schools increased from 487 to 1,009. Non-release of MoF funds led to very little construction in 2016-17 (2016, 2018 JAR; ePact)
- **ECE school construction:** Most ECE construction has been through annexing ECE classrooms to existing primary schools. While the number of ECE centers has greatly increased, it failed to meet targets because of low levels of funding (ePact 2018).
- **Develop and distribute TLMs for ECE:** MoGE developed TLMs for ECE grades in alignment with the new curriculum, including instruction in the language of play, and distributed them to 886 ECE centers, out of a total of 1,849 ECE centers (2018 ESA).
- **Procurement of primary and secondary TLMs:** New textbooks aligned with the new curriculum were developed for all grades. Textbook procurement has been inadequate to meet needs because of delays and shortfalls in budget releases. For example, in 2016 only 1.6m of a planned 6.3m books were procured. There are four primary students
- **Leadership and management training program:** By 2015, 2,983 head teachers, deputy heads, senior teachers, and heads of department were trained, fewer than half of the target of 8,000 (2018 ESA)
- **Grants to primary and secondary schools:** While the average grant amount increased between 2012 and 2016, disbursements in 2017 were late and much lower than what was budgeted (2016 JAR; ePact 2018)

²⁴⁹ The NIF III does not classify objectives or activities into Access, Quality, and Institutional Development categories. The categorization of NIF III activities into these buckets is indicative, and was made by the evaluation team to aid in the analysis of plan implementation.

- **School feeding program:** By 2017, the Home Grown School Feeding Program reached 1.1m students in 2,590 schools, with support from the World Food Programme and Mary's Meals (2017 JAR). Data on whether the 2018 target of 1.5m children has been reached is unavailable.
 - **Training and deploying ECE teachers:** Teacher training colleges have begun instructing teachers in ECE, and roughly 500 graduate annually. Funding shortfalls have meant fewer teachers were trained than expected; only 25 were recruited in 2015 (ESA).
 - **Train and deploy primary and secondary teachers:** The teacher supply at primary increased from 65k to 74k from 2011 to 2016, and at secondary from 13k to 22k (ePact 2018). However, the 2016 teacher shortage at primary was 4,844, and 12,436 at secondary. (2018 ESA).
- for each English and math textbook. The shortfall at secondary is worse (6:1 for math, 3.5:1 for English) (ESA 2018).
- **Train teachers in guidance and counselling:** A handbook on guidance and counselling was finalized, and three teachers' colleges introduced programs in psychosocial care and support (2015 JAR). However, many secondary and no primary schools do not have guidance and counselling teachers (ESSP Annex 3).
 - **Expand access to mobile science labs:** The National Science Center produced 1,700 mobile science kits and distributed them to 340 schools and 10 colleges of education. However, most public schools still do not have the equipment required to teach science and other vocational curricula (2018 ESA).

PLANNED NIF III ACTIVITIES WHICH WERE NOT ACHIEVED 2011-2019

- n/a
- **Construct zonal teacher resource centers:** No new construction has taken place as the MoGE has prioritized construction of schools due to financial constraints. Existing centers require rehabilitation restocking with updated equipment and materials (2018 ESA)
- **Functionality of the Integrated Financial Management Information System:** By 2017, IFMIS was not being used, as pooled fund disbursements had ceased. Even prior to 2017, budget commitment and arrears data was recorded outside IFMIS, and data was questionably reliable (ePact 2018)
- **Improvements in M&E capacity:** ECE is not included in the school census. Data collection instruments have not been integrated and did not appreciably improve over the review period. Some routine school monitoring activities have stopped taking place. After initial improvement, JAR quality

declined to 2012 levels (ePact, MoGE interviews)

121. According to MoGE stakeholders, the foremost obstacle to NIF III implementation was a shortfall in sector financing. Every MoGE directorate interviewed expressed that lack of access to financing constrained the implementation of planned activities.²⁵⁰ This shortfall was principally caused by a reduced education budget and diminished disbursement of domestic funds but was also affected by the suspension of financing from donors. Financing shortfalls contributed to the inability to procure TLMs at all levels;²⁵¹ inability to procure equipment to support the introduction of the vocational pathway in secondary education;²⁵² inadequate transportation for monitoring educational programs;²⁵³ low staffing, most notably in rural areas;²⁵⁴ retraining teachers in the new curriculum;²⁵⁵ inability to conduct planned rounds of the EGRA and EGMA;²⁵⁶ and low levels of construction of ECE, primary, and secondary schools.²⁵⁷ Additionally, unpredictability of funding flows or delays in releases of funds have jeopardized or eroded past achievements. For example, some schools have been left partially constructed for years, awaiting relatively small disbursements to be completed.²⁵⁸

122. One of the major accomplishments of the NIF III period was the development and phased roll-out of a new curriculum, covering from ECE to 12th grade. This involved writing new curricula for each grade, introducing local languages as a language of instruction for ECE and grades 1-4, and introducing a vocational track to grades 8-12, including new academic subjects. This initiative required updating the teacher training curricula; developing, procuring, and distributing TLMs to all grades; and supplying supplemental educational materials to vocational classrooms. Some components of the implementation of the new curriculum were more successful than others. The curriculum for each grade was developed and introduced on schedule, which was harmonized with the updated curriculum in teacher training colleges. However, there were widespread challenges related to the procurement and distribution of textbooks and other TLMs to accompany the updated curriculum, and monitoring of the roll-out of the new curriculum and its effects on learning largely did not take place. These challenges were largely related to funding shortages but were also affected by inefficiencies in procurement procedures, including misalignment in the timing of curriculum development and textbook procurement and a lack of procurement capacity at the district level.²⁵⁹ As a result, teachers and students frequently did not have access to updated textbooks and TLMs; many teachers were not trained in the updated curriculum;

²⁵⁰ This sentiment was also reflected in documentation, e.g. the 2015 JAR report.

²⁵¹ 2014 JAR report

²⁵² 2015 JAR report

²⁵³ 2014 JAR report

²⁵⁴ 2015 JAR report

²⁵⁵ 2015 JAR report

²⁵⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p.104.

²⁵⁷ 2016 JAR report

²⁵⁸ The schools in question had operational classrooms, but because boarding facilities had not been completed, only students from nearby were able to attend. GPE. May-June 2016. Zambia Back-to-Office Report.

²⁵⁹ World Bank. "Education Public Expenditure Review in Zambia." December 2015, p. 5. For example, textbook distribution was delayed until the middle of the 2013/2014 school year because textbooks had to be procured centrally due to limitations in district-level procurement capacity.

teachers were not accompanied or supervised in their efforts to adapt to the new curriculum; and the effects of the updated curriculum were inconsistently recorded.²⁶⁰

GPE contributions to sector plan implementation

Finding 14: GPE's primary contribution to NIF III implementation was sector budget support, through core and performance-based modalities. Because of the suspension of ESBS funding, nearly half of the ESPIG grant was not disbursed, limiting the effectiveness of GPE support.

123. GPE uses a series of financial and non-financial mechanisms to support sector plan implementation. Table 3.16 gives an overview of these mechanisms, organized by whether they are likely to have made a significant, moderately significant, or insignificant contribution to plan implementation in Zambia. This classification does not constitute a formal score.

Table 3.16 GPE contributed to plan implementation through financial support and incentives

SIGNIFICANT CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION
<ul style="list-style-type: none"> • ESBS modality: The ESBS modality offered greater predictability through its disbursements than either the pooled fund or the MoGE, which enabled a smoother implementation of NIF III components supported by the ESPIG during the 2014-2016 period. Bundling GPE and DFID funding reduced transaction costs, although these costs would have been similarly low had support been channeled through the pooled fund, which was used for the previous ESPIG.
MODERATE CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION
<ul style="list-style-type: none"> • ESPIG core budget support: ESPIG funds did not constitute a significant increase in the overall level of financing available to the MoGE (constituting 0.65 percent of the total 2014-2016 MoGE budget). Nevertheless, ESBS funds (25 percent of which came from the ESPIG) did contribute significantly to certain programmatic areas, in particular supporting and enabling curriculum development and roll-out, procurement and distribution of TLMs, and improvements to teacher education. Nevertheless, ESPIG support was mitigated by the suspension of ESBS funding, meaning that only US\$ 16.6m of the budgeted US\$ 25.6m of ESPIG core budget support was disbursed. • ESPIG performance tranche: Disbursements from the ESPIG performance tranche were tied to progress along six disbursement-linked milestones (DLMs), selected from PAF indicators. Over the course of NIF III, progress was made along all six of these indicators, and the DLMs helped attract greater attention from MoGE toward meeting DLM targets. However, DLMs attracted attention away from other PAF indicators.²⁶¹ Additionally, DLM targets were met only intermittently, and only US\$1.1m was disbursed of the US\$ 4.8m that was budgeted as a part of the ESPIG performance component.²⁶² • Grant Agent: As the GA, DFID played a valuable role through its management of the ESBS project, including provision of technical assistance and engagement in dialogue. However, it is unclear whether this role would be different in the absence of GPE, as the DFID-funded component of ESBS would have occurred regardless of GPE involvement. One component of ESBS support was the provision of a DFID education advisor, who played

²⁶⁰ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p.104.

²⁶¹ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming)

²⁶² DFID. "ESPIG – Annual Implementation Status Report – July 2016-June 2017." 2017, p. 38.

an important role in moving forward PAF development and strengthening sector dialogue. However, there is no evidence that GPE funds were used to support the advisor.

- **Zambia Education Sector Support Technical Assistance facility (ZESSTA):** ZESSTA contributed considerably to NIF III implementation through the provision of technical assistance to the MoGE and the development of a large number of outputs, including teacher guides, curriculum implementation guides, a number of studies, and support to budget reports. However, the utility of this support was mitigated by a two-year delay in beginning implementation of ZESSTA activities and budget shortfalls preventing the MoGE from implementing or utilizing many of these outputs.²⁶³ ZESSTA operations ended in January of 2018.²⁶⁴

LIMITED/NO CONTRIBUTION TO SECTOR PLAN IMPLEMENTATION

- **Education Sector Plan Development Grant:** Zambia was awarded a US\$ 498k ESPDG to support the completion of its ESSP. The ESPDG supported a number of diagnostic studies and somewhat accelerated the process of ESSP development. Nevertheless, there were still extensive delays in preparing the ESSP. The conclusion of the NIF III was officially extended from 2015 to 2016, in line with SNDP's extension, but was further extended to 2018 given delays in ESSP and 7NDP development.²⁶⁵ This meant that the NIF III was extended three years longer than it was initially planned, contributing to a lack of strategic direction in the MoGE and reducing strategic prioritization in plan implementation.
- **ESPIG co-funding:** There is no evidence that ESPIG co-funding affected the magnitude of the DFID component of the ESBS program.
- **Coordinating Agency:** While UNICEF as the CA has played a valuable role in their support to sector dialogue and sector planning, it is unclear whether UNICEF's support to sector plan implementation would differ if they were not acting as CA.
- **Secretariat visits:** MoGE and donor stakeholders alike expressed appreciation for the Secretariat's role in creating consensus and bringing actors together in an often difficult political environment. However, stakeholders did not provide specific examples of how Secretariat visits or guidance supported NIF III implementation.
- **CSEF/GRA funds:** There is no evidence that CSEF or GRA-funded activities supported plan implementation.

124. GPE's US\$ 35.2m ESPIG cofunded the ESBS Programme with DFID, who committed US\$ 58.1m, for a total of US\$ 93.3m. ESPIG funds accounted for 38 percent of the initial grant package, but because of the suspension and non-resumption of funding by the ESPIG's closing date of March 2019, GPE only disbursed US\$ 18.2m, which accounted for 25 percent of the project's total disbursement. While ESPIG and DFID funds were largely pooled, making specific attributions difficult, the relative size of the contributions of each actor can illustrate the degree of contribution to sector plan implementation. Table 3.17 below provides a breakdown of the relative contributions of DFID and GPE to ESBS allocations and disbursements by program component.

²⁶³ DFID. "ESPIG – Annual Implementation Status Report – July 2016-June 2017." 2017; ePact 2018

²⁶⁴ ePact 2018, p. 94.

²⁶⁵ ePact 2018

Table 3.17 GPE and ESBS allocation and disbursement, by project component²⁶⁶

PROJECT COMPONENT	TOTAL ESBS ALLOCATION, US\$ MILLIONS	GPE ALLOCATION, US\$ MILLIONS (% TOTAL ALLOCATION)	TOTAL ESBS DISBURSEMENT US\$ MILLIONS	GPE DISBURSEMENT US\$ MILLIONS (% TOTAL DISBURSEMENT)
Core sector budget support	67.5m	25.6m (38%)	58.6m	16.6m (28%)
Performance tranche – sector budget support	14.1m	4.8m (34%)	7.4m	1.1m (14%)
Technical Assistance	8.6m	3.8m (44%)	5.6m	0.8m (14%)
Project supervision / evaluation	3.1m	0.9m (30%)	0.8m	0 (0%)
Total	93.3m	35.1 (38%)	72.4m	18.5 (25%)

Source: DFID. “ESPIG – Annual Implementation Status Report – July 2016-June 2017

125. **Core Sector Budget Support:** ESBS funds were allocated to a number of MoGE programs. In 2014, prior to the adoption of Output-Based Budgeting (OBB), a breakdown of ESBS funds against the MoGE release is available. The greatest share of ESBS funds were allocated to curriculum development (US\$ 6.5m, compared to MoGE’s US\$ 7.6m budget release), school grants (US\$ 4.4m, compared to MoGE’s US\$142m budget release), and teacher education (US\$2.1m, against MoGE’s US\$4.7m). Therefore, while ESBS only made up about two percent of total MoGE expenditure in 2014, it accounted for a sizeable proportion of spending in several programmatic areas. For 2015 and 2016, a breakdown is not available by programmatic area, but most ESBS financing (78% in 2015) was directed toward the primary and secondary subsectors, where it accounted for about two percent of spending in each subsector.²⁶⁷

126. MoGE planned a number of specific activities using ESBS support for 2017, including the purchase and distribution of TLMs, monitoring access to TLMs, disbursement of some school grants, and support to distance education. However, these activities went unfunded after the suspension of ESBS funds, and were subsequently not carried out, demonstrating the additionality and importance of ESBS funds to MoGE activities, as well as the cost to the sector when funds were not disbursed.²⁶⁸

127. **Performance tranche:** The ESBS performance tranche included six disbursement-linked milestones (DLMs), through which US\$ 14.1m (US\$ 4.8m through GPE’s ESPIG) was initially allocated, and US\$ 7.4m (US\$ 1.1m from GPE) was eventually disbursed.²⁶⁹ The DLMs (which were selected from indicators and targets included in the PAF) were helpful in directing additional attention on the issues targeted by the

²⁶⁶ DFID. “ESPIG – Annual Implementation Status Report – July 2016-June 2017.” 2017, p. 38. Note that there are some discrepancies between disbursement figures in this source and those in other parts of the report. These figures are used here because they break down ESPIG commitments and disbursements by component. The GPE – Zambia website indicates slightly higher total disbursements. GPE share is author’s calculation. The conversion rate between British Pounds and US Dollars used in the Implementation Status Report is inconsistent between various ESBS project components, leading to additional minor inconsistencies between the figures reported here and elsewhere in the document.

²⁶⁷ ePact, p. 35-36.

²⁶⁸ ePact, p. 36-37.

²⁶⁹ It is important to note that DFID/GPE funding did not fall under the GPE’s new funding model. However, a disbursement-linked milestones (DLMs) mechanism was designed and used by the GA.

performance tranche, but had an unintended effect of drawing attention and funding away from other important PAF indicators.²⁷⁰ Progress was made on each of the indicators through 2016, but in many cases progress dipped or was not verifiable in 2017, calling into question the sustainability of some of these improvements. A summary of progress toward meeting DLM targets is presented in Table 3.18 below.

Table 3.18 *Implementation progress related to GPE Performance Tranche Disbursement-linked Milestones*²⁷¹

DISBURSEMENT-LINKED MILESTONE	2016 TARGET (AGAINST 2012 BASELINE)	IMPLEMENTATION PROGRESS DURING THE REVIEW PERIOD
DLM 1: Improved grade 9-10 transition rate	Increase from 45.5 percent to 48 percent	<ul style="list-style-type: none"> Achieved: By 2016, the total transition rate had reached 49 percent. However, there was a significant disparity between the rate for boys (51.2 percent) and girls (46.9 percent), and the transition rate declined to 48 percent in 2017.
DLM 2: Average amount of school grant per child	Primary: Increase from 28.6 ZMW to 52.4 ZMW Secondary: Increase from 48.2 ZMW to 155 ZMW	<ul style="list-style-type: none"> Partially achieved: By 2016, grant allocations had increased to 51.2 ZMW in primary and 160.4 ZMW in secondary, demonstrating an increase but narrowly missing the primary target. However, there is evidence that grants are not reaching some schools and that there are inaccuracies in reporting on disbursements. Furthermore, 2017 grant disbursements were delayed and significantly below what was budgeted.²⁷²
DLM 3: Share of primary and secondary schools that have implemented School-Based Continuous Professional Development (SBCPD) through lesson study	Primary: 95 percent in 3 provinces Secondary: 96 percent in 10 provinces	<ul style="list-style-type: none"> Achieved: While data was not reported in the same format as the original target, the number of schools reached (4,162) exceeded the target (2,121). However, project documents question reliability of data, given that it was self-reported.²⁷³
DLM 4: Share of the Financial Management Plan (FMAP) activities implemented	FMAP implemented and 80 percent complete	<ul style="list-style-type: none"> Partially achieved: By 2016, 83 percent of FMAP activities had been implemented. However, these figures were self-reported and could not be verified. Additionally, after 2017 progress was not sustained.
DLM 5: National Assessment Survey (NAS) on literacy and numeracy at grade 5 conducted and results disseminated	Grade 5 NAS conducted and disseminated	<ul style="list-style-type: none"> Partially achieved: The Grade 5 NAS was conducted in 2016, but results from the survey were only circulated after a two-year delay.

²⁷⁰ ePact p. 52

²⁷¹ Sources include ePact 2018, the ESPIG Annual Implementation Status Report for July 2016-June 2017, 2015 MoGE Annual Progress Report, and 2017 Performance Assessment Framework Targets. See Appendix VII for an annual breakdown of progress against DLMS.

²⁷² ePact 2018

²⁷³ ESPIG Annual Implementation Status Report for July 2016-June 2017

DISBURSEMENT-LINKED MILESTONE	2016 TARGET (AGAINST 2012 BASELINE)	IMPLEMENTATION PROGRESS DURING THE REVIEW PERIOD
DLM 6: Minimum percent of budget allocated to primary and secondary	Basic/primary: Increase from 48.2 to 65 percent High/secondary: increase from 11.5 to 24 percent	<ul style="list-style-type: none"> • Achieved: By 2016, the primary share of the MoGE budget increased to 67.9 percent, and the secondary share increased to 24.1 percent.

128. **Zambia Education Sector Support Technical Assistance facility (ZESSTA):** ZESSTA was initially designed to provide technical assistance to the MoGE through work along nine work streams, with a tenth added in early 2017.²⁷⁴ Because of delays in procurement, the implementation of the ZESSTA component of ESBS did not begin until two years after ESBS began implementation, diminishing both the component's complementarity to other project components, as well as its eventual impact. Nevertheless, it was still able to provide a number of valuable contributions to NIF III implementation.²⁷⁵ ZESSTA outputs include developing teachers' guides for literacy and numeracy and learners activity books in local languages; financial management guides for primary schools; teachers' curriculum implementation guides; conducting an ICT infrastructure assessment for the MoGE; professional teachers' standards; support for the development of education statistical bulletins; various studies covering topics such as teacher payroll mismatch and teacher deployment and retention in rural areas; and developing a national literacy framework, among others.²⁷⁶ Beyond direct provision of technical assistance, ZESSTA supported improved coordination and morale throughout the MoGE. While ZESSTA produced a large number of valuable outputs throughout its operational period, resource constraints prevented the deployment or utilization of several of the products, reducing the overall impact of the modality.²⁷⁷

²⁷⁴ ZESSTA workstreams included Public Financial Management (PFM), Human Resource Management, Institutional Leadership and Management, Education Management Information Systems, Monitoring and Evaluation, Evidence-Based Planning, Teacher Education, Implementation of the Revised Curriculum, Assessment Systems. The additional tenth workstream dealt with public financial management. Source: DFID. "ESPIG Annual Implementation Status Report – July 2016-June 2017." July 2017.

²⁷⁵ ePact, p. 62

²⁷⁶ DFID. "ESPIG Annual Implementation Status Report – July 2016-June 2017." July 2017.

²⁷⁷ ePact, p. 62

Additional factors beyond GPE support

129. Additional factors beyond GPE support that **positively** supported the implementation of the NIF III included a number of donor-funded initiatives aligned with the NIF III, which are described in Box 3.2 below.

Box 3.2. Major donor-funded initiatives during the 2011-2019 review period

JICA Enhancing Teacher Professional Growth through the Practice of Lesson Study. Since 2005, JICA has supported the improvement of teacher professional development through the Lesson Study approach, which has grown to cover 10 provinces and 46,058 teachers over the course of four phases of work.²⁷⁸

JICA Project for Improvement of Pedagogical Content Knowledge (IPeCK): Linking Pre-Service and In-Service Education (2016-2019). IPeCK serves to improve the quality of teacher education in science and mathematics through support to colleges of education, including provision of training and development of teaching and learning materials.²⁷⁹

USAID Read to Succeed (US\$ 24.1m, 2012-2017). Read to Succeed targets the improvement of early grade reading outcomes by supporting reforms in school management practices, strengthening teacher skills, and improving community oversight through collaboration with parent-teacher associations in six provinces.²⁸⁰

USAID Strengthening Educational Performance (STEP-Up) Zambia (US\$ 23.8m, 2011-2016). STEP-Up directly supported MoGE leadership in their improvement of management practices and policy development geared toward improving student learning, incorporating principles of evidence-based decision-making. It also contributed information and oversight tools to improve accountability for results in the delivery of the national reading program.²⁸¹ STEP-Up included the launch of the Let's Read campaign, in support of the new national public school curriculum, including the incorporation of local languages into primary school instruction. The goal of the Campaign is to motivate actors such as parents, communities, and provincial and district education officials to focus resources on literacy instruction.²⁸² USAID support through the Let's Read initiative will be continued through a US\$ 48m project running from 2019 through 2024 that aims to improve reading performance of 1.4 million students in grades 1 through 3 in 4,300 schools located in five provinces.

USAID Time to Learn (US\$ 30m, 2012-2017). Time to Learn worked with the MoGE to improve the quality of community schools, particularly geared toward improving educational opportunities for orphans and vulnerable children in early grades. This project also provides support for the transition of orphans and vulnerable children

²⁷⁸ Zambia Daily Mail, "Japan key partner in education," June 17, 2016, Accessed June 5, 2019, at <http://www.daily-mail.co.zm/japan-key-partner-in-education/>

²⁷⁹ JICA, Outline of the Project webpage: Project for Improvement of Pedagogical Content Knowledge: Linking Pre-Service and In-Service Education. Accessed June 5, 2019, at <https://www.jica.go.jp/project/english/zambia/009/outline/index.html>

²⁸⁰ USAID Zambia, "Partners in Zambia's Development," Lusaka, July 2016, p. 13.

²⁸¹ USAID Zambia, "Partners in Zambia's Development," Lusaka, July 2016, p. 13.

²⁸² U.S. Embassy in Zambia, "United States Joins Zambia in Launching 'Let's Read, Zambia' Mobilization Campaign," Lusaka, January 17, 2014. Accessed June 5, 2019, at <https://zm.usembassy.gov/united-states-joins-zambia-in-launching-lets-read-zambia-mobilization-campaign/>

from community to government-funded schools. Time to Learn has provided early grade reading support to 420,000 primary school children, and has distributed scholarships to 42,000 children for secondary education.²⁸³

World Bank: Zambia Education Enhancement Project (ZEEP) (US\$ 60m, 2017-2022). ZEEP's three components include (1) supporting teaching and learning quality by improving teacher training and increasing textbook availability in primary and secondary schools; (2) supporting the construction of additional secondary school classrooms in underserved rural communities, with a goal of adding 22,960 seats; and (3) supporting the development of institutional capacity for strategic planning, monitoring, and evaluation at the MoGE by providing technical assistance around data management and school mapping.²⁸⁴

130. Additional factors **negatively** affecting NIF III implementation include (a) Delays in restructuring the MESVTEE, which hampered the Ministry's responsiveness;²⁸⁵ (b) weaknesses in MoGE coordination with publishers and staff shortages around procurement at decentralized levels, which led to delays in procurement and distribution of TLMs;²⁸⁶ and (c) massive levels of turnover among MoGE staff, especially at the director level and above. Between 2015 and 2017 there were three ministers of education, three permanent secretaries, and at least two directors in three directorates. Turnover was primarily driven by politically-driven transfers to other ministries, or departure for better-paying private sector job opportunities.²⁸⁷ Additionally, many key director-level positions were left vacant for significant periods of time, which adversely affected dialogue and coordination with donor partners²⁸⁸ and reduced leadership and continuity in implementation.

Implications for GPE's ToC and country-level operational model

Finding 15: A number of extraordinarily difficult factors, including acute resource shortages and transitions within the MoGE collectively impeded sector plan implementation toward the end of the NIF III period. GPE support was insufficient to overcome these challenges, especially after ESPIG funding was suspended.

131. The evaluation found that GPE primarily contributed to NIF III implementation through sector budget support and the ESPIG performance tranche, although the effectiveness of this support was curtailed by the suspension of funding, leaving nearly half of ESPIG funds undisbursed. While these funds facilitated sector plan implementation through 2016, their suspension prevented certain plan components whose implementation had been planned with ESBS funds from being implemented, or in some cases, prevented already-developed outputs from being used to full effect. For example, teacher guides were developed and printed through ZESSTA, but were not able to be distributed due to the suspension of funds.²⁸⁹ The decision to suspend funding and condition its resumption on progress against a Performance Improvement Plan made the ESPIG's core tranche behave more like an additional DLM.

²⁸³ USAID Zambia, "Partners in Zambia's Development," Lusaka, July 2016, p. 14.

²⁸⁴ World Bank, "Combined Project Information Documents/Integrated Safeguards Data Sheet: Zambia Education Enhancement Project (P158570)," June 2017.

²⁸⁵ 2015 JAR report

²⁸⁶ 2015 JAR report

²⁸⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p.45.

²⁸⁸ ePact, p. 46

²⁸⁹ ePact, p. 37.

132. The assumptions that relevant government actors have the (i) motivation, (ii) opportunity, and (iii) capabilities to implement the sector plan held **partially true**, largely because of progress gained through 2016. However, in subsequent years high levels of turnover, the decline in availability of domestic funds, and the suspension of donor funding seriously constrained sector plan implementation. All of the activities conducted by the MoGE during the review period were included in the NIF III, demonstrating alignment between the plan and MoGE priorities. However, high levels of turnover in MoGE leadership detracted from the sector's strategic direction and prioritization. During the 2011-2016 period, the MoGE had access to increasing domestic financial resources and a moderately reliable flow of resources from international sources, which enabled implementation of many NIF III components. However, a combination of factors including a domestic financial downturn, suspension of international finances, and disruptions caused by staff turnover severely constrained access to resources and hampered the efficacy of the MoGE. Together, these factors prevented the MoGE from continuing NIF III implementation in an effective manner.

133. The assumption that (iv) country level stakeholders have the motivation and opportunity to align their own activities with ESP priorities **did not hold true**, as the review period saw the departure of donors from the sector, intermittent disbursement of funds for actors within the sector, and the complete suspension of funding from the pooled fund and ESBS by 2018. While there were still some donors active in the sector that provided project-based support, the review period overall saw a decline in country-level actor support for NIF III implementation. Similarly, the assumption that (v) country-level stakeholders take part in regular, evidence-based joint sector reviews and apply resulting recommendations to enhance ESP implementation **did not hold true**. While there was donor engagement in JARs earlier in the review period, by 2017 there was very little donor engagement with JARs. While JARs did consistently take place, in recent years they have become less action-oriented and more academic, reducing their ability to contribute to improving sector plan implementation. The 2017 JAR did not include follow-up on actions specified during the 2016 JAR, and JARs

134. Finally, the assumption that the sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data held **partially true**. The NIF III did include provisions for improving EMIS, monitoring, and assessment of learning. However, these activities were largely not carried out, and by the close of the review period, few improvements had been made to the MoGE monitoring and assessment systems. Many planned activities were not developed or carried out, frequently because of funding shortfalls. Planned activities that did not take place include the inclusion of ECE data in the national EMIS system, the purchase and deployment of updated EMIS software, routine school monitoring activities, and the 2016 round of EGRA/EGMA.

4 Progress towards a stronger education system

Introduction

135. This section summarizes evaluation findings related to Key Question II from the evaluation matrix: “Has sector plan implementation contributed to making the overall education system in Zambia more effective and efficient?” Key sub-questions are:

- During the review period, how has the education system changed in relation to (a) improving access and equity, (b) improving education quality and relevance, and (c) improving sector management? (CEQ 4)
- How has sector plan implementation contributed to observed changes at the education system level? (CEQ 5)
- Going forward, what are implications of findings for the GPE ToC/operational model? (CEQ 7)

136. Progress towards a stronger education system is measured by drawing on evidence of achievements in the priority activities outlined in the National Implementation Framework III. The analysis focuses on changes that go beyond specific activities or outputs, and, instead, constitute changes in the existence and functioning of relevant institutions (e.g., schools, MoGE), as well as changes in relevant rules, norms and frameworks (e.g., standards, curricula, teaching and learning materials) that influence how actors in the education sector interact with each other.²⁹⁰

137. To be counted as a ‘system-level change’, an intervention needs to be planned, nationwide in scope (at least in the medium-term), and at least partly led by the ministry. Ideally, it should also be sustainable in terms of funding (e.g. government co-funding, cost recovery), or make sensible plans for future sustainability. Actual implementation is not a necessary criterion as policy or program design can in and of itself be a valuable first step, but timely implementation needs to at least be likely, and its likelihood is enhanced if timelines, funding and responsibilities are clearly outlined. Whether system-level changes actually enhanced education outcomes (enrollment, learning) is reviewed in chapter 6.

138. Table 4.1 summarizes related CLE findings, which are further elaborated on below.

²⁹⁰ Please see definition of ‘education systems’ in the terminology table of this report. The GPE 2020 corporate results framework defines six indicators for measuring system-level change: (a) increased public expenditure on education (RF10, covered in section 3.3 on education financing); (b) equitable allocation of teachers (RF11, covered here under Access and Equity); (c) improved ratios of pupils to trained teachers at the primary level (RF12, covered below under Quality and Relevance); (d) reduced student dropout and repetition rates (RF13, covered in section 5); (e) the proportion of key education indicators the country reports to UIS (RF14, covered here under Sector Management), and (f) the existence of a learning assessment system for basic education that meets quality standards (RF15, covered below under Quality and Relevance).

Table 4.1 Overview: CLE findings on contribution of plan implementation to systems change

IMPROVEMENTS MADE DURING REVIEW PERIOD? ²⁹¹	HAD ISSUE BEEN ADDRESSED IN THE NIF III? ²⁹²	LIKELIHOOD THAT NIF III IMPLEMENTATION CONTRIBUTED TO NOTED IMPROVEMENTS ²⁹³	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ²⁹⁴			
			1	2	3	4
Access: Modest. Increase in ECE construction and bursaries for secondary school students; limited secondary school construction and decrease in primary bursaries	Yes: 5 access-related priority activities across preprimary, primary, and secondary subsectors in NIF III.	High: School construction and ECE annexation, bursary expansion planned for and implemented under NIF III.	1	2	3	4
Quality: Modest. Development and adoption of new curriculum; PTR improved in primary but worsened in secondary; continued low access to TLMs	Yes: 31 quality-related activities across preprimary, primary, secondary, and teacher education subsectors of NIF III	High: Developing and implementing new curriculum, expanding teacher workforce planned for and implemented under in NIF III.				
Equity: Modest. Fifty-fifty policy and bursaries for girls improved gender parity, but few efforts to address geographic and economic disparities and learners with special education needs	Yes: 7 equity-related activities across preprimary, primary, secondary, and teacher education subsectors.	High: Gender equity was an explicit focus of NIF III and was reflected in plan implementation				

²⁹¹ Meaning, for example, new or expanded mechanisms or frameworks having been put in place. Rating options and related color coding: Green = strong/comprehensive. Amber = modest/fragmented; Limited/in isolated areas only – red; Insufficient data – gray.

²⁹² Green = yes, comprehensively. Amber = yes, albeit partly/with gaps. Red = no or insufficiently. Gray = unclear. Of note, the fact that an issue was addressed in an ESP does guarantee that positive changes in this area were due to ESP implementation. This table thus has two columns, one for whether the issue was addressed in the relevant ESP, and a second for whether there is evidence that improvements were due to ESP implementation (as opposed to, say, being due to a donor project that had little or no connection with the ESP).

²⁹³ Green = High. Amber = Moderate; Red = Low. Gray = Insufficient data.

²⁹⁴ The four underlying assumptions for this contribution claim are (1) sector plan implementation leads to improvements of previous shortcomings in relation to sector management; (2) there is sufficient national capacity (technical capabilities, political will, resources) to analyze, report on and use available data and maintain EMIS and LAS; (3) ESP implementation leads to improvements of previous shortcomings in relation to learning and (4) it leads to improvements in relation to equity.

IMPROVEMENTS MADE DURING REVIEW PERIOD? ²⁹¹	HAD ISSUE BEEN ADDRESSED IN THE NIF III? ²⁹²	LIKELIHOOD THAT NIF III IMPLEMENTATION CONTRIBUTED TO NOTED IMPROVEMENTS ²⁹³	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ²⁹⁴
<p>Relevance to learning/employment needs: Modest. Introduction of secondary vocational track and local language instruction in early grades; limited teacher training and TLM disbursement</p>	<p>Partly: Vocational track called for at activity-level in NIF III; language of instruction mentioned in NIF III document but not addressed at activity-, strategy-, or objective-level.</p>	<p>High: Curriculum revision was one of the core objectives of NIF III, was implemented under plan.</p>	
<p>System management: Limited. Little change in LAS or EMIS quality; high turnover weakened management capacity</p>	<p>Partly: 14 priority activities target improvement in institutional management, implementation, and M&E. Did not address response to turnover</p>	<p>Low: NIF III management issues largely not implemented, or data was unavailable</p>	

Progress toward a stronger education system during the 2011-2019 period

Finding 16: During the review period, notable system-level improvements were made through the introduction of a new general education curriculum and expansion of early childhood education. Nevertheless, resource constraints and weakness in MoGE management have hampered the implementation of these improvements and impeded other efforts to improve equity, quality, and EMIS and M&E capacity.

139. This section reviews system-level changes in the review period, based on the priority actions of the NIF III. Findings are structured in line with the CEQ 4, and are presented under access and equity; quality and relevance; and system management.

Access and equity

140. At the beginning of the review period, the policy support for equitable access was strengthened by the passage of the 2011 Education Act. This policy included a number of provisions designed to increase access to education. Among these, the Act made primary education compulsory, granted official recognition to community schools, removed the fee associated with the grade 7 national examination, introduced a national school feeding program (in partnership with the World Food Program), and outlawed marriage for primary-school-aged children.²⁹⁵ These policies have supported increases in primary and secondary school enrollment, even as net enrollment rates fell at all levels but senior secondary, and as the share of out of school children grew.

141. Beginning in the early 1990s, communities began establishing schools to provide education in areas where public school fees made education inaccessible, or in rural areas where public schools were not located. While schools were originally built by communities and staffed by community teachers (generally

²⁹⁵ MoGE. 2018 Education Sector Analysis, p. 41

with a 12th grade education or less), the MoGE has begun providing greater support to community schools, following their recognition under the 2011 Education Act. As such, the MoGE has begun providing incentives for trained teachers to teach at community schools and pays an increasing share of the teachers' salaries. In 2016 there were 2,480 community schools, which served 585,000 students, making up 18 percent of all primary school enrollment.²⁹⁶

142. Between 2011 and 2017, the number of primary schools increased from 8,382 to 8,843, an increase of 5.5 percent. Over the same period, the number of secondary schools increased from 631 to 1,009, an increase of 59.9 percent. Virtually all of the construction in primary schools occurred in the 2011 to 2013 period, as little funding was released for school construction in later years. Much of the progress in the expansion in the number of secondary schools came from the conversion of primary schools to secondary.²⁹⁷ The number of government ECE centers also increased markedly, growing from "almost none" in 2011²⁹⁸ to 1,849 centers in 2016, 1,526 of which were built in 2014.²⁹⁹ Construction in later years faltered because of funding shortfalls. Most new centers were created through the annexation of classrooms to existing primary schools.³⁰⁰ The annexation of ECE classrooms to primary schools has proved a cost-effective means of expanding infrastructure but faces challenges as distances to classrooms are still significant, reducing accessibility. The number of ECE classrooms is still insufficient to meet the country's needs, and ECE centers are generally unavailable in rural areas.³⁰¹ Notwithstanding, the share of children entering primary with experience in ECE grew from 15.1 percent in 2011 to 29.8 percent in 2016.³⁰²

143. Roughly half of primary school classrooms use double-shifting due to staff and classroom shortages. In 2016, the pupil-class ratio was 41.7 in primary, compared to the pupil-classroom ratio of 66.2 in 2011. These figures were 45.6 and 75.2, respectively, for secondary. Eliminating double-shifting would require the addition of 25,870 classrooms, beyond the 48,191 classrooms now in operation.³⁰³

144. At secondary levels, a shortage of places in schools forms a significant constraint to access.³⁰⁴ While every student that sits for the Grade 7 Composite Examination is entitled to receive a Grade 7 certificate and progress to Grade 8, there are not a sufficient number of seats to allow all qualifying students to progress to secondary. The MoGE therefore uses cut-off points on the Grade 7 Examination to regulate entry into grade 8. In 2015, 90 percent of the 344,516 Grade 7 students that participated in the exam received a certificate, but just 65 percent transitioned to grade 8.³⁰⁵ Additionally, only 50 percent of learners are able to advance from junior to senior secondary because of a shortage of places.³⁰⁶

145. Demand-side constraints preventing students from attending school or advancing to secondary school include early marriage, pregnancy, early entry into the workforce, and extreme poverty. Even

²⁹⁶ MoGE. 2018 Education Sector Analysis, p. 165-166

²⁹⁷ 2017 Education Statistical Bulletin, p.7.

²⁹⁸ 2018 ESA, p. 41

²⁹⁹ 2018 ESA; 2015 JAR report

³⁰⁰ 2018 ESA

³⁰¹ 2018 ESA, p. 148

³⁰² 2018 ESA, p. 40, 156

³⁰³ 2018 ESA, p. 105.

³⁰⁴ MoGE. 2018 Education Sector Analysis, p. 50

³⁰⁵ 2018 ESA, p. 72. The fact that not all students received a Grade 7 Certificate is a reflection of attendance and differences in local policy. Official MoGE policy is that all students that sit for the exam receive the certificate.

³⁰⁶ MoGE. 2018 Education Sector Analysis, p. 50

though primary schools are officially fee-free, school grants are generally insufficient for their operation, leading many to continue collecting fees from students.³⁰⁷ In 2015, 55 percent of primary schools charged fees, and 34 percent of parents reported paying school fees. Additional supplemental costs such as textbooks and uniforms increase the cost of education, in addition to the opportunity cost of forgoing children's assistance with household work.³⁰⁸ These access deterring factors are highly related to poverty levels. Children from poor households are more likely to be out of school than children from rich households.³⁰⁹ Secondary school still requires the payment of school fees and other supplemental costs, forming a barrier to access among low-income communities.³¹⁰

146. A number of initiatives are in place to help overcome the barrier of secondary school fees. During the review period, the number of bursaries targeting students (particularly orphans and vulnerable children, or OVC) in secondary education increased by nearly three times, growing from 15,190 in 2011 to 48,220 in 2017, with 55 percent going to girls. This increase in secondary school bursaries has largely been funded by a decrease in the number of primary school bursaries, which fell from 81,175 in 2011 to 34,438 in 2017.³¹¹ Additionally, beginning in 2017, the World Bank-funded Keeping Girls in School (KGS) project began paying the school fees of girls from low-income households, and will support roughly 14,000 secondary-school students by 2020.³¹²

147. Following serious droughts in 2002/3, the World Food Programme began partnering with the MoGE to provide school meals to students in the most vulnerable communities. The program initially reached 10,000 students in five districts, but by 2013 had expanded to 860,000 students.³¹³ In 2017, the program had further expanded to reach 1.1 million students in 2,590 schools.³¹⁴ The program has a target of reaching 2 million primary school students by 2020, which is roughly half of the primary school-aged population.³¹⁵ School feeding generally does not extend to ECE centers, although there are some exceptions.³¹⁶

148. Zambia has been severely affected by the HIV/AIDS epidemic, which has resulted in an extremely high share of children in the country being orphaned – an estimated 1.3m children, or 20.7 percent of all children in 2014.³¹⁷ The previously-described bursaries have been the primary avenue of support to OVC.³¹⁸ The 2017 Educational Statistical Bulletin tracks the number and distribution of orphaned children in the education system, and describes OVC as the primary driver of OOSC. It states that the number of

³⁰⁷ MoGE. 2018 Education Sector Analysis, p. 53

³⁰⁸ MoGE. 2018 Education Sector Analysis, p. 53

³⁰⁹ MoGE. 2018 Education Sector Analysis, p. 64

³¹⁰ MoGE. 2018 Education Sector Analysis, p. 48

³¹¹ 2017 Education Statistical Bulletin, p.34-35.

³¹² MoGE. 2018 Education Sector Analysis, p. 142

³¹³ World Food Programme. "Government Support Means School Meals Continue To Boost Learning In Zambia," March 17, 2014. Accessed at <http://news.trust.org/item/20140317153735-oxw12/?source=hppartner>.

³¹⁴ 2017 JAR

³¹⁵ World Food Programme in Zambia. "Country Programme Zambia (2016-2020) Standard Project Report 2016." 2016.

³¹⁶ 2018 ESA, p. 148

³¹⁷ Kavak, Z. "Report on World's Orphans." IHH Humanitarian and Social Researches Center. July 2014, p. 8.

³¹⁸ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 48.

orphans in school declined from 710,418 in 2009 to 588,966 in 2016.³¹⁹ It does not, however, state or estimate the total number of orphaned children in Zambia. According to the 2013-2014 Zambia Demographic and Health Survey, 78.5 percent of orphans were attending school, compared to 90.1 percent of children with both parents still alive.³²⁰

149. MoGE has also attempted to respond to the HIV/AIDS epidemic through interventions at the school level. Two of the priority indicators included in the PAF are the number of teachers and learners in primary and secondary school who receive HIV Sexuality Education. Data has only been tracked since 2016. In 2017, 37 percent of primary and 23.7 percent of secondary teachers received training, missing targets of 50 percent for each. In the same year, 1.4m primary students and 219k secondary students received training, surpassing targets of 1.1m and 153k students receiving training, respectively.³²¹

150. The NIF III largely addressed equity by targeting improvements in gender equity and strategies for reaching marginalized students. Beyond bursary provision, the only major initiative targeting gender equality is the Fifty-Fifty policy, which went into effect in 2011 and mandates that one girl be enrolled for every boy enrolled in primary and secondary education. While the enforcement of the policy has been limited at senior secondary levels, and while the results of the policy have not been monitored, it has likely contributed to improvements in gender parity at lower levels, including reducing the gender gap in 7th to 8th grade transition rates from eight percentage points in 2010 to one percentage point (in favor of girls) in 2015.³²²

151. Although support to learners with special education needs (LSEN) remains an area of rhetorical focus, little progress was made in improving support to LSEN during the review period.³²³ The theme of the 2017 JAR was “Provision of Quality Education for Early Learners and Learners with Special Education Needs,”³²⁴ which raised a number of significant deficiencies in the treatment of LSEN, namely that an insufficient number of teachers are trained in supporting LSEN; only two LSEN assessment centers are in place; and the national LSEN system favors separate instruction for LSEN, rather than inclusion.³²⁵ The JAR produced a number of recommendations for improving the provision of education for LSEN, but very little progress had been made in implementing the recommendations by the following year.³²⁶

³¹⁹ MoGE. “Educational Statistical Bulletin – 2017.” 2017.

³²⁰ Central Statistical Office (CSO) [Zambia], Ministry of Health (MOH) [Zambia], and ICF International. 2014. Zambia Demographic and Health Survey 2013-14. Rockville, Maryland, USA: Central Statistical Office, Ministry of Health, and ICF International.

³²¹ MoGE, 2017 Performance Assessment Framework Targets

³²² 2018 ESA.

³²³ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming), p. 48.

³²⁴ DFID. “ESPIG Annual Implementation Status Report – July 2016-June 2017.” July 2017

³²⁵ DFID. “ESPIG Annual Implementation Status Report – July 2016-June 2017.” July 2017

³²⁶ The JAR identified deficiencies in LSEN education provision including inadequate infrastructure and underqualified teachers and proposed five recommendations to address these challenges. As of July 2018, the recommendations and their level of completion are as follows: completing special education school construction (ongoing), rehabilitate an LSEN assessment center (not done), install boreholes for improved water access at LSEN schools (not done), collect data on LSEN teacher training (not done), place teachers with correct special education competencies in each school (not achieved), conduct training of special education teachers (not achieved), provide specialized materials and equipment (200 braille slates and styluses procured), and create a special education budget line (not done). Source: MoGE. “The 2017 Joint Annual Review Aide Memoire Resolutions.” July 2018.

152. Guidelines have not been developed for the use of assessment tools to identify LSEN at ECE, nor have they been developed regarding the establishment of ECE centers for LSEN. Consequently, LSEN receive very little support in ECE grades, especially in rural areas. Ultimately, a large number of LSEN are out of school.³²⁷ The number of LSEN in primary and secondary school fell from 180,273 in 2011 to 103,218 in 2016.³²⁸ Implementation of activities in support of LSEN was hampered by funding shortfalls. In many cases, donor support has been responsible for progress toward sector plan improvement.³²⁹

153. The NIF III did not directly address geographic inequalities.³³⁰ These inequalities – differences in resource allocations and outcomes between provinces, districts, and rural and urban areas – were not sufficiently monitored, nor were differences between income groups monitored well.³³¹

Quality and Relevance

154. The primary source of student learning outcomes in Zambia is the National Assessment System (NAS), which was first conducted in 1999 testing students in the fifth grade. Subsequent grade 5 assessments were conducted in 2003, 2006, 2008, 2013, and 2016. NAS expanded its coverage and conducted two assessments at grade 9 in 2013 and 2016 with a third round planned for late 2019. NAS covers students enrolled in grade 5 and grade 9 in public, private, grant-aided and community schools, and assesses students in three subjects administered in English.³³² In early 2014, the then MESVTEE tasked the Examinations Council of Zambia (ECZ) with adding a grade 2 survey to the National Assessment System. The first grade 2 NAS was conducted in 2014 following technical assistance from RTI International and support from USAID.³³³ In general, the NAS is considered reliable. According to a World Bank evaluation conducted in 2013, the NAS is “extremely well-developed, with a stable and committed core of competent personnel. The current implementation is performed with high quality and attention to detail.”³³⁴

155. Beginning in 2011, the MESTVEE began the process of developing a new national curriculum for all grades within general education, which led to the publication of the Education Curriculum Framework in 2013. The curriculum was gradually rolled out to all grades between 2014 and 2017, with its introduction to ECE and grades 1, 5, 8, and 10 in 2014; grades 2, 6, 9, and 11 in 2015; grades 3, 7, and 12 in 2016; and grade 4 in 2017.³³⁵ The revised curriculum introduced a number of improvements to general education, such as greater integration between the different levels of education and a revision of structure of general education from basic/high school (9-3-4) to primary/secondary school (7-5-4). It introduced instruction in

³²⁷ 2018 ESA, p. 148.

³²⁸ ePact, p. 60

³²⁹ MoGE. Education and Skills Sector: Fourth National Implementation Framework (NIF IV) Situation Analysis (initial draft for consultation). May 2016

³³⁰ e-Pact, “Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report,” August 2018 (forthcoming), p. 16.

³³¹ MoGE. Education and Skills Sector: Fourth National Implementation Framework (NIF IV) Situation Analysis (initial draft for consultation). May 2016

³³² Grade 5 subjects: English language, Life skills, Mathematics. Grade 9 subjects: Mathematics, English language, Environmental Sciences. <http://nada.uis.unesco.org/nada/en/index.php/catalogue/112>

³³³ USAID, Data Collection Services for the USAID/Zambia Education Project, March 2016. The technical assistance covered all aspects of the survey process, from sample design and instrument development through assessor training, data collection, analysis, and dissemination.

³³⁴ Ministry of General Education. “Education Sector Analysis – Final Draft Version”, January 31, 2018.

³³⁵ 2018 ESA, p. 163

mother tongue/local Zambian languages to ECE lower primary (grades 1-4) and created a two-track system beginning in junior secondary, where students may choose an academic or vocational pathway.³³⁶ The introduction of instruction in the language of place at ECE and lower primary level has been influenced by considerable international evidence that using the child's mother tongue as the language of instruction in early grades has benefits for learning and makes the transition to instruction in a metropolitan language easier.

156. TLMs were developed to support the roll-out of the updated curriculum, but their procurement and distribution have not fully met the needs of the system. Textbook procurement experienced considerable delays, meaning that many students did not have access to updated learning materials.³³⁷ There is a significant shortage of textbooks in all subjects across primary and secondary grades. For example, in 2016 the textbook-pupil ratio for English and Math was 1:4. For secondary grades, it was 1:3.5 for English textbooks and 1:6 for math. Compared to figures reported using 2013 data in the World Bank's PETS/QSDS study, there has been some improvement at primary (1:5 for math, 1:5.6 for English in 2013), and some deterioration in secondary (1:5 for math, 1:2.9 for English).³³⁸

157. Some subjects, notably science and many of the classes introduced with the new secondary vocational track, require specialized equipment for their instruction. In collaboration with Irish Aid and JICA, the National Science Centre produced and distributed 1,700 mobile science kits to 340 schools and 10 teacher training colleges to support science instruction. In 2016, the MoGE also distributed equipment to support the vocational curriculum to 300 schools, though this falls far below the total number of schools requiring the equipment.³³⁹ These efforts still leave a majority of schools without access to specialized TLMs.³⁴⁰

158. The adoption of the new curriculum also resulted in a change in MoGE textbook procurement practices. Prior to 2013, textbooks were acquired through a decentralized process by which Education Boards separately purchased the TLMs required by the syllabus. Following the introduction of the new curriculum, the MoGE began purchasing and distributing materials from MoGE headquarters based on central data on school needs, in part because of a lack of funding and procurement capacity at the district level.³⁴¹ The World Bank's ZEEP project aims to help improve MoGE procurement practices and support textbook delivery with the goal of improving student-textbook ratios in 200 primary and 182 targeted secondary schools.³⁴²

159. The impact of the curriculum on student learning outcomes is not yet clear, as student assessment and monitoring the roll-out of the program has been weak. However, even as the quality of the curriculum itself represents an improvement over the previous curriculum, challenges associated with the roll-out (including insufficiently trained teachers and lack of access to TLMs) may have an adverse effect on student learning in the short term.³⁴³

³³⁶ 2018 ESA, p. 163-164

³³⁷ 2018 ESA, p. 60

³³⁸ World Bank. "Zambia Education PER and PETS-QSDS at a Glance." December 2015.

³³⁹ 2018 ESA, p. 107-8

³⁴⁰ 2018 ESA, p. 107-8

³⁴¹ World Bank. "Education Public Expenditure Review in Zambia." December 2015, p.5.

³⁴² 2018 ESA, p. 105

³⁴³ 2018 ESA, p. 156

160. Two primary modalities of pre-service teacher education exist in Zambia. The first is a certificate program operated by colleges of education, of which there were 113 in 2017. The two-year certificate teacher education program has been upgraded to a three-year diploma. The second is a four-year degree program, which is offered by 22 universities as of 2017. Primary teacher education has also been introduced to universities in order to improve the supply of qualified teachers,³⁴⁴ and three teachers' colleges have been upgraded to universities.³⁴⁵ The Teaching Council was established in 2014 and fully operational by 2017. It serves to regulate teacher training institutions, develop teacher qualifications, and promote continuing professional development.³⁴⁶ The MoGE does not collect comprehensive data on the number of students enrolled in teacher education degree or certificate programs.³⁴⁷

161. Over the review period, early childhood education has significantly improved its status within the sector. In 2011, the responsibility for ECE provision and regulation was moved from the Ministry of Local Government and Housing to the MoGE. Then, in 2015, a directorate for ECE was created within the MoGE, elevating it to the same administrative level as other education subsectors. Since 2015, the ECE directorate has developed an ECE policy and policy implementation plan, an ECE Standards Guidelines and Standards Monitoring Tool, the National ECE Curriculum, the National Teacher Education Curriculum, and ECE TLMs to accompany the new national curriculum.³⁴⁸ As part of the restructuring of the teacher education curriculum that came with the introduction of the new national curriculum,³⁴⁹ the subject of early childhood education was introduced to teacher training colleges. An average of 500 ECE teachers graduate annually from teacher training colleges.³⁵⁰ While this has improved the supply of qualified ECE teachers in the system, many of the teachers in ECE classrooms are untrained or have training not related to ECE.³⁵¹ The ECE subsector receives minimal funding allotments for teacher recruitment, meaning that recruitment of qualified ECE teachers has fallen far below targets. In 2013, 1,000 qualified ECE teachers were recruited and deployed by the MoGE; in 2014, only 25 were deployed, against a target of 1,700 by 2015. There has been no recruitment of ECE teachers since 2014.³⁵² Many teachers with training in ECE teach at the primary or secondary levels instead.³⁵³ The quality of ECE instruction is diminished by the absence of continuous professional development and an insufficient supply of ECE TLMs. While TLMs at the ECE level have been distributed to 886 of the 1,849 government-run ECE centers (48 percent) by 2016, the absence of updated TLMs means that ECE centers frequently use materials that are designed for primary grades or externally produced and not in line with the updated curriculum.³⁵⁴

162. The 2011-2017 period saw a significant increase in the teacher workforce. The number of primary teachers increased from 65,014 in 2011 to 78,099 in 2017, while the number of secondary teachers increased from 22,866 to 28,171 over the same period.³⁵⁵ Across the teacher workforce, 37 percent have

³⁴⁴ 2018 ESA, p. 87

³⁴⁵ 2015 JAR report

³⁴⁶ ePact 2018

³⁴⁷ 2018 ESA, p. 88

³⁴⁸ MoGE. 2018 Education Sector Analysis, p. 144

³⁴⁹ 2018 ESA, p. 92

³⁵⁰ 2018 ESA, p. 147

³⁵¹ 2018 ESA, p. 91

³⁵² 2018 ESA, p. 148

³⁵³ 2018 ESA, p. 147

³⁵⁴ 2018 ESA, p. 147-8; 2016 JAR report

³⁵⁵ ePact 2018; 2017 Educational Statistical Bulletin; UIS

a teacher certificate, 39 percent have a diploma, and 11 percent have a bachelors or master's degree ans of 2016. In the same year, roughly 3 percent of teachers were untrained.³⁵⁶ Even though nearly all teachers have an official qualification, many are not teaching at the right level or do not have appropriate training for the subjects that they teach.³⁵⁷ Although nearly all primary teachers have a diploma or certificate, many have not received training on early grade reading instruction. Relatedly, most teacher training colleges and universities do not have staff that have specialized in early grade reading and numeracy, which contributes to low levels of system capacity in early literacy and mathematics instruction.³⁵⁸ Moreover, only 83 percent of teachers use local languages for medium of instruction in grades 5 and 9. The number of teachers at the secondary level who are specialized in science, mathematics, and other technical subjects is insufficient. However, in areas such as social science, the number of teachers is adequate.³⁵⁹ The MoGE does not track the number of secondary teachers by subject area or qualification.³⁶⁰

163. The rapid growth in the teacher workforce has supported a decrease in the pupil-teacher ratio (PTR) at primary level, which fell from 52.2 in 2011 to 42.1 in 2017, nearly reaching the national standard of 40:1.³⁶¹ The secondary PTR grew over that period, however, increasing from 25.3 in 2011 to 35.2 in 2016.³⁶² Notwithstanding, there are large regional disparities in PTR, which ranged from 32.6 in Copperbelt province to 55.2 in Eastern province at the primary level in 2015.³⁶³ Staffing teachers to rural schools has been a challenge to the MoGE, which has responded by offering incentives to teachers posted in rural schools. Nevertheless, teacher shortages in rural areas have persisted.³⁶⁴ Between 2010 and 2015, the share of female teachers in the teacher workforce grew from 51.0 percent to 54.5 percent.

164. Additionally, there are teacher shortages in a number of subject areas. For example, the supply of science and mathematics teachers is insufficient. The 2014 introduction of the vocational track in secondary school has created an additional challenge of ensuring an adequate teacher supply in the vocational areas, covering subjects such as ICT, electrical engineering, and metal fabrication. Because these subjects have only recently been introduced to colleges of education, there will likely continue to be a considerable delay in filling all of the required positions. An effective pipeline from teacher education in technical and vocational subjects and deployment of specialized teachers to secondary schools has not yet been established.³⁶⁵

165. The World Bank's Public Expenditure Tracking Survey / Quantitative Service Delivery Survey (PETS/QSDS) reviewed teacher quality along a number of metrics using data collected in 2013. The study's classroom observation found that 63 percent of Grade 5 and 62 percent of Grade 9 teachers used the class curriculum in their instruction.³⁶⁶ Grade 5 and Grade 9 teachers were also given the same tests

³⁵⁶ 2018 ESA, p. 86-87

³⁵⁷ 2018 ESA, p. 91

³⁵⁸ 2018 ESA, p. 91

³⁵⁹ 2018 ESA, p. 91

³⁶⁰ 2018 ESA, p. 91

³⁶¹ ePact 2018; 2017 Educational Statistical Bulletin

³⁶² ePact 2018. This data is for grades 10-12 only.

³⁶³ 2018 ESA, p. 137

³⁶⁴ 2018 ESA, p. 99

³⁶⁵ 2018 ESA, p. 91

³⁶⁶ 2018 ESA, p. 98

administered to students in those grades. Grade 9 teachers scored an average of 70 percent on grade 9 tests, while Grade 5 teachers scored an average of 90 percent on the Grade 5 tests.³⁶⁷

166. The PETS/QSDS also found high rates of absenteeism among teachers. In 2013, only 52 percent of teachers were found to be teaching in their classrooms, while 8 percent were in classrooms but not teaching; 20 percent were not teaching and not in the classroom; and 18 percent were not in attendance.³⁶⁸ The survey also reported moderate rates of student absences, at 15 percent for grade 5 and 8 percent at grade 9, which also adversely affects learning.³⁶⁹ The PETS/QSDS study estimated that the combined effect of school closures (estimated at 10 days per year), teacher absence and time not spent teaching, and pupil absence would result in a reduction of learning time to roughly a third of the total time budgeted (341 hours of instructional time out of a total of 1,045 hours in a school year, for Grade 9).³⁷⁰

167. The MoGE offers Continuous Professional Development (CPD) to teachers through a variety of modalities, including distance learning, in-school training, and training at district resource centers, provincial training centers, or headquarter training centers. The PETS/QSDS report indicated that in 2013, 27 percent of teachers in grades 5 and 9 had received some sort of CPD in the last year.³⁷¹ Additionally, all teachers should receive training to familiarize them with the updated curriculum through the MoGE's Continuous Professional Development (CPD) activities. However, it is unclear what share of teachers received this training.³⁷² During the 2011-2019 review period, several in-service teacher training programs were active:

- a. **Fast Track Teacher Education Programme (FTTEP):** Beginning in 2012, the MoGE began operating the FTTEP in order to provide training to diploma-holding teachers at the senior secondary level in order to upgrade their qualification to degree level. By 2016, 3,154 teachers had completed training under the program. While the program effectively improved teaching quality of participants, the MoGE also evaluated that it was very expensive and would not likely be sustained.³⁷³
- b. **The Education Leadership and Management program (ELM):** ELM was designed to improve leadership and management capabilities at the local level by providing training to 8,000 head teachers, deputy head teachers, heads of department, and senior teachers by 2015. In the end, 2,983 individuals received training under the program. Although the training was useful for those that received it, the 2018 ESA expresses disappointment with both the number of individuals trained, and the low level of impact the program has had on the education system.³⁷⁴
- c. **Strengthening of Mathematics, Science, and Technology Education (SMASTE):** The SMASTE School-Based Continuing Professional Development program is an initiative supported by JICA to strengthen the MoGE's in-service training using constructivist teaching strategies,

³⁶⁷ 2018 ESA, p. 97

³⁶⁸ 2018 ESA, p. 100

³⁶⁹ 2018 ESA, p. 108

³⁷⁰ 2018 ESA, p. 109

³⁷¹ 2018 ESA, p. 102

³⁷² 2018 ESA

³⁷³ 2018 ESA, p. 176

³⁷⁴ 2018 ESA, p. 176

particularly an approach called Lesson Study. JICA support for the initiative ended in 2015, but the Lesson Study approach has been sustained as the primary method for in-service capacity building. In 2015, 46,058 teachers in 3,121 schools were practicing lesson study.³⁷⁵

Management

168. At the beginning of the review period, the MoGE was faced with limitations to leadership, managerial, and implementation capacity. Between 2011 and 2019, these challenges did not see significant improvement. In fact, high-level management capacity deteriorated, largely because of high levels of turnover among senior leadership. The frequent transfers and departures among staff at or above director level often left senior positions empty for extended periods of time, weakened sector dialogue and relationships with cooperating partners, damaged continuity, eroded institutional memory, and constrained the ability of the MoGE to engage in strategic decision-making. Although there were a number of initiatives that worked to improve the institutional capacity of the MoGE during the review period, these factors weakened the effectiveness of reform initiatives.

169. MoGE demonstrated progress in reducing the annual number of financing audit irregularities from 60 in 2010 to 15 in 2015, but beginning in 2016 the number of irregularities increased and follow-up and monitoring of audit irregularities failed to take place.³⁷⁶ Indeed, the MoGE Internal Audit Unit reported a system “collapse” and noncompliance with financial regulations in 2016. Audits in 2017 reported no improvement in issues identified in previous audits.³⁷⁷ Financial mismanagement of donor funds had occurred in 2010-11, and the reoccurrence of financial mismanagement in 2016 further weakened donor confidence. Several MoGE stakeholders expressed that the elevation of Finance to the level of directorate within the MoGE was an improvement in financial management and accountability, as the increased authority of the division would have greater scope to limit financial mismanagement. Nevertheless, donor stakeholders questioned the extent of financial management reforms.

170. Financial Management Action (FMAP), dating back to 2010, is the primary MoGE initiative targeting public financial management reform. Implementation of FMAP reforms has been mixed, and many of the weaknesses that existed at the outset of the review period remain. Some of the accomplishments of FMAP include regularly issuing budget reports; sharing EMIS data with finance and accounting staff; and improving financial reporting at provincial and district levels. MoGE also made a move to output-based budgeting (OBB) in 2015 as part of a central-level initiative led by the Ministry of Finance. This move has contributed to improved strategic prioritization but weakened the link between planning and budgeting.³⁷⁸ However, significant weaknesses remain, some of which have diminished the effectiveness of NIF III. In 2016 and 2017, school grants were disbursed late or sometimes did not reach schools, worsening the budget challenges experienced by schools.³⁷⁹ Monitoring of grant disbursement is also incomplete, and teacher payroll data is recorded only after significant delays.

171. In spite of a number of initiatives designed to strengthen the sector’s capacity for monitoring and evaluation, the MoGE’s M&E capacity remained largely unchanged by the end of the review period. Some of the initiatives targeting improvement in M&E systems include the harmonization of data collection tools, the launch of an M&E capacity building program in partnership with the University of Zambia, and the government-wide National M&E Policy, which targets the improvement of reporting against national

³⁷⁵ 2018 ESA, p. 176

³⁷⁶ ePact p. 40.

³⁷⁷ ePact 2018, p. 128

³⁷⁸ ePact p. 39

³⁷⁹ ePact 2018, p. 49-50.

development objectives. In spite of these programs, there has been little improvement in M&E capacity or in EMIS quality, and the same challenges that were present at the outset of the review period remain. A lack of coordination persists between various data systems within the MoGE, data reliability remains a challenge, and official data is frequently released only after a significant delay, affecting its utility for planning and policy purposes.³⁸⁰ The MoGE does not collect data from ECE centers,³⁸¹ and basic information such as the number of ECE centers does not appear in educational statistical bulletins.³⁸² The planned purchase and deployment of EMIS software did not take place because of funding shortfalls, and the software currently in use has experienced bugs that affect the reliability of data.³⁸³ MoGE stakeholders report that serious resource shortages mean that some regular monitoring activities have stopped taking place. For example, the inability to purchase fuel means that school visits are limited to provincial capitals and do not reach rural areas.

172. While the quality of learning assessment in Zambia at baseline was moderate, LAS quality has not significantly changed over the review period. The 2009 SABER report on student assessment rated the quality of classroom assessment, national large-scale assessment, and international large-scale assessment as emerging, while rating the quality of examinations as established.³⁸⁴ Zambia's National Assessment System continued conducting regular standardized assessments of Grade 5 students, with evaluations in 2013 and 2016. An assessment of grade 9 students was also introduced in 2013, and another round was conducted in 2016. These evaluations have not shown notable improvement in student learning over time.³⁸⁵ The Grade 7 Composite Examination, which covers six academic subject areas, is offered annually and is required for advancement to secondary school. In 2016, the test was offered for the first time to a cohort who had received instruction under the new curriculum.³⁸⁶ In 2014, early grade reading and math assessments (EGRA and EGMA) were conducted among Grade 2 students, who were the last cohort who received instruction using the old curriculum. Another round of EGRA and EGMA was planned for Grade 2 students in 2016 but was not carried out due to a "shift in priorities"³⁸⁷ and a lack of funding.³⁸⁸ Another round of EGRA/EGMA was conducted in April of 2018.³⁸⁹

173. The MoGE has made limited progress in efforts to decentralize various responsibilities to district and school levels, in keeping with the 2013 Revised National Decentralisation Policy. The devolution of management of ECE, primary, and adult education to the district level, as well as the devolution of the responsibility for teacher recruitment to the school level, was planned for 2017, but has not yet taken place.³⁹⁰ Limited growth in direct school financing through school grants also supported increased local financial discretion. ZESSTA supported improved capacity for local financial management by drafting school financial management guides.³⁹¹

³⁸⁰ 2017-2021 ESSP; ePact 2018

³⁸¹ 2018 ESA, p. 185

³⁸² 2017 Educational Statistical Bulletin.

³⁸³ ePact 2018, p. 48

³⁸⁴ World Bank, "Zambia Student Assessment SABER Country Report," Systems Approach for Better Education Results, 2009.

³⁸⁵ 2018 ESA, p. 69-70

³⁸⁶ 2018 ESA, p. 71

³⁸⁷ 2018 PAF report.

³⁸⁸ ePact, p. 104

³⁸⁹ MoGE. "The 2017 Joint Annual Review Aide Memoire Resolutions." July 2018.

³⁹⁰ ePact, p. 102

³⁹¹ ePact, p. 51

Did ESP implementation contribute to system-level changes?

Finding 17: In the review period, the NIF III guided the achievement of nearly all of the identified system-level changes. These improvements were largely supported by donor partners.

174. Table 4.2 provides an overview of the nine most significant system-level changes identified in the previous finding, whether they were planned under the NIF III, and whether their achievement was likely linked to NIF III implementation.

Table 4.2 List of system-level improvements in the review period, against NIF III

SYSTEM-LEVEL IMPROVEMENT	LIKELY DUE TO NIF III IMPLEMENTATION?	IMPROVEMENT SUPPORTED BY DONORS?
ALREADY SIGNIFICANT AND LIKELY SUSTAINABLE		
Introduced new curriculum: New curriculum rolled out to all grades and ECE, with vocational track and local language instruction	Yes: Curricular reform was one of the NIF III core objectives	Yes: ESBS constituted a large share of MoGE expenditure on curriculum development
Creation of the ECE directorate: Directorate advanced ECE policy framework	Yes: NIF III calls for the establishment of an appropriate institutional and regulatory structure for ECE	Yes: In some years, ESBS funding for ECE surpassed MoGE contributions; specific support for institutional development is unclear
Improved support for gender equity: Implementation of fifty-fifty policy and introduction of KGS initiative	Yes: Ensuring equal access to education for girls is consistently ascribed as a goal of NIF III	Yes: The World Bank supports KGS through the Girls' Education and Women's Empowerment and Livelihoods project
ECE classroom expansion: Creation of 1,849 ECE classrooms, most annexed to primary schools	Yes: ECE classroom construction and conversion is one of the NIF III's seven objectives within the ECE subsector	No
Expansion of bursaries to secondary students: Grants to OVCs in secondary grew from 15k to 46k; introduced KGS program	Yes: Expansion of bursary program is called for at the strategy and activity levels in multiple NIF III subsectoral areas	Yes: The World Bank provides support to the KGS bursary program
POTENTIALLY SIGNIFICANT IF IMPLEMENTED AND/OR STRENGTHENED FURTHER		
Improving pre-service training: Upgrading of teachers' colleges, updating curriculum	Yes: Upgrading teachers' colleges and teacher training curriculum called for in NIF III	Yes: ESBS funding contributed to curriculum development, and ZESSTA developed materials to support teacher uptake of new curriculum

SYSTEM-LEVEL IMPROVEMENT	LIKELY DUE TO NIF III IMPLEMENTATION?	IMPROVEMENT SUPPORTED BY DONORS?
Expanding in-service training: upgrading teacher qualification; expansion of Lesson Study	Partially: Expanding share of teachers receiving in-service teacher training called for in NIF III; Lesson Study not specifically mentioned	Yes: JICA provided significant support to the Lesson Study approach; ZESSTA developed materials to train teachers on new curriculum
Growth of the teacher workforce: Primary + secondary workforce grew from 87,880 to 106,270	Yes: the NIF III sub-sectoral area of Teacher Education, Supply and Management details plans for expanding teacher workforce	No: No evidence was observed of donor support to recruitment, although donors supported pre- and in-service training
Devolution of management: Growth in school grants; framework for expanded district- and school-level management	Yes: NIF III calls for increases in school grant allocation and decentralization of various MoGE functions	Yes: ESBS supported school grants, and the development of school-level financial management tools through ZESSTA

175. The above table illustrates that NIF III implementation was largely responsible for eight of the nine system-level changes observed over the review period, and partially responsible for one, suggesting that the NIF III was an important guiding document for the sector. Notably, most of these improvements primarily took place during the 2012-2016 period. While the NIF III functionally remained the guiding sector plan for 2017-2018, minimal progress was made in its implementation over this later period. At least six of the nine identified improvements received support from donor partners, although the degree of contribution is in many cases unclear given a lack of monitoring data.

Implications for GPE's ToC and country-level operational model

Finding 18: Even as NIF III guided sector activities over the review period, many desired systems changes failed to materialize. Zambia's experience supports the GPE ToC assertion that managerial strength is necessary for broad system improvement.

176. Virtually all of the improvements made during the review period were called for in the NIF III, demonstrating the comprehensiveness of the document and suggesting it played an important role in guiding MoGE activities. Nevertheless, flawed or limited implementation of NIF III activities diminished the ability of MoGE to cause substantial systems-level change in many areas. The evaluation found that out of the four underlying assumptions linking sector plan implementation and strengthened education systems, the likelihood of these assumptions holding true was found to be **low** for three and **moderate** for one. The absence of most preconditions connecting sector plan implementation to systems improvement in the Zambia case supports the GPE ToC, in that low managerial capability has limited the capability of a sector plan to translate into improved education outcomes.

177. First, (1) there is **low** likelihood that sector plan implementation led to improvements of previous shortcomings in relation to sector management, as most of the challenges facing sector management at the start of the review period were still present, while high turnover further weakened sector management. Second (2) there is **low** likelihood that there was sufficient national capacity (technical capabilities, political will, resources) to analyze, report on and use available data and maintain EMIS and LAS. Little improvement was made in EMIS and LAS over the review period. EMIS data remains available only after delays, and the monitoring capacity of the MoGE has been severely hampered by resource shortages. While learning assessments are generally carried out, delays in releasing results data limits the

ability for analysis to be conducted in the sector. Third (3), there is **low** likelihood that ESP implementation led to improvements of previous shortcomings in relation to learning, as learning outcomes did not show improvement over the 2011-2019 review period. Reforms addressing learning quality, such as the roll-out of the new curriculum and improvements in teacher training, have not received the necessary support (funding, access to TLMs, monitoring, accompaniment) required to translate reforms into improved learning outcomes. Finally (4), there was **moderate** likelihood that NIF III implementation led to improvements in relation to equity. Initiatives such as the Fifty-Fifty policy have contributed to reaching or nearly reaching gender parity at all levels except for senior secondary, which likewise saw improvement. However, disparities along geographic and economic lines, and support to LSEN and vulnerable groups such as orphaned children, have not seen improvement.

5 Progress towards stronger learning outcomes and equity

Introduction

178. This section summarizes evaluation findings related to Key Question III from the evaluation matrix: “Have improvements at education system level contributed to progress towards impact?”³⁹² Key sub-questions are:

- During the period under review, what changes have occurred in relation to (a) learning outcomes in basic education, (b) equity, gender equality and inclusion in education? (CEQ 6)
- Is there evidence to link changes in learning outcomes, equity, gender equality, and inclusion to system-level changes identified under CEQ 4? (CEQ 6)
- What other factors can explain changes in learning outcomes, equity, etc.? (CEQ 6)
- Going forward, what are implications of findings for the GPE ToC/operational model? (CEQ 7)

179. The section offers a brief overview of medium-term trends in relation to basic education learning outcomes, equity, gender equality and inclusion that occurred in Zambia up to and during the review period. The evaluation is not attempting to establish verifiable links between specific system level changes that occurred during the review period and impact-level these trends, given that the CLE covered only a relatively short timeframe and that in most cases it is likely too early to expect specific changes to be reflected in impact level trends. However, where links are plausible, those are discussed. Table 5.1 summarizes CLE findings on any such plausible links, which are further elaborated on below.

Table 5.1 Overview: CLE findings on contribution of system-level changes to impact-level changes

IMPROVEMENTS MADE DURING REVIEW PERIOD?	LIKELIHOOD THAT TRENDS WERE INFLUENCED BY SYSTEM-LEVEL CHANGES DURING REVIEW PERIOD	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ³⁹³	
Equity, Gender Equality and Inclusion: Moderate. Access to education at all levels increased, gender equity improved, and primary and secondary completion rates grew. However, primary and secondary GER and NER decreased. Repetition rates increased over the same period.	Strong: Classroom construction, investments in teacher training, revised ECE policies, and a Fifty-fifty gender policy likely contributed to improvements in inclusion and equity.	1	2

³⁹² Key sub-questions are: CEQ 6: (i) During the period under review, what changes have occurred in relation to (a) learning outcomes in basic education, (b) equity, gender equality and inclusion in education; (ii) Is there evidence to link changes in learning outcomes, equity, gender equality, and inclusion to system-level changes identified under CEQ 4?; (iii) What other factors can explain changes in learning outcomes, equity, etc. CEQ 7 (iv) Going forward, what are implications of findings for the GPE ToC/operational model?

³⁹³ The underlying assumptions for this contribution claim are (1) changes in the education system positively affect learning outcomes and equity, and (2) country-produced data on equity, efficiency and learning allow measuring/tracking these changes.

IMPROVEMENTS MADE DURING REVIEW PERIOD?	LIKELIHOOD THAT TRENDS WERE INFLUENCED BY SYSTEM-LEVEL CHANGES DURING REVIEW PERIOD	DEGREE TO WHICH UNDERLYING ASSUMPTIONS LIKELY HELD TRUE ³⁹³	
<p>Learning: Weak. Learning outcomes fell between the 2011 and 2017 National Assessment System surveys. EGRA and EGMA data reveal that children are struggling to acquire foundation skills in reading and mathematics. 2014 SACMEQ learning achievement results ranked Zambia last in the southern and eastern Africa region.</p>	<p>Weak: Deteriorating learning outcomes suggest that changes made early in the evaluation cycle did not directly impact learning.</p>		

Trends in learning outcomes, equity, gender equality and inclusion in the education sector in Zambia from 2011 to 2019

Finding 19: There have been modest improvements in education access and equity, but challenges remain in reducing repetition rates at primary and secondary levels. Historic data on regional disparities and equitable access for the hardest-to-reach children, including the poorest and those who are out of school, are lacking.

Equity, Gender Equality and Inclusion in Basic Education

180. During the review period, the education system in Zambia made modest improvements in terms of education access and equity. Table 5.2 provides an overview of trends in the key impact-level indicators listed in the evaluation matrix, grouped by whether they showed improvement, stability, deterioration, during the review period, or whether available data is inconclusive. Main takeaways from Table 5.2 include:

- a. *There have been improvements in access to education.* Absolute enrolment has increased in pre-primary, primary, and secondary levels. The number of students enrolled in primary education increased from 3.07 million in 2012 to 3.28 million in 2017, and from 456k to 511k at the lower secondary level. Growth in primary enrollment can be attributed to the introduction of free primary education in 2002, the 2011 Education Act which made primary education compulsory, and the growing number of community schools.³⁹⁴
- b. *High growth in the school-age population may threaten Zambia's progress toward achieving universal primary education.* Although absolute enrolment numbers have increased steadily, the GER and NER for primary and lower secondary have been decreasing since 2012. Primary and secondary GERs are reaching closer to 100, a point where the education system will not be able to accommodate all school-aged children.³⁹⁵ Considering the population of school-going age children will increase by at least 2.8 percent per year, it is expected that more children will be excluded from the education system if the system does

³⁹⁴ Education Statistics Bulletin, 2017, pg 11.

³⁹⁵ The junior and senior secondary schools can accommodate only about 40 percent of the secondary school aged population (ESSP, pg. 47).

not expand accordingly. A falling NER also suggests that a growing portion of enrolled children are overage. Analysis of out of school children suggest a relatively late grade 1 enrolment in school for a substantial number of children.

- c. *There has been mixed progress in the internal efficiency of primary and secondary education.* Although higher shares of students are transitioning from primary to lower secondary school and completing primary and secondary school, primary and secondary repetition is increasing, a signal of problems in the internal efficiency of the education system and possibly a reflection of poor levels of instruction.
- d. *Gender parity has improved in basic education but has declined in secondary education.* Across primary and secondary levels, the share of female enrollment has increased. Gender parity has improved in primary and lower secondary GER. Zambia's attempts to address inequity through bursaries, a Fifty-Fifty enrolment policy and re-entry to school for postpartum girls have likely contributed to the positive effect on gender equity in enrolment (ESA, pg. 125). The GRZ also adopted the National Gender Policy in 2000, and revised it in 2014, to promote gender equality in national development. However, the gender parity index for secondary education has declined over the review period. Although difficult to pinpoint the exact cause for the decline, high rates of teenage pregnancies, which average around 15,000 annually, may have contributed to pushing girls out of school.
- e. *Time series data on regional disparities and equitable access for the hardest-to-reach children, including the poorest and those who are out of school, is lacking.* However, current data suggests that a large number of the poorest children remain out of school and major regional disparities persist. Although the gap in access to primary education have narrowed between low-income provinces like Northern, Luapula, and Western and higher-income provinces like Lusaka and Copperbelt, disparities remain wide along other indicators such as primary and lower secondary transition and completion rates.

181. Data is widely available for most access, enrollment, and teacher indicators, which is collected through MoGE's Annual School Census (ASC) and reported annually through the Education Statistics Bulletin. Access and enrollment data are universally disaggregated by gender. However, information on marginalized groups is limited or non-existent, as is data disaggregated by socioeconomic status.

182. Unlike other regions in Africa which have a large share of non-state education providers, private enrolment in primary and secondary schools is comparatively lower in Zambia. In 2016, there were 120,864 students enrolled in private primary schools, representative for 4 percent of total enrolment. At the secondary level, 31,681 students were enrolled in secondary schools or 3.9 percent of total secondary enrolment. Although there aren't accurate data on the number of ECE institutions, the MoGE estimates that the share of pupils in private pre-primary programs is likely to be over 80 percent.³⁹⁶ Private ECE institutions are exclusively found in urban areas. The new ECE Directorate and ECE policy framework is expected to strengthen the regulation of private institutions.

183. There were improvements in all six outcome-level indicators in the 2011-2015 PAF.³⁹⁷ The indicators are: 1) Improved primary completion rate; 2) Improved grade 9-10 transition rate; 3) Improved results in percent of grade 9 students who attain at least Division III in English, Environment and Science,

³⁹⁶ Ministry of General Education and Ministry of Higher Education. "Education and Skills Sector Plan 2017-2021", December 2018.

³⁹⁷ This total includes indicators for (pre) primary education, general secondary education, and administrative and institutional development. They do not include outcome-level indicators for adult basic education, TVET, or higher education.

and Math; 4) Improved teacher/pupil contact time at primary level; 5) Curriculum revision for primary and secondary education finalized and implemented; and 6) Number of primary and secondary school managers and administrators who received Education Leadership and Management (ELM) training and support. Since the PAF outcome-level indicators provide only a selective picture of progress in the sector, data presented in Table 5.2. below were drawn from UIS, the 2019 ESA, 2017 Education Statistical Bulletin, and the 2017-2021 ESSP.

Table 5.2 Trends in indicators for Equity, Gender Equality and Inclusion in Basic Education

INDICATORS THAT IMPROVED DURING THE REVIEW PERIOD
<ul style="list-style-type: none"> • Pre-primary enrollment: In 2014, there were 131k children enrolled in pre-primary institutions (UIS data). Due to the expansion of facilities in 2016, the number of ECE centres increased to 1,849 lifting the number of enrolled pre-primary children to 160k (78k males and 82k females), from a total eligible population of 2,118,289 (3-6-year-olds). It is important to note, therefore, that despite gains in total enrollment the rate of enrollment is still below 10% of the total target population. • Primary completion rate: The completion rate for grade 7 has improved over 2014-2017, rising from 86.2 percent in 2014 to 91.8 percent in 2017. Among girls, the completion rate grew from 83.6 percent in 2014 to 90.3 percent in 2017. For boys, the completion rate improved from 88.9 to 93.4 percent over the same period. • Primary dropout rate: Between 2011 and 2017, the drop out rate for grades 1-7 fell from 2.2 to 1.5 percent. Among girls, the dropout rate decreased from 2.6 to 1.7 percent, and among boys it fell by 1.7 to 1.3 percent. (ESB, 2017). • Primary to lower secondary transition rates: The effective transition rate from primary to lower secondary increased from 59.9 percent in 2011 to 67.5 percent in 2017. Among girls, the transition rate increased from 54.6 percent to 69 percent, and for boys it grew marginally from 65.6 percent to 66.1 percent (ESB, 2017). • Secondary dropout rate: Secondary school dropout rates fell marginally between 2011 and 2017, dropping from 1.4 to 1 percent (ESB, 2017). • Secondary completion rate: Although secondary completion rates improved over the evaluation period, they remain very low. The gross completion rate for grade 9 grew from 53.2 percent in 2011 to 71.7 percent in 2017, while the gross completion rate for grade 12 grew marginally from 31.7 to 31.8 percent over the same period (ESB, 2017). • Gender equality in primary and secondary for enrollment: Between 2011 and 2017, the share of female enrollment in primary and secondary schools has increased marginally, from 49.2 percent to 49.8 percent. For grades 1-7, it grew slightly from 49.8 percent to 50.2 percent. At grade 8-9 it grew from 47.4 percent to 49.14 percent. For grades 10-12 it grew from 44.57 percent to 47.44 percent. The gender parity index of enrollment for grades 1-7 improved marginally from 0.97 in 2011 to 1 in 2017. For grades 8-12, the gender parity index also improved, rising from 0.82 in 2011 to 0.90 in 2017 (ESB, 2017). • Upper secondary enrollment: The number of youth enrolled in upper secondary increased from 287k in 2012 to 339k in 2017. (ESB, 2017).
INDICATORS THAT SHOW MIXED PROGRESS DURING THE REVIEW PERIOD
<ul style="list-style-type: none"> • Access for children with special needs: Between 2011 and 2017, the number of learners with special education needs (LSEN) in primary school has <i>decreased</i>, growing from 175k to 110k. However, over the same period, the number of LSEN in secondary school <i>grew</i> significantly from 4.9k to 20k. In terms of provincial distribution, North-Western has the highest number of LSEN learners followed by Copperbelt and Western Province. Muchinga Province has the least number of LSEN learners (ESB, 2017).

INDICATORS THAT DETERIORATED DURING THE REVIEW PERIOD

- **Primary enrollment:** Even though the number of students enrolled in primary education grew from 3.07 million to 3.2 million between 2012 and 2017, the **primary GER** fell, dropping from 127.3 to 104.3 percent, with the **gender parity index** staying constant around 1.01 (UIS). The **primary NER** also dropped, falling from 96 to 87.9 percent between 2011 and 2017, with the **gender parity index** increasing marginally from 1.02 to 1.04 (UIS data).
- **Primary repetition rate:** Between 2011 and 2017, the primary repetition rate increased from 6.1 percent to 6.5 percent. Among girls, primary repetition rate grew from 5.8 percent in 2011 to 6.2 percent in 2017. The repetition rate for boys over the same period also increased from 6.3 to 6.8 percent.
- **Primary out of school rate:** Between 2012 and 2017, the share of out of school children of primary school age grew from 9.87 to 13.98 percent (UIS data). Among girls, the share grew from 8.42 in 2012 to 12.11 in 2017, and among boys it grew from 8.06 to 15.82 (UIS data).
- **Lower secondary enrollment:** Although the number of children enrolled in lower secondary education increased from 456k in 2012 to 511k in 2017, **the lower secondary GER** fell from 63.68 to 60.58 percent. Over the same period, the **gender parity index** increased, from 0.91 to 0.97 (UIS data). **Lower secondary NER** also fell from 29.6 percent in 2013 to 28.98 in 2017 (UIS data). The **gender parity index for secondary education** has dropped from 0.96 in 2009 to 0.86 in 2016 (ESSP, pg. 6).
- **Secondary repetition rate:** Between 2011 and 2017, secondary school repetition rates increased slightly, from 1.1 to 1.7 percent (ESB, 2017).
- **School life expectancy:** The primary school life expectancy fell from 7.73 years in 2012 to 7.14 years in 2017, with the gender parity index increasing slightly from 1 to 1.02 (UIS data). Data on lower secondary or secondary school life expectancy are not available.

INDICATORS FOR WHICH NO CONCLUSIVE DATA IS AVAILABLE

- **Lower secondary out of school rate:** In 2017, the number of out of school children aged 14 was 28k. The number of out of school children aged 17 was 131k. Data on how these figures have changed over the evaluation period is unavailable.
- **Access for the poorest children:** Primary age children from the poorest households in rural areas are more likely to be out of school than children from richer households in urban areas (ESA, 2019). Around 70.2 percent of girls and 68.9 percent of boys from the lowest household income quintile attended primary school in 2014. In the richest quintile, 85.4 percent of girls and 86.7 percent of boys attended primary school that same year. Wealth and location also drive participation rates in secondary school. In 2017, 14 percent of students from low-income families attended secondary school, compared with 69 percent from the richest families. The urban secondary GER is 58 percent compared to 27 percent for rural secondary GER. However, data on how these trends have changed over time is not available (ESSP, 2018).
- **Regional differences:** Across a variety of indicators, Western, Luapula, and Northern provinces perform worse than in the Copperbelt and Lusaka provinces. In 2017, Northern province had the highest Grade 1-7 repetition rates at 8.8 percent, while Lusaka Province had the lowest at 4.1 percent (ESB pg. 24). Repetition rates for Grade 8-12 was highest in North Western province at 3.8 percent and lowest in Lusaka province at 0.8 percent. The primary school drop out rate was highest in Luapula (2.6 percent) and lowest in Lusaka province at 0.9 percent. Furthermore, the gender parity index for grade 5 was 0.92 in Luapula and Northern province, the lowest rating among provinces in 2017. In comparison, Lusaka and Copperbelt had the highest grade 5 gender parity index of 1.05. Western, Luapula, and Northern provinces have the highest rates of poverty in Zambia. All three provinces have poverty rates over 80 percent. Copperbelt (31 percent) and Lusaka (20 percent) have the lowest poverty rates in the country. The ESSP highlights regional disparities by suggesting Luapula, Northern and Western provinces are in greater need of support in providing quality education than are Lusaka and Copperbelt. Data on how these trends have changed over time is not available.

Learning Outcomes in Basic Education

Finding 20: There has been little progress in learning outcomes in basic education. Over the review period, Grade 5 National Assessment System results show a decline in English and Math learning assessments. Early grade reading and mathematics assessments indicate students are struggling to acquire foundational skills such as simple addition and subtraction or reading in the mother tongue language.

184. **Trends in the mean performance in grade 5 student learning assessments between 2008 and 2016 indicate a regression in student learning outcomes, especially in mathematics.** The Grade 5 NAS survey in 2016 found that performance marginally declined in English by 0.4 percentage points from 2008 survey results. The deterioration in mean score results in Math is even sharper. Between 2008 and 2016, mean math scores fell from 39.4 to 37 percent as show in Table 5.3.

Table 5.3 NAS results (percent) for Grade 5 by subject and year³⁹⁸

	2008	2013	2016	CHANGE FROM 2008-2016
Math	39.4	38.3	37.0	-2.4
English	35.3	34.1	34.9	-0.4

185. **A comparison of 2013 and 2016 NAS results for grade 9 shows mixed progress.** Between 2013 and 2016, mean scores for English increased from 37.3 to 39.8 percent as did scores for Math, rising marginally from 31 to 31.6 percent. Mean science scores fell from 38.4 to 37.2 over the same period. In 2013 and 2016, girls consistently outperformed boys in English while boys outperformed girls in maths. Despite these minor changes, it is important to note that these results represent an extremely low level of learning at both grade 9 and grade 5.

Table 5.4 NAS results (percent) for Grade 9 by subject and year³⁹⁹

	2013			2016			CHANGE FROM 2013-2016
	Boys	Girls	Total	Boys	Girls	Total	Total
English	37.1	37.2	37.3	39.1	40.2	39.8	2.5
Math	32.3	29.4	31.0	33.0	30.1	31.6	0.6
Science	40.0	37.4	38.4	37.9	36.5	37.2	-1.2

³⁹⁸ 2011 data from 2008 National Learning Assessment, remaining data from 2017 NAS.

³⁹⁹ Ministry of Gender Education, (MoGE), "National Assessment Survey", 2017 NAS

186. Learning outcomes are also measured through SACMEQ, EGRA, and EGMA. SACMEQ was first conducted in Zambia in 2000, and later in 2007 and 2013.⁴⁰⁰ The 2014 SACMEQ assessment covered 3,360 grade 6 students in 168 schools. EGRA and EGMA was first conducted in 2014 and tested approximately 5,000 grade 2 pupils in the seven Zambian languages and mathematics using a contextualized early grade reading and mathematics assessment.

187. SACMEQ learning achievement results are currently available for 2000, 2007, and 2013 in reading and mathematics. Latest figures show that mean reading scores for students improved between 2007 and 2013, as did the mean scores for mathematics over the same period. Despite these improvements, Zambia is ranked last in the Southern and Eastern Africa region. Zambia was ranked next to last in the 2007 survey. Boys outperform girls in both reading and mathematics. There are also location and socioeconomic differences in pupil performance. Pupils attending urban schools have higher mean scores in reading and mathematics than pupils attending rural schools. Pupils in the bottom 25% income level are outperformed by students in the highest 25% in both reading and maths.

188. Early grade assessments of reading and mathematics indicate students are struggling to acquire foundation skills such as simple addition and subtraction or reading in mother tongue language (ESA). Overall, EGRA results showed that grade 2 pupils, on average, were struggling to read fluently. The average oral reading fluency rate for the local languages ranged from 1.84 to 8.40 words per minute, indicating that the typical grade 2 pupil could recognize a few words but struggled to string the words from a passage into a coherent sentence. While it is very difficult to compare results in EGRA across countries, these results do not indicate learning expectations are being met. Good, Simons and Smith (1998) suggest that at the grade 2 level, reading 2 to 10 words a minute indicate low levels of oral fluency while anything above 30 words a minute indicate a high level of oral fluency (ESA, 2019). There are also differences by urban and gender subpopulations for EGRA English subtasks, with students in urban schools consistently outperforming pupils in rural schools and boys outperforming girls. These highly significant detected differences were in the zero scores for Letter Name Identification and Listening Comprehension, where rural boys had a significantly lower percentage of zero scores than rural girls.

189. EGMA results showed that pupils were able to correctly identify 13.3 numbers per minute on average. For simple addition and subtraction, only 11.4 percent and 19.4 percent of pupils scored zero, respectively. However, for the Addition and Subtraction Level 2 subtasks, for which a technique other than counting was required (such as borrowing tens), the percentage of pupils scoring zero jumped to 49.5 percent for addition and 60.7 percent for subtraction. This result indicates that while these pupils had a good sense of numbers on a number line, they had yet to learn more complex problem-solving techniques (ESA, pg. 69). Boys outperformed girls on all EGMA subtasks. The difference in performance was statistically significant on all but the Addition and Subtraction Level 2 and Word Problem subtasks.⁴⁰¹

190. The results of these assessments offer insight to a number of additional factors:

- a. **Geography:** The 2016 NAS revealed stark geographic disparities. Pupils who lived in urban areas, where English is spoken more, had a clear advantage in comprehending the language, such that their Listening Comprehension scores were on average 7 percentage points higher

⁴⁰⁰ SACMEQ is a regional learning assessment given to a representative sample of grade 6 students in each of 14 countries in southern and eastern Africa. It generates results on a standardized scale of learning competencies that are comparable over time and across countries.

⁴⁰¹ RTI International, NAS of Learning Achievement at Grade 2. Results for Early Grade Reading and Mathematics in Zambia, 2015.

than those of pupils living in rural areas, after controlling for all other measured pupil indicators.

- b. **Maternal language:** According to EGRA results, Pupils who said they spoke the same language at home as the one in which they were instructed were able to read, on average, 2.5 words per minute (or 0.23 standard deviations) more than those who did not. Considering how low the reading averages were, this is a significant difference. This difference was even more evident in 1) locations where Nyanja was the language of instruction, 2) the Lusaka district where many pupils speak Bemba at home, and 3) the Eastern Province where pupils in Lundazi district mostly speak Tumbuka at home.⁴⁰²
- c. **Socioeconomic status:** Literacy and learning are closely related to income. The most recent World Bank Education Sector Performance and Service Delivery Survey (QSDS) tested pupils and teachers in Grades 5 and 9 levels. The Survey team found that the main driver of school performance was pupil background. In general, average scores for students from the top 33 percent of household income are higher than the scores for students from lower-income households. In English, Grade 5 students from the bottom 33 percent of family income score 30 percent, while students from the top 33 percent of family income score 42 percent (ESA).

Is there evidence to link trends in learning outcomes, equity, gender equality and inclusion to system-level changes identified? What other factors can explain observed changes (or lack thereof)?

Finding 21: Progress in pre-primary enrollment and gender parity are likely linked to a variety of initiatives introduced during the review period such as the construction of ECE centers, increase in the number of trained teachers, and the Fifty-Fifty gender policy.

191. Table 5.5 provides an overview of the main impact-level improvements identified in the two previous findings, and of the likelihood that system-level improvements identified in Chapter 4 contributed to these.

Table 5.5 Contributions of system-level improvements to identified impact-level improvements

IMPACT-LEVEL IMPROVEMENTS	LIKELIHOOD THAT SYSTEM-LEVEL CHANGES CONTRIBUTED TO THE IMPROVEMENT?
Increase in pre-primary enrollment	Strong: The increase in pre-primary enrollment can be attributed to a variety of MoGE initiated reforms to address barriers to access including the construction and annexation of ECE centers.
Increase in primary completion rate	Strong: The modest improvements in primary completion rates and dropout rates are likely due to a combination of factors affecting quality: an increase in the number of primary teachers from 65k in 2011 to 74k in 2016, the resulting drop in PTR from 52/1 (2011) to 40/1 (2016), and changes included in the 2011 Education Act such as the introduction of a national school feeding program and the outlaw of marriage for primary-school-aged children.
Decrease in primary dropout rate	

⁴⁰² ESA, pg 69 -EGRA/EGMA results.

IMPACT-LEVEL IMPROVEMENTS	LIKELIHOOD THAT SYSTEM-LEVEL CHANGES CONTRIBUTED TO THE IMPROVEMENT?
Higher transition rates from primary to lower secondary	Strong: An increase in the number of secondary schools from 487 in 2011 to 1,009 in 2017, increase in average grant amount given to secondary schools, and increase in the number of bursaries distributed to at-risk secondary students from 15k in 2011 to 46k in 2017 likely contributed to higher transition rates from primary to secondary and higher enrollment for secondary education overall.
Decrease in lower secondary dropout rate	Strong: Increases in the number of trained teachers at secondary level from 13k in 2011 to 22k in 2016, and a decrease (improvement) in secondary PTR between 2011 and 2016 from 48/1 to 37/1, and the increase in bursaries provided to vulnerable learners at the secondary level are factors that may have contributed to reducing dropout rates (ESSP).
Increase in secondary completion rate	
Increase in gender parity in primary and secondary enrolment	Strong: The introduction of MoGE's Fifty-Fifty policy in 2011, which mandates that one girl be enrolled for every boy enrolled in primary and secondary school, may have contributed to improved gender parity in primary and secondary enrolment.

192. Three observations can be derived from this table. First, the identified system-level changes that most likely have contributed to impact-level changes (increase in pre-primary enrollment, reduced primary drop outs, high transition from primary to lower secondary, improved secondary completions and reduced drop outs, and improved gender parity) were interventions planned and implemented within the 2011-2019 NIF III framework. Secondly, as noted in Chapter 4, most system-level improvements were implemented under the leadership of the MoGE, with substantial financial and technical support from development partners.

193. Thirdly, most system-level improvements related to quality and sector management listed in Chapter 4 appear to have not yet influenced impact-level improvements. This is likely due to a combination of factors: first, as noted in Chapter 4, several system-level changes have not been fully implemented or institutionalized (e.g. leadership and management training program, teacher absenteeism), second, they may take a longer period of time for effects to become apparent at the outcome and impact levels (e.g. school and district director training, streamlining of primary curriculum), and third, incomplete or ineffective implementation such as the roll-out of the new curriculum, delayed access to TLMs, insufficient teacher training, and no support to teachers as they try to implement the new curriculum. However, there are two areas where current progress at the system-level has the potential to lead to improved learning in the future:

- a. **Grants to schools:** The Education Sector Performance and Service delivery survey (QSDS) found that at school level the amount of grant the school received per child was positively correlated with higher student learning outcomes. If the average school grant amount continues to increase as it did between 2011 and 2016 and payment linked delays are addressed, learning outcomes may increase in the future. Moreover, the consistent provision of grants to schools will be needed to sustain gains in learning outcomes.
- b. **Mother tongue language:** The new Zambian education curriculum includes provision for the use of the mother tongue language at ECE and lower primary level (grades 1-4) in 2017. There

is considerable international evidence that using the child's mother tongue language as the language of instruction in early grades has benefits for learning and makes transition to instruction in the official language easier. Students in Zambia are taught in English starting in grade 5. It will be important to review how the transition from mother tongue to English at grade 5 is affecting primary completion rates in the future.

Implications for GPE's ToC and country-level operational model

Finding 22: System improvements over the evaluation period likely contributed to improvements in access and equity, although learning outcomes have declined. GPE's theory of change implies that sector plan implementation and subsequent system-level changes will lead to improvements in equity, access and learning, but the experience of Zambia illustrates that implementation difficulties caused by both internal and external factors can significantly disrupt expected changes at impact level.

194. Trends in learning outcomes indicate that since 2011 mean scores for math and reading at the primary level have regressed despite investments in key areas. Several donors supporting education, such as Irish Aid and DFID, have since suspended their investments in education as a result the lack of progress in education outcomes.⁴⁰³ It is important to note, however, that many system changes oriented at improving quality (e.g. changes in mother tongue instruction) have a significant time lag between their adoption and changes in learning outcomes. In addition, in the absence of a counterfactual, it's unclear what learning levels would have been without the introduction of a new curriculum. Nevertheless, there is little evidence at the moment to conclude that system-level changes have made a meaningful difference to learning outcomes.

195. Although there is greater evidence that system changes, including the hiring of teachers and construction of schools, have likely contributed to improvements in access, such as the increase in pre-primary enrollment and absolute enrollment at primary and secondary levels, there are signs of imminent challenges to the education system. The NER at primary and secondary levels have been decreasing since 2012 indicating a growing number of overage children in the system. At the primary level, while the system has sufficient capacity to enroll all children in the seven-to-thirteen age range, expanding enrollment numbers have not kept pace with population growth.⁴⁰⁴ If unaddressed, the modest gains in access seen over the evaluation will likely exacerbate capacity issues in the future as the population of school-going aged children is expected to increase by at least 2.8 percent annually (ESA, 2018).

196. The GPE theory of change implies that sector plan implementation and subsequent system level changes will lead to change in equity, access, and learning. However, the case of Zambia illustrates the level of disruption various extraordinarily difficult factors can have in GPE's ToC and country-level operational model. As described in chapters 3 and 4, acute resource shortages and transitions within the MoGE have impeded sector plan implementation and systems-level change. This has in turn hampered impact-level change.

197. Available evidence therefore only provides **moderate** support to the first contribution claim, that (1) changes in the education system positively affect learning outcomes and equity, and provides

⁴⁰³ The ESA does not specify factors that have caused the lack of progress in education outcomes but calls for further research to better understand potential factors.

⁴⁰⁴ ESA

moderate support to the second contribution claim, that (2) country-produced data on equity, efficiency and learning allow measuring/tracking these changes.

6 Conclusions and strategic questions/issues

198. This final section of the report draws **overall conclusions** deriving from the evaluation findings and formulates several **strategic questions** that have been raised by the findings of the Zambia evaluation. These questions are of potential relevance for GPE overall and may warrant further exploration in other upcoming country-level evaluations.

199. This section answers CEQ 7 and CEQ 8 from the evaluation matrix:

- What, if any, aspects of GPE support to Zambia should be improved? What, if any, good practices have emerged related to how GPE supports countries? (CEQ 7)
- What, if any, good practices have emerged related to how countries address specific education sector challenges/how countries operate during different elements of the policy cycle? (CEQ 8)

6.1 Conclusions

GPE's engagement in Zambia took place in the context of a confluence of profoundly difficult factors, including severe domestic resource shortages, weakening of donor finance mechanisms, high levels of turnover among MoGE leadership, erosion of collaboration between MoGE and donors, and challenges to financial accountability. In this context, GPE support was instrumental in moving sector planning forward and ensuring that dialogue took place. GPE's advocacy efforts did not leverage additional international or domestic education spending, nor did they affect the quality of available financing, and GPE's direct financial support to the education sector was modest, especially owing to the suspension of ESPIG funding.

200. GPE's country-level ToC outlines four country-level objectives for GPE's support. Table 6.1 summarizes this evaluation's assessment of the degree of GPE contribution to each of these in Zambia.

Table 6.1 Overview of GPE contribution to country-level objectives of the GPE ToC

COUNTRY-LEVEL OBJECTIVES	RATING OF DEGREE/LIKELIHOOD OF GPE CONTRIBUTION
Sector Planning	Strong
Sector Dialogue	Strong
Sector Monitoring	Modest
Sector Financing	Limited
Sector Plan Implementation	Limited

201. Evidence emerging from stakeholder consultations and reviewed documents highlight how GPE support in Zambia contributed to improved sector planning and dialogue through the following:

- **Funding and guiding the production of the ESSP:** Through the ESPDG, GPE provided the vast majority of the funding required for the completion of an ESA, consultations at national and subnational levels, and the planning process culminating in the ESSP. GPE guidelines directed the

process of plan development, while the evidence-based QAR process helped raise the overall quality of the plan by addressing areas that had previously been neglected.

- **Catalyzing improved sectoral dialogue:** In a context of sometimes strained relationships between donors and the MoGE, frequent transitions in MoGE leadership, and departure of donors from the sector, the MESVTEE Agency and GPE process requirements have incentivized or required collaboration between stakeholders and the continuation of sectoral dialogue when it was otherwise frequently absent. Nevertheless, the fact that the quality of sectoral dialogue reverted to the same low levels observed at the outset of the review period suggests that improvements to dialogue in the interim did not represent a sustained growth in sector capacity.

202. Three areas of lesser GPE contribution during the review period were sector monitoring, sector financing, and sector plan implementation.

- Regarding support to **sector monitoring**, while GPE processes contributed to strengthening the JAR, by the end of the review period JAR quality had reverted to similar levels as the beginning of the review period. The ESBS performance tranche helped focus attention on a number of select indicators, but targets were only met intermittently, and the ESPIG disbursed just 23 percent of its performance tranche budget.
- There is little evidence that GPE influenced the amount of **domestic education financing** directed at basic education. Levels of domestic education spending have been largely determined by the macroeconomic factors of rising debt and an economic downturn. GPE support was insufficient to protect the education sector from spending cuts in 2015 and 2016, after education spending briefly surpassed 20 percent in 2014. Similarly, there is little evidence that GPE attracted additional **international financing** to the sector nor affected the quality of such financing.
- Regarding **sector plan implementation**, GPE's primary contributions were through ESPIG funding. While GPE's funding was more predictable than other funding streams, the suspension of disbursements midway through the ESPIG period meant that only 51.7 percent of total ESPIG funds were released, which represented 0.65 percent of MoGE expenditures and 3.2 percent of the MoGE discretionary budget. These funds made moderate contributions to priority areas within the NIF III, such as curriculum development and ECE expansion. However, funding suspension eroded past gains and prevented the implementation of other components of the NIF III.

GPE's ToC assumes that system- and impact-level changes are driven by sector plan implementation. This assumption largely held true in the experience of Zambia, as areas of system improvement were likely influenced by sector plan implementation. Nevertheless, sustainable system- and impact-level improvements during the review period were quite limited.

203. In Zambia, 4 out of 23 assumptions of GPE's country-level ToC held (17 percent). Another 12/23 (52 percent) partly held, and the remaining 7 (30 percent) were found to not hold. Assumptions around data availability, sufficient opportunities (resources, time, conducive environment) of government stakeholders, and sufficient leverage of GPE frequently did not hold true, illustrating the combined limiting effect of exogenous economic factors and a deterioration of MoGE management.

204. The evaluation team observed that GPE's well-developed processes around sector planning and dialogue were able to ensure that the ESSP was developed and dialogue took place, even in the context of unraveling sectoral collaboration and weak government management, but had limited ability to influence plan implementation when it encountered serious difficulties. Through the ESPDG and CA support, GPE was able to ensure the development of a comprehensive, quality-controlled, sector-wide

plan when such a plan may not have been created otherwise. GPE processes, for example those surrounding plan development and endorsement and development of an PDG application, were able to ensure that dialogue bodies met with some regularity after sectoral dialogue mechanisms had otherwise largely broken down. But GPE intervention and leverage was insufficient to generate improved performance in the context of weak sectoral implementation. The suspension of GPE's sector budget support, whose reinstatement was conditional on compliance with a Performance Improvement Plan, did not result in improved effectiveness of plan implementation.

205. The experience of Zambia illustrates the importance of the competence of key actors to the success of the GPE model, and a level of fragility to GPE support when key individuals are not present. Two factors that significantly facilitated both effective GPE support and sector progress were the presence of a DFID education advisor and stability in MoGE staff. Following the departure of the DFID advisor and a period of rapid turnover among MoGE leadership, the effectiveness of working relationships both within the MoGE and between the MoGE and cooperating partners significantly declined. Through its authority as a multilateral, impartial entity, GPE was still able to convene and move planning processes forward. But in the absence of key individuals and stability in the MoGE, the degree to which GPE support translated into sustained system improvements and improved learning outcomes was severely limited.

a. Good practices arising from Zambia for other countries

206. The following 'good practices' were noted by the evaluation team that may be of interest to other DCPs:

- **Targeted CSEF Funding:** The Zambia National Education Coalition (ZANEC) received funding under CSEF I, II, and III, which allowed them to build their capacity to advocate for increased education sector budgets. While attribution is challenging, it appears that such advocacy contributed to the growth of education share of the national budget until 2014.
- **Strong QAR process:** Several stakeholders noted the value of the QAR process, asserting that it helped elevate the quality of the education sector plan by providing strong technical review, including highlighting neglected areas of the ESSP.
- **Regular visits from the Secretariat:** In addition to supporting progress in development, endorsement, and finalization of the ESSP, Secretariat visits to country were said to help stakeholders navigate the political tensions between donors and GRZ during the review period.
- **Dedicated ministerial advisers:** As part of the DFID/GPE grant, a full-time education adviser was hired to work closely in the ministry. This adviser played a critical role in advancing sectoral progress by promoting accountability and supporting the enactment of governmental commitments.
- **A robust performance assessment framework:** The presence of a performance assessment framework (in conjunction with disbursement linked milestones) within Zambia helped to increase accountability in the sector while also shifting dialogue away from procedural discussions towards technical ones oriented at achieving outputs and outcomes.

a. Strategic questions arising from this CLE for GPE

207. The following strategic questions arise from this CLE for GPE and may be particularly relevant in thinking about the role that GPE plays in a context like Zambia.

- The ESSP is ambitious, with many inputs and targets from both the Ministry of General Education and Ministry of Higher Education. However, significant financing and management capacity gaps remain, threatening the likelihood that the plan will achieve anything close to its targets. In contexts in which funding and implementation capacity is not commensurate with the scope of the education sector plan, should greater prioritization be emphasized during the plan review process?
- Directing ESPIG funding through ESBS represented an intentional decision not to invest in the existing pooled fund by GPE. In contexts of declining trust between donors and government, should the default be to move away from pooled fund? And what are the implications of doing so for building ministry capacity to administer and deploy funding?
- While intended to meet quarterly, there has been a reduction in the frequency of PITC meetings. To what extent should the GPE Secretariat, the CA, and the GA push for more regular dialogue versus allowing in-country actors to meet as they see fit?
- Turnover has plagued MoGE, especially between 2015-17. With a constant reshuffling or departures of staff within the ministry, what are the implications for efforts to build capacity within the sector? Should – and if so, how – can GPE support the strengthening of ministry capacity, rather than the capacity of a few individuals?
- The suspension of ESBS funding was a drastic response to serious concerns principally regarding the quality of performance around NIF III implementation. The prospect of resumed funding did not result in improved performance, and the absence of funding led to components of NIF III not being implemented. In effect, ESBS core funding acted as another DLM, as it was conditioned on performance. Under what conditions should GPE funding be suspended? Are there alternative funding modalities that could be employed in the context of weak management capacity that could better sustain core funding while also fostering improved quality of policy implementation?

Appendix I Revised 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 plan implementation, sector dialogue and monitoring, and more/better financing for education?⁴⁰⁵ If so, then how?			
CEQ 1: Has GPE contributed to education sector plan implementation in [country] during the period under review?⁴⁰⁶ How?			
CEQ 1.1a (prospective CLE) What have been strengths and weaknesses of sector planning during the period under review? ⁴⁰⁷ What are likely reasons for strong/weak sector planning?	<ul style="list-style-type: none"> • Extent to which the country's sector plan met the criteria for a credible ESP as put forward in GPE/IIEP Guidelines⁴⁰⁸ <ul style="list-style-type: none"> – ESP is guided by an overall vision – ESP is strategic, i.e. it identifies strategies for achieving its vision, including required human, technical and financial capacities, and sets priorities) 	<ul style="list-style-type: none"> • Sector plan(s) for the period covered by the most recent ESPIG • Education Sector Analyses and other documents analyzing key gaps/issues in the sector • GPE ESP/TEP quality assurance documents 	<ul style="list-style-type: none"> • Descriptive analysis • Triangulation of data deriving from document review and interviews

⁴⁰⁵ OECD DAC evaluation criteria of relevance, effectiveness, and efficiency.

⁴⁰⁶ 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, where applicable, (and subject to data availability) the summative evaluations will also look at the beginning of the next policy cycle, more specifically sector planning processes and related GPE support carried out during/towards the end of the period covered by the most recent ESPIG.

⁴⁰⁷ This question will be applied in prospective evaluations in countries that have not yet developed a (recent) sector plan, such as Mali, as well as in countries that have an existing plan, but that are in the process of embarking into a new planning process. In countries where a sector plan exists and where related GPE support has already been assessed in Year 1 reports, future reports will use a similarly descriptive approach as outlined under question 1.1b, i.e. briefly summarizing key characteristics of the existing sector plan.

⁴⁰⁸ Global Partnership for education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Guidelines for Education Sector Plan Preparation. Available at: <https://www.globalpartnership.org/content/guidelines-education-sector-plan-preparation>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – ESP is holistic, i.e. it covers all sub-sectors as well as non-formal education and adult literacy – ESP is evidence-based, i.e. it starts from an education sector analysis – ESP is achievable – ESP is sensitive to context – ESP pays attention to disparities (e.g. between girls/boys or between groups defined geographically, ethnically/culturally or by income) • <u>For TEPs</u>: Extent to which the country's sector plan met the criteria for a credible TEP as put forward in GPE/IIEP Guidelines⁴⁰⁹ <ul style="list-style-type: none"> – TEP is shared (state-driven, developed through participatory process) – TEP is evidence-based – TEP is sensitive to context and pays attention to disparities – TEP is strategic, i.e. it identifies strategies that not only help address immediate needs but lay the foundation for realizing system's long-term vision – TEP is targeted (focused on critical education needs in the short and medium term, on system capacity development, on limited number of priorities) 	<ul style="list-style-type: none"> • GPE RF data (Indicator 16 a-b-c-d)⁴¹² • Other relevant reports or reviews that comment on the quality of the sector plan • Interviews 	

⁴⁰⁹ Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2016. Guidelines for Transitional Education Plan Preparation. Available at: <https://www.globalpartnership.org/content/guidelines-transitional-education-plan-preparation>

⁴¹² If the respective ESP has not been rated by GPE (i.e. if no specific information is available on indicators 16 a-d), the evaluation team will provide a broad assessment of the extent to which the ESP meets or does not meet the quality criteria. This review will be based on *existing* reviews and assessments of the sector plan, in particular the appraisal report. To the extent possible, findings of these assessments will be 'translated' in terms of the GPE/IIEP quality standards.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – TEP is operational (feasible, including implementation and monitoring frameworks) • Extent to which the ESP/TEP meets GPE quality criteria as outlined in the GPE 2020 results framework (indicators 16a, b, c and d)⁴¹⁰ • Extent to which the ESP/TEP addresses the main issues/gaps in the education sector (as identified through Education Sector Analyses and/or other studies) • Extent to which the process of sector plan preparation has been country-led, participatory, and transparent⁴¹¹ • Stakeholder views on strengths and weaknesses of the most recent sector planning process in terms of: <ul style="list-style-type: none"> – Leadership for and inclusiveness of sector plan development – Relevance, coherence and achievability of the sector plan 		
<p>CEQ 1.1b (summative CLE) What characterized the education sector plan in place during the core period under review?</p>	<ul style="list-style-type: none"> • ESP/TEP objectives/envisaged results and related targets • For ESPs: Extent to which the country's sector plan met the criteria for a credible ESP as put forward in GPE/IIEP Guidelines⁴¹³ <ul style="list-style-type: none"> – ESP is guided by an overall vision 	<ul style="list-style-type: none"> • Sector plan(s) for the period covered by the most recent ESPIG • GPE ESP/TEP quality assurance documents 	<ul style="list-style-type: none"> • Descriptive analysis

⁴¹⁰ If no GPE ratings on these indicators are available, evaluation team's assessment of extent to which the ESP meets the various criteria outlined under indicator 16a-d.

⁴¹¹ Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Available at: <http://unesdoc.unesco.org/images/0023/002337/233768e.pdf>

⁴¹³ Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Guidelines for Education Sector Plan Preparation. Available at: <https://www.globalpartnership.org/content/guidelines-education-sector-plan-preparation>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – ESP is strategic, i.e. it identifies strategies for achieving its vision, including required human, technical and financial capacities, and sets priorities) – ESP is holistic, i.e. it covers all sub-sectors as well as non-formal education and adult literacy – ESP is evidence-based, i.e. it starts from an education sector analysis – ESP is achievable – ESP is sensitive to context – ESP pays attention to disparities (e.g. between girls/boys or between groups defined geographically, ethnically/culturally or by income) • <u>For TEPs</u>: Extent to which the country’s sector plan met the criteria for a credible TEP as put forward in GPE/IIEP Guidelines⁴¹⁴ <ul style="list-style-type: none"> – TEP is shared (state-driven, developed through participatory process) – TEP is evidence-based – TEP is sensitive to context and pays attention to disparities – TEP is strategic, i.e. it identifies strategies that not only help address immediate needs but lay the foundation for realizing system’s long-term vision 	<ul style="list-style-type: none"> • GPE RF data (indicator 16 a-b-c-d)⁴¹⁶ • Other relevant reports or reviews that comment on the quality of the sector plan 	

⁴¹⁴ Global Partnership for Education, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2016. Guidelines for Transitional Education Plan Preparation. Available at: <https://www.globalpartnership.org/content/guidelines-transitional-education-plan-preparation>

⁴¹⁶ If the respective ESP has not been rated by GPE (i.e. if no specific information is available on indicators 16 a-d), the evaluation team will provide a broad assessment of the extent to which the ESP meets or does not meet the quality criteria. This review will be based on *existing* reviews and assessments of the sector plan, in particular the appraisal report. To the extent possible, findings of these assessments will be ‘translated’ in terms of the GPE/IIEP quality standards.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – TEP is targeted (focused on critical education needs in the short and medium term, on system capacity development, on limited number of priorities) – TEP is operational (feasible, including implementation and monitoring frameworks) • Extent to which the ESP/TEP meets GPE quality criteria as outlined in the GPE 2020 results framework (indicators 16a, b, c and d)⁴¹⁵ 		
<p>CEQ 1.2a (prospective CLE) Has GPE contributed to the observed characteristics of sector planning? How? If no, why not?</p> <p>a) Through the GPE ESPDG grant- (funding, funding requirements)</p> <p>b) Through other support for sector planning (advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice)⁴¹⁷</p>	<p>a) Contributions through GPE ESPDG grant and related funding requirements:</p> <ul style="list-style-type: none"> • ESPDG amount as a share of total resources invested into sector plan preparation. • Types of activities/deliverables financed through ESPDG and their role in informing/enabling sector plan development <p>b) Contributions through other (non ESPDG-related) support to sector planning:</p> <ul style="list-style-type: none"> • Evidence of GPE quality assurance processes improving the quality of the final, compared to draft versions of the sector plan • Stakeholder views on relevance and appropriateness/value added of GPE Secretariat support, in-country assistance from GA/CA, , Secretariat/GA/CA advocacy, capacity building, 	<ul style="list-style-type: none"> • Draft and final versions of the sector plan • Related GPE ESP/TSP quality assurance documents • Secretariat reports, e.g. country lead back to office/mission reports • Other documents on advocacy/facilitation provided by Secretariat, CA or GA • Country-specific ESPDG grant applications • Interviews • Education sector analyses and other studies conducted with ESPDG funding 	<ul style="list-style-type: none"> • Triangulation of data deriving from document review and interviews

⁴¹⁵ If no GPE ratings on these indicators are available, evaluation team's assessment of extent to which the ESP meets the various criteria outlined under indicator 16a-d.

⁴¹⁷ 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 organized by the Secretariat, as well as the sharing and use of insights derived from GRA and KIX grant-supported interventions.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	facilitation; GPE standards, guidelines, CSEF and ASA grants, and knowledge exchange in relation to: <ul style="list-style-type: none"> – Improving the quality (including relevance) of education sector plans – Strengthening in-country capacity for sector planning 		
CEQ 1.2b-d (summative CLE – currently in Part B of the matrix below and labelled CEQ 9-11)			
CEQ 1.3 What have been strengths and weaknesses of sector plan implementation during the period under review? What are likely reasons for strong/weak sector plan implementation?	<ul style="list-style-type: none"> • Progress made towards implementing sector plan objectives/meeting implementation targets of current/most recent sector plan within envisaged timeframe (with focus on changes relevant in view of GPE 2020 envisaged impact and outcome areas). • Extent to which sector plan implementation is funded (expected and actual funding gap) • Evidence of government ownership of and leadership for plan implementation (country specific).⁴¹⁸ • Government implementation capacity and management, e.g.: <ul style="list-style-type: none"> – Existence of clear operational/implementation plans or equivalents to guide sector plan implementation and monitoring – Clear roles and responsibilities related to plan implementation and monitoring – Relevant staff have required knowledge/skills/experience) 	<ul style="list-style-type: none"> • Sector plan(s) for the period covered by the most recent (mostly) complete ESPIG • DCP government ESP/TEP implementation documents including mid-term or final reviews • Relevant program or sector evaluations, including reviews preceding the period of GPE support under review • JSR reports • Reports or studies on ESP/TEP implementation commissioned by other development partners and/or the DCP government • CSO reports • Interviews 	<ul style="list-style-type: none"> • Descriptive analysis • Triangulation of data deriving from document review and interviews

⁴¹⁸ For example, in some countries one indicator of country ownership may be the existence of measures to gradually transfer funding for specific ESP elements from GPE/development partner support to domestic funding. However, this indicator may not be applicable in all countries. Stakeholder interviews will be an important source for identifying appropriate, context-specific indicators for government ownership in each case.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> • Extent to which development partners who have endorsed the plan have actively supported/contributed to its implementation in an aligned manner. • Extent to which sector dialogue and monitoring have facilitated dynamic adaptation of sector plan implementation to respond to contextual changes (where applicable) • Extent to which the quality of the implementation plan in the ESP/TEP and of the plan itself is influencing the actual implementation (e.g. achievability, prioritization of objectives). • Stakeholder views on reasons why plan has or has not been implemented as envisaged 	<ul style="list-style-type: none"> • DCP's plan implementation progress reports 	
<p>CEQ 1.4 Has GPE contributed to the observed characteristics of sector plan implementation? If so, then how? If not, why not?</p> <p>a) Through GPE EPDG, ESPIG grants-related funding requirements and the variable tranche under the New Funding Model (NFM)⁴¹⁹</p> <p>b) Through non-financial support (advocacy, standards, quality assurance procedures, guidelines, capacity building, and facilitation,</p>	<p>a) Contributions through GPE EPDG and ESPIG grants, related funding requirements and variable tranche under the NFM (where applicable)</p> <ul style="list-style-type: none"> • Proportion of overall sector plan (both in terms of costs and key objectives) funded through GPE ESPIG • Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education • Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG • Degree of alignment of ESPIG objectives with ESP objectives. • Grant implementation is on time and on budget • Degree of achievement of/progress toward achieving ESPIG targets (showed mapped to ESPIG objectives, and sector plan objectives) 	<ul style="list-style-type: none"> • 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 GPE advocacy/facilitation • Country-specific grant applications • Interviews • Education sector analyses 	<ul style="list-style-type: none"> • 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 under the New Funding Model)

⁴¹⁹ Where applicable.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
and cross-national sharing of evidence/good practice) ⁴²⁰	<ul style="list-style-type: none"> • Evidence of variable tranche having influenced policy dialogue before and during sector plan implementation (where applicable) • Progress made towards sector targets outlined in GPE grant agreements as triggers for variable tranche under the NFM, compared to progress made in areas without specific targets (where applicable) • EPDG/ESPIG resources allocated to (implementation) capacity development • Stakeholder views on GPE EPDG and ESPIG grants with focus on: <ul style="list-style-type: none"> – Value added by these grants to overall sector plan implementation; – the extent to which the new (2015) funding model is clear and appropriate especially in relation to the variable tranche; – how well GPE grant application processes are working for in-country stakeholders (e.g. are grant requirements clear? Are they appropriate considering available grant amounts?); b) Contributions through non-financial support <ul style="list-style-type: none"> • Types of GPE support (advocacy, facilitation, knowledge sharing) aimed at strengthening sustainable local/national capacities for plan implementation • Relevance of GPE non-financial support in light of DCP government's own capacity development plan(s) (where applicable) 	<ul style="list-style-type: none"> • Country's poverty reduction strategy paper 	

⁴²⁰ 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
	<ul style="list-style-type: none"> • Stakeholder views on relevance and effectiveness of GPE non-financial support with focus on: <ul style="list-style-type: none"> – GPE non-financial support contributing to strengthening sustainable local/national capacities relevant for plan implementation – GPE non-financial facilitating harmonized development partners' support to plan implementation • Possible causes for no/ limited GPE contribution to plan implementation. 		
<p>CEQ 1.5 How has education sector financing evolved during the period under review?</p> <p>a) Amounts of domestic financing</p> <p>b) Amounts and sources of international financing</p> <p>c) Quality of domestic and international financing (e.g. short, medium and long-term predictability, alignment with government systems)?</p> <p>10. If no positive changes, then why not?</p>	<p>a) Amounts of domestic education sector financing</p> <ul style="list-style-type: none"> • Changes in country's public expenditures on education during period under review (absolute amounts and spending relative to total government expenditure) • Extent to which country has achieved, maintained, moved toward, or exceeded 20% of public expenditures on education during period under review • Changes in education recurrent spending as a percentage of total government recurrent spending <p>b) Amounts and sources of international financing</p> <ul style="list-style-type: none"> • Changes in the number and types of international donors supporting the education sector • Changes in amounts of education sector funding from traditional and non-traditional donors (e.g. private foundations and non-DAC members) • Changes in percentage of capital expenditures and other education investments funded through donor contributions <p>c) Quality of sector financing</p>	<ul style="list-style-type: none"> • Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, National Education Accounts, Joint Sector Reviews, public expenditure reviews) • GPE results framework indicator 29 on alignment 	<ul style="list-style-type: none"> • Trend analysis for period under review • Descriptive analysis

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> • Changes in the quality (predictability, alignment, harmonization/modality) of international education sector financing to country • Changes in the quality of domestic education financing (e.g. predictability, frequency and timeliness of disbursements, program versus input-based funding) • Extent to which country dedicates at least 45% of its education budget to primary education (for countries where PCR is below 95%) • Changes in allocation of specific/additional funding to marginalized groups • Changes in extent to which other donors' funding/conditional budget support is tied to the education sector 		
<p>CEQ 1.6 Has GPE contributed to leveraging additional education sector financing and improving the quality of financing? If yes, then how? If not, then why not?</p> <p>a) Through ESPIG funding and related funding requirements?</p> <p>b) Through the GPE multiplier funding mechanisms (where applicable)?</p> <p>11. Through other means, including advocacy⁴²¹ at</p>	<p>a) Through ESPIG funding and related requirements</p> <ul style="list-style-type: none"> • Government commitment to finance the endorsed sector plan (expressed in ESPIG applications) • Extent to which GPE Program Implementation Grant-supported programs have been co-financed by other actors or are part of pooled funding mechanisms • Stakeholder views on extent to which GPE funding requirements (likely) having influenced changes in domestic education financing • Changes in relative size of GPE financial contribution in relation to other donor' contributions • Trends in external financing and domestic financing channelled through and outside of GPE, and for basic 	<ul style="list-style-type: none"> • ESPIG grant applications and related documents (country commitment on financing requirement) • Donor pledges and contributions to ESP implementation) • Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, National Education 	<ul style="list-style-type: none"> • Comparative analysis (GPE versus other donor contributions) • Triangulation of quantitative analysis with interview data

⁴²¹ Through the Secretariat at country and global levels, and/or GPE board members (global level, influencing country-specific approaches of individual donors)

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
national and/or global levels?	<p>and total education, to account for any substitution by donors or the country government</p> <ul style="list-style-type: none"> • Alignment of GPE education sector program implementation grants with national systems⁴²² • Possible reasons for non-alignment or non-harmonization of ESPIGs (if applicable) <p>b) Through the GPE multiplier funding mechanism</p> <ul style="list-style-type: none"> • Amount received by DCP government through the GPE multiplier fund (if applicable) • Stakeholder views on clarity and efficiency of multiplier application process <p>c) Through other means (especially advocacy)</p> <ul style="list-style-type: none"> • Likelihood of GPE advocacy having contributed to country meeting/approaching goal of 20% of the total national budget dedicated to education • Changes in existing dynamics between education and finance ministries that stakeholders (at least partly) attribute to GPE advocacy⁴²³ (e.g. JSRs attended by senior MoF staff) • Amounts and quality of additional resources likely mobilized with contribution from GPE advocacy efforts at country or global levels • Amounts and sources of non-traditional financing (e.g. private or innovative finance) that can be linked to GPE leveraging 	<p>Accounts, Joint Sector Reviews, public expenditure reviews)</p> <ul style="list-style-type: none"> • Interviews with national actors (e.g. Ministry of Finance, Ministry of Education, Local Education Groups/ Development partner groups) 	

⁴²² GPE's system alignment criteria including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively.

⁴²³ This advocacy can have taken place in the context of GPE support to education sector planning, sector dialogue, and/or plan implementation

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, then how?			
<p>CEQ 2.1 Has sector dialogue changed during the period under review? If so, then how and why? If not, why not?</p>	<ul style="list-style-type: none"> • Composition of the country's LEG (in particular civil society and teacher association representation), and changes in this composition during period under review; other dialogue mechanisms in place (if any) and dynamics between those mechanisms • Frequency of LEG meetings, and changes in frequency during period under review • LEG members consulted for ESPIG application • Stakeholder views on changes in sector dialogue in terms of: <ul style="list-style-type: none"> – Degree to which different actors lead, contribute to, or facilitate dialogue – Inclusiveness – Consistency, clarity of roles and responsibilities – Meaningfulness (i.e. perceptions on whether, when and how stakeholder input is taken into account for decision making) – Quality (evidence-based, transparent) – Likely causes for no/limited (changes in) sector dialogue 	<ul style="list-style-type: none"> • 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 • ESPIG grant applications (section V – information on stakeholder consultations) • Interviews 	<ul style="list-style-type: none"> • Pre-post comparison • Triangulate results of document review and interviews • Stakeholder analysis and mapping
<p>CEQ 2.2 Has sector monitoring changed? If so, then how and why? If not, why not?</p>	<ul style="list-style-type: none"> • Extent to which plan implementation is being monitored (e.g. results framework with targets, performance review meetings, annual progress reports... and actual use of these monitoring tools) • Frequency of joint sector reviews conducted, and changes in frequency during period under review; nature of JSR meetings held; and any other monitoring events at country level (e.g., DP meetings...) 	<ul style="list-style-type: none"> • LEG and JSR meeting notes • Joint sector review reports/aide memoires or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat 	<ul style="list-style-type: none"> • Pre-post comparison • Triangulate the results of document review and interviews

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> • Extent to which joint sector reviews conducted during period of most recent ESPIG met GPE quality standards (if data is available: compared to JSRs 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 • Stakeholder views on changes in JSRs in terms of them being: <ul style="list-style-type: none"> – Inclusive and participatory, involving the right number and types of stakeholders – 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)⁴²⁴ and recommendations are acted upon and implemented • Stakeholder views on extent to which current practices of sector dialogue and monitoring amount to ‘mutual accountability’ for the education sector. • Likely causes for no/ limited (changes in) sector monitoring. 	<ul style="list-style-type: none"> • Interviews 	
CEQ 2.3 Has GPE contributed to observed changes in sector dialogue and monitoring?	a) Grants and funding requirements	<ul style="list-style-type: none"> • LEG meeting notes • Joint sector reviews or equivalents from before and 	<ul style="list-style-type: none"> • Triangulate the results of document

⁴²⁴ 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>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>If so, then how? If not, why not?</p> <p>a) Through GPE grants and funding requirements⁴²⁵</p> <p>b) Through other support (capacity development, advocacy, standards, quality assurance, guidelines, facilitation, cross-national sharing of evidence/good practice)⁴²⁶</p>	<ul style="list-style-type: none"> • Proportion of total costs for sector dialogue mechanisms (and/or related specific events) funded through GPE grants • Proportion of total costs for sector monitoring mechanisms (e.g. JSR) funded through GPE grants • Stakeholder views on extent to which GPE funding process (e.g. selection of grant agent, development of program document, grant application) and grant requirements positively or negatively influenced the existence and functioning of mechanisms for sector dialogue and/or monitoring <p>b) Non-grant related support</p> <ul style="list-style-type: none"> • Support is aimed at strengthening local/national capacities for conducting inclusive and evidence-based sector dialogue and monitoring • Support is targeted at gaps/weaknesses of sector dialogue/monitoring identified by DCP government and/or LEG • Support for strengthening sector dialogue/monitoring is adapted to meet the technical and cultural requirements of the specific context in [country] <p>a) and b)</p> <ul style="list-style-type: none"> • Stakeholder view on relevance and appropriateness of GPE grants and related funding process and requirements, and of other support in relation to: 	<p>during most recent ESPIG period</p> <ul style="list-style-type: none"> • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews • CSEF, KIX documents etc. 	<p>review and interviews</p>

⁴²⁵ All relevant GPE grants to country/actors in country, including CSEF and KIX, where applicable.

⁴²⁶ Capacity development and facilitation primarily through Secretariat, coordinating agency (especially in relation to sector dialogue) and grant agent (especially in relation to sector monitoring). Advocacy through Secretariat (country lead), CA, as well as (possibly) GPE at the global level (e.g. Board meetings, agreed upon standards). Knowledge exchange includes cross-national/global activities organized by the Secretariat, as well as the sharing and use of insights derived from GRA and KIX grant-supported interventions. Knowledge sharing also possible through other GPE partners at country level (e.g. other donors/LEG members) if provided primarily in their role as GPE partners.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. around JSRs) • Possible causes for no/ limited GPE contributions to dialogue/monitoring. 		
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?			
<p>CEQ 3.1 What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector planning, financing, plan implementation, and in sector dialogue and monitoring?</p>	<ul style="list-style-type: none"> • 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 (or lack thereof) to sector plan implementation, sector dialogue or monitoring made by actors other than GPE • Changes/events in national or regional context(s) <ul style="list-style-type: none"> – Political context (e.g. changes in government/leadership) – Economic context – Social/environmental contexts (e.g. natural disasters, conflict, health crises) – Other (context-specific) 	<ul style="list-style-type: none"> • Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors related implications for [country] • Relevant studies/reports commissioned by other 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 	<ul style="list-style-type: none"> • Triangulate the results of document review and interviews
<p>CEQ 3.2 During the period under review, have there been unintended, positive or negative, consequences of GPE</p>	<ul style="list-style-type: none"> • Types of unintended, positive and negative, effects on sector planning, financing, sector plan implementation, sector dialogue and monitoring deriving from GPE grants and funding requirements 	<ul style="list-style-type: none"> • All data sources outlined for CEQs 1 and 2 above • Interviews 	<ul style="list-style-type: none"> • Triangulate the results of document review and interviews

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
financial and non-financial support?	<ul style="list-style-type: none"> Types of unintended, positive and negative, effects deriving from other GPE support. 		
Key question II: Has sector plan implementation contributed to making the overall education system in [country] more effective and efficient?			
<p>CEQ 4 During the period under review, how has the education system changed in relation to:</p> <p>a) Improving access to education and equity?</p> <p>b) Enhancing education quality and relevance (quality of teaching/instruction)?</p> <p>c) Sector Management?⁴²⁷</p> <p>If there were no changes in the education system, then why not and with what implications?⁴²⁸</p>	<p>a) Improving education access and equity - focus on extent to which DCP meets its own performance indicators, where available, e.g. related to:⁴²⁹</p> <ul style="list-style-type: none"> Changes in number of schools relative to children Changes in the average distance to schools Changes in costs of education to families Changes in the availability of programs to improve children's readiness for school) New/expanded measures put in place to ensure meeting the educational needs of children with special needs and of learners from disadvantaged groups New/expanded measures put in place to ensure gender equality in education <p>b) Enhancing education quality and relevance (Quality of teaching/instruction) – focus on extent to which DCP meets its own performance indicators, e.g. related to:</p> <ul style="list-style-type: none"> Changes in pupil/trained teacher ratio during period under review 	<ul style="list-style-type: none"> Education Management Information System (EMIS) UIS data World Bank data Household survey data ASER/UWEZO other citizen-led surveys 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 	<ul style="list-style-type: none"> Pre-post comparison of statistical data for periods under review Triangulate the results of document review with statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening

⁴²⁷ The sub-questions reflect indicators under Strategic Goal #3 as outlined in the GPE results framework as well as country-specific indicators for system-level change and elements (such as institutional strengthening) of particular interest to the Secretariat.

⁴²⁸ Implications for education access and equity, quality and relevance, and sector management, as well as likely implications for progress towards learning outcomes and gender equality/equity.

⁴²⁹ The noted indicators are examples of relevant measures to indicate removal of barriers to education access. Applicability may vary across countries. Where no country specific indicators and/or data are available, the CLE will draw upon UIS (and other) data on the described indicators.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> • Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school) • Changes in relevance and clarity of (basic education) curricula • Changes in the quality and availability of teaching and learning materials • Changes in teacher pre-service and in-service training • Changes in incentives for schools/teachers <p>c) Sector Management – focus on extent to which DCP meets its own performance indicators, e.g. related to:</p> <ul style="list-style-type: none"> • Changes in the institutional capacity of key ministries and/or other relevant government agencies (e.g. staffing, structure, organizational culture, funding) • Changes in whether country has and how it uses EMIS data to inform policy dialogue, decision making and sector monitoring • If no functioning EMIS is in place, existence of a realistic remedial strategy in place • Changes in whether country has and how it uses quality learning assessment system within the basic education cycle during period under review <p>(a-c):</p> <ul style="list-style-type: none"> • Likely causes for no/ limited changes at system level (based on literature review and stakeholder views) 	<p>addressed in country's sector plan</p> <ul style="list-style-type: none"> • Interviews • ESPIG grant applications • Relevant documents/reports illustrating changes in key ministries' institutional capacity (e.g. on restructuring, internal resource allocation) 	
<p>CEQ 5 How has sector plan implementation contributed to observed changes at education system level?</p>	<ul style="list-style-type: none"> • 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) 	<ul style="list-style-type: none"> • Sources as shown for CEQ 4 • Literature on good practices in education system domains addressed in country's sector plan • Education sector analyses 	

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	current/most recent policy cycle, targeted efforts outside of the education sector plan)	<ul style="list-style-type: none"> Country's poverty reduction strategy paper 	
Key question III: Have improvements at education system level contributed to progress towards impact?			
<p>CEQ 6 During the period under review, what changes have occurred in relation to:</p> <p>a) Learning outcomes (basic education)?</p> <p>b) Equity, gender equality and inclusion in education?</p>	<p>Changes/trends in DCP's core indicators related to learning/equity as outlined in current sector plan and disaggregated (if data is available). For example:</p> <p>a) Learning outcomes</p> <ul style="list-style-type: none"> Changes/trends in learning outcomes (basic education) during period under review (by gender, by socio-economic group, by rural/urban locations) <p>b) Equity, gender equality, and inclusion</p> <ul style="list-style-type: none"> Changes in gross and net enrollment rates (basic education) during review period (by gender, by socio-economic group, by rural/urban) Changes in proportion of children (girls/boys) who complete (i) primary, (ii) lower-secondary education Changes in transition rates from primary to lower secondary education (by gender, by socio-economic group) Changes in out-of-school rate for (i) primary, (ii) lower-secondary education (by gender, socio-economic group, rural/urban location) Changes in dropout and/or repetition rates (depending on data availability) 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) 	<ul style="list-style-type: none"> 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 Studies/evaluation reports on education (sub)sector(s) in country commissioned by the DCP government or other development partners (where available) Literature on key factors affecting learning outcomes, 	<ul style="list-style-type: none"> Pre-post comparison of available education sector data (examination of trends) during and up to 5 years before core period under review Triangulation of statistical data with qualitative document analysis

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
		equity, equality, and inclusion in comparable settings	
Key question IV: What are implications of evaluation findings for GPE support to [country]?			
<p>CEQ 7 What, if any, aspects of GPE support to [country] should be improved? What, if any, good practices have emerged related to how GPE supports countries? ⁴³⁰</p>	<ul style="list-style-type: none"> • Insights deriving from answering evaluation questions above e.g. in relation to: <ul style="list-style-type: none"> – Clarity and relevance of the roles and responsibilities of key GPE actors at the country level (Secretariat, GA, CA, DCP government, other actors) – Strengths and weaknesses of how and whether GPE key country-level actors fulfill their roles (both separately and jointly i.e. through a partnership approach) – The relative influence/benefits deriving from GPE financial and non-financial support respectively (with focus on the NFM, where applicable) – Extent to which logical links in the GPE theory of change are, or are not, supported by evidence – Extent to which originally formulated underlying assumptions of the ToC appear to apply/not apply and why – Extent to which different elements in the theory of change appear to mutually enforce/support each other (e.g. relationship sector dialogue and sector planning) – Stakeholder satisfaction with GPE support 	<ul style="list-style-type: none"> • All of the above as well as (for summative evaluations) sources applied for CEQs 9, 10 and 11 (part B below) 	<ul style="list-style-type: none"> • Triangulation of data collected and analysis conducted for other evaluation questions

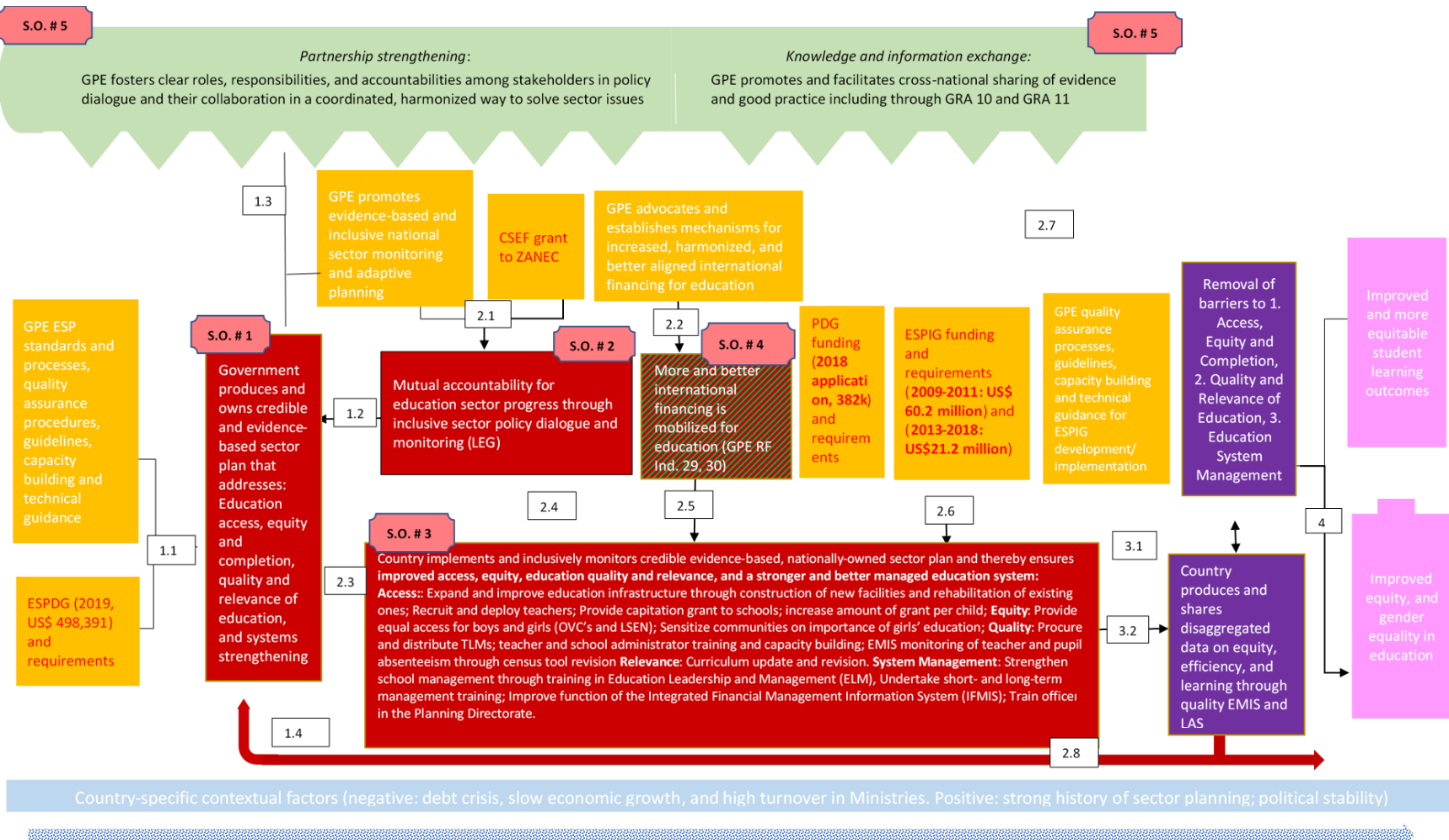
⁴³⁰ For both questions CEQ 7 and 8 the notion of ‘good practice’ refers to acknowledging processes, mechanisms, ways of working etc. that the CLE found to work well and/or that were innovative in that specific context. The intention is not to try and identify globally relevant benchmarks or universally ‘good practice’.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>CEQ 8 What, if any, good practices have emerged related to how countries address specific education sector challenges/how countries operate during different elements of the policy cycle?⁴³¹</p>	<ul style="list-style-type: none"> • Insights deriving from answering evaluation questions above e.g. in relation to: <ul style="list-style-type: none"> – Effectiveness of approaches taken in the respective country to ensure effective sector planning, sector dialogue and monitoring, sector financing, sector plan implementation. – Successful, promising, and/or contextually innovative approaches taken as part of sector plan implementation to address specific sector challenges⁴³² 	<ul style="list-style-type: none"> • All of the above as well as (for summative evaluations) sources applied for CEQs 9, 10 and 11 (part B below) 	<ul style="list-style-type: none"> • Triangulation of data collected, and analysis conducted for other evaluation questions

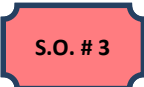
⁴³¹ This could mean, for example, highlighting strengths of existing mechanisms for sector planning that either reflect related GPE/IEEP guidelines and quality criteria or that introduce alternative/slightly different approaches that appear to work well in the respective context.

⁴³² For example, highlighting promising approaches taken by the respective government and development partners to try and reach out-of-school children. Please note that ‘innovative’ means ‘innovative/new in the respective context’, not necessarily globally new.

Appendix II GPE country-level theory of change for Zambia



LEGEND

xxx	Non-financial GPE inputs/support (technical assistance, facilitation, advocacy)
xxx	GPE financial inputs/support (grants) and related funding requirements
	Country-level objectives that GPE support/influence directly contributes to. Underlined items are issues (at least partly) supported through the ESPIG-funded PDSEB sub-sector plan.
	Global-level objectives that GPE support/influence directly contributes, which have consequences at country level (policy cycle continuum)
	Global-level objectives with ramifications at country level, that are influenced but not solely driven by GPE's global and country-level interventions and/or influence
	Intermediate outcomes: Education system-level changes
	Impact: Changes in learning outcomes, equity, equality, and inclusion
	Contextual factors
 S.O. # 3	Corresponding Strategic Objective in the GPE 2020 Strategic Plan

1

Numbers represent the key areas where logical linkages (explanatory mechanisms) connect different elements of the theory of change to one another (*'because of x, y happens'*). Numbers are aligned with the anticipated sequencing of achievements (1. sector plan development, 2. sector plan implementation, sector monitoring and dialogue, 3. education system-level changes, 4. envisaged impact).

Appendix III Evaluation methodology

The evaluation aims to assess the relevance, efficiency and effectiveness of GPE's inputs at the country level and the validity of GPE's theory of change to establish if and how GPE outputs and activities contribute to outcomes and impact.⁴³³ The guiding frameworks for the evaluation are the **evaluation matrix** (Appendix I) and the **country-level** theory of change for Zambia (Appendix II).⁴³⁴

The overall approach to this evaluation is theory-based and uses **contribution analysis** (CA). CA is a theory-based 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.⁴³⁵

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 one-dimensional, 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.

This country level evaluation (CLE), of GPE's support to the national education system of the Republic of Zambia, is part of a larger GPE study that comprises a total of 20 summative and eight formative CLEs. In October 2018, the approach for the summative evaluations was slightly modified. Starting in FY18, these new 'summative plus' (including this evaluation) will have the following modifications:

- 'Summative plus' CLE will not only explore one policy cycle⁴³⁶ and related GPE support ('first policy cycle'), but also include the beginning of the following policy cycle (the 'second policy cycle'). This will allow addressing questions around the transition from one ESP to the next and related GPE contributions,
- The CLEs will also explore strengths, weaknesses and value added of the revised GPE Quality Assurance and Review (QAR) and ESPDG mechanism.

⁴³³ In the context of this assignment, the term 'impact' is aligned with the terminology used by GPE to refer 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 controlled trials.

⁴³⁴ This country-specific ToC was adapted from the generic country-level ToC that had been developed in the assignment Inception Report.

⁴³⁵ 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).

⁴³⁶ i.e. from sector planning and related sector dialogue to sector plan implementation and monitoring during the period covered by the most recent fully or mostly disbursed ESPIG.

- The reports for ‘summative plus’ will include a final section on Strategic Questions, which will summarize – if applicable – suggestions for how GPE support to the respective country can be improved, and/or which will outline overarching questions about the GPE operational model that may be worth further exploring in the context of other summative and prospective CLE.

The process for this country evaluation involved four stages: (i) assessing the availability and quality of data, adapting the country-level theory of change and conducting a country-specific stakeholder mapping to determine priorities for consultations during the in-country site visit (see Appendix IV); (ii) in-country data collection during a ten-working day mission to Zambia from February 18rd to March 1st, 2019; (iii) assembling and assessing the GPE contribution story; and (iv) writing the evaluation report.

Data collection and analysis were conducted by a team of two international and one national consultant. Methods of data collection included:

- Document and literature review (see Appendix VI for a bibliography)
- Stakeholder consultations through individual and group interviews in Lusak, Zambia. In addition, telephone interviews were conducted with the Secretariat country focal point. Appendix V provides a list of consulted stakeholders. In total, the evaluation team interviewed 60 individuals (see Box iii.1).
- Education sector performance data analysis, drawing upon publicly accessible information on learning outcomes, equity, gender equality and inclusion, and education financing.⁴³⁷

Box iii.1: Consulted Stakeholders

Education ministry (including agencies): 29
 Grant and coordinating agents: 5
 Development partners/donors: 11
 Civil Society/Teacher Organizations/Parent organizations: 13
 GPE Secretariat: 2

The evaluation team analyzed the available data using qualitative (descriptive, content, comparative) and quantitative techniques, thereby triangulating different data sources and methods of data collection.

⁴³⁷ The key sources of data are the UNESCO Institute for Statistics (UIS) database, data.uis.unesco.org; the Organisation for Economic Co-Operation and Development (OECD) Creditor Reporting System (CRS), <https://stats.oecd.org/Index.aspx?DataSetCode=CRS1>; and country-level datasets and data sources.

Appendix IV Stakeholder mapping

STAKEHOLDER	INTEREST IN/INFLUENCE ON GPE COUNTRY-LEVEL PROGRAMMING IMPORTANCE FOR THE EVALUATION	ROLE IN THE COUNTRY-LEVEL 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; country lead facilitated the evaluation team's contacts with stakeholders.
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	Zambia is represented on the GPE Board through the Africa 1 constituency. These board members were <i>not</i> consulted during the course of this country evaluation.
Country-level		
Ministry of General Education and relevant directorates (Standards and Curriculum, Teacher Education and Specialized Services, Finance, Planning and Information, ECE)	Interest: High Influence: High. Responsible for shaping and implementing education sector policy and managing related financing. Focal point with GPE Secretariat. Importance: High. Main partner for GPE grant design and implementation.	Key informants at country level. Directors of all key MoGE directorates were interviewed in person during the country visit (see Appendix V, list of stakeholders).
Ministry of Higher Education (MoHE)	Interest: Moderate Influence: Moderate. Responsible for shaping and implementing higher education policy. Co-developed the ESSP with the MoGE Importance: Moderate. Does not deal directly with general education, but collaborates closely with the MoGE, and has historical perspective on MESTVEE.	Key informants at country level. Consulted during the visit in Zambia

STAKEHOLDER	INTEREST IN/INFLUENCE ON GPE COUNTRY-LEVEL PROGRAMMING IMPORTANCE FOR THE EVALUATION	ROLE IN THE COUNTRY-LEVEL EVALUATION
Ministry of National Development and Planning	Interest: High Influence: High. Responsible for developing national development plans and working with line ministries for their creation Importance: High	Key informant at country level. Consulted during the visit in Zambia
Ministry of Finance (MoF)	Interest: High Influence: High. Responsible for monitoring and providing financing to the education sector. Importance: High.	No consultations conducted
Key Education Sector Stakeholders (national level)		
Grant Agent: DfID	Interest: High Influence: High. Responsible for managing the ESPIG in Zambia. Importance: High	Key informant at country level. Consulted during the visit in Zambia.
Coordinating Agency: UNICEF	Interest: High Influence: High. The coordinating agency plays an important role in the functioning of the PITC, and other country-level dialogue bodies. UNICEF also served as grant agent for the ESPDG. Importance: High	Key informant at country level.
Development Partners (donor agencies, multilateral organizations): Ireland, JICA, USAID, EU	Interest: High Influence: High, through their participation in the PITC and other dialogue mechanisms, contributions to the pooled fund, in sector monitoring exercises, as well as to their own activities in the education sector. Importance: High	Key informants at country level were interviewed in person during the country visit.
Multilateral organizations: World Bank, UNESCO	Interest: High Influence: High, through their participation in the PITC and other dialogue mechanisms, contributions to the pooled fund, in sector monitoring exercises, as well as to their own activities in the education sector. Importance: High	Key informants at country level were interviewed in person during the country visit.

STAKEHOLDER	INTEREST IN/INFLUENCE ON GPE COUNTRY-LEVEL PROGRAMMING IMPORTANCE FOR THE EVALUATION	ROLE IN THE COUNTRY-LEVEL EVALUATION
Domestic non-governmental organizations: CAMFED, ZANEC, PLAN International, Save the Children, Child Fund,	Interest: High Influence: Medium. Many CSO representatives are members of dialogue bodies and participated in sector planning consultations and education sector reviews. Importance: Medium-High.	Key informants at country level were consulted during the country site visit.
Teachers' Unions: BETUZ, Zambia National Union of Teachers	Interest: High Influence: Medium. Teachers' unions are members of dialogue bodies and participated in sector planning consultations and education sector reviews. Importance: Medium-High.	Key informants at country level were consulted during the country site visit.

Appendix V List of consulted individuals

In total, 61 individuals were interviewed in Zambia. All consulted individuals were based in Lusaka.

ORGANIZATION	LAST NAME, FIRST NAME	TITLE	M/W
Ministries and Agencies of Zambia			
	SIMUKONDA, Prisca	Chief Education Standards Officer	W
MoGE, Directorate of Standards and Curriculum	MBWAYU, Mary	Acting Principle Curriculum Specialist	W
	MAKUNGU, Kelvin	Curriculum Specialist – Art and Design	M
	KAMBALANYOMA, Mukanu	Curriculum Specialist – Language	M
	SINKALA, Aaron	Curriculum Specialist – Social Science	M
	KALENGA, Happie	Senior Education Standards Officer - Social Science	W
	KAFULIWI, Ackson	Senior Education Standards Officer – Examination	M
	CHILUFYA, Mumba	Senior Education Standards Officer – Examination	M
	NDONYO, Thomas	Principle Education Standards Officer – Special Education	M
MoGE, Teacher Education and Specialized Services	CHILEKWA, Grace	Director -TESS	W
	CHIZAMBE, Esvah	Assistant Director -Teacher Education	W
	BAUDA, Christopher	Senior Education Officer	M
	ROBINSON, Bwato	Chief Librarian	M
	MVULA, Nebby	Senior Education Officer	M
	CHISANGA, Charles	Senior Education Officer	M
	SMITH, Chipelelo	Librarian	M
	LIATO, Sharon	Principal Librarian	W
	MUPINDE, Constantine	Senior Librarian	W
MoGE, Directorate of Finance	HANGOMA, Patron	Chief Accountant	M
MoGE, Directorate of Planning and Information	MWANSA, Louis	Director of Planning and Information	M
	TEMBO, Man'gombe	GPE Focal Point Person and Acting Senior Planner	M
	MUBANGA, Succeed	Director, Department of Planning and Development	M

ORGANIZATION	LAST NAME, FIRST NAME	TITLE	M/W
Ministry of Higher Education, Department of Planning and Development	CHIBWE, Coster	Acting Senior Planner Monitoring and Evaluation	M
	Mutelekeshe, Kondwani	Assistant Director – Planning	W
Ministry of General Education, Directorate of Early Childhood Education	MWEETWA, Rhonda	Assistant Director – Early Childhood Education	W
	SIMFUKWE, Evelyn	Principal Education Officer - ECE	W
	KALUBA, Enock	Senior Education Officer - ECE	M
	KANDELA, Joyce	Senior Education Officer - ECD	W
	KALABA, Teddy	Senior Education Officer - ECE	M
Ministry of National Development and Planning	LISHOMWA, CATHERINE	Director – Development Co-operation	W
Bilateral and multilateral donor agencies			
UNICEF	MIYAGAWA, Hideko	Chief of Education	W
	TESFAGHEBRIEL, Yodit	Education Specialist	W
	OMOL, Shadrack	Deputy Representative	M
	MUSONDA, Christabel	Education Officer – Quality	W
World Bank	MUPUWALIYWA, Mupuwaliywa	Education Special	M
USAID	CRITES, Sarah	Director, Education Office	W
	CHOMBA, Yvonne	Education Specialist	W
UNESCO	MUKONKA, Remy	Program Officer	M
	SIKAYILE, Amos	National Associate Project Officer	M
	SAILI, Alice	Head of Office	W
Embassy of Ireland	KWAMBWA, Miyanda	Programme Manager – Education, Skills, & Gender	W
European Union	LOACKER, Elisabeth	Team Leader – Social Sectors & Governance Section	W
JICA	NYAMBE, Nambayo	Programme Officer – Education & PSD	M
	MATSUMURA, Motohiro	Assistant Resident Representative, Social Development and Training Team	M
DFID	GOLDSMITH, Sarah	Team Leader, Human Investment	W
Independent Consultant	CHILESHE, John	Independent Consultant	M
GPE Secretariat	KHAN, Muhammad Tariq	GPE Country Lead	M

ORGANIZATION	LAST NAME, FIRST NAME	TITLE	M/W
	DANCHEV, Plaman	GPE Country Lead	M
Civil Society			
CAMFED	MWEMBA, Muka	Program Manager	W
	KAYAMBA, Grace	Program Manager	W
	KASANDA, Dorothy	National Director	W
ZANEC	HAMUSUNGA, George	Executive Director	M
PLAN International	CHIBWE, Annely	Education Programme Manager	W
Basic Education Teachers' Union of Zambia (BETUZ)	KABIKA, Kakunta	Director of Workers Education and Manager of Research Department	M
Save the Children	INCONTAMBESHA, Juliet	Education Manager and Thematic Lead	W
Child Fund	NG'OMA, Edith	Education Technical Adviser	W
	SICHONE, George	Health Technical Manager	M
	MILIMO, Clyde	Youth Programme Officer	M
	NSOFU, Godwin	Program Manager	M
Zambia National Union of Teachers	YALUKANDA, Christopher	Director of Research	M
	BUBALA, Numan	Secretary General	M

Appendix VI List of Reviewed Documents

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Appendix VII Progress on NIF III implementation

Progress on PAF targets⁴³⁸

INDICATOR		2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT
						TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL	
A. Education Results												
A1. Better quality primary education for boys and girls: Percentage in mean scores in reading, math & life skills. Learning achievement, grade 5 level	English	35.3%	35.4%	Data not collected	37%	N/A	32.1%	34.1%	34.9%	2016 NAS 2016 Results and Report disseminated	Results ready, report not distributed	Target met; deterioration from baseline
	Math	39.4%	38.0%		39%		35.5%	36.5%	37.0%			
	Life skills	40.2%	37.9%		39%		34.6%	37.3%	38.9%			
	Zambian language	39.4%	37.5%		39%		35.2%	37.6%	39.7%			
A2. Policy Indicator: National Literacy and Numeracy Framework	No literacy Framework in place	Draft NLF developed	National Literacy Framework finalised and printed	Framework disseminated to all Gov't and Community schools	Draft national numeracy framework developed	National numeracy framework finalised, printed and disseminated to all gov't and community schools	NLF: Revised and completed; NNF being piloted at targeted GRZ and Community Schools	NFL: being revised NNF: Being Piloted	Revised NLF printed and distributed NNF Finalised	NLF Revised but not printed and distributed Not finalised	Progress; target not met	
A3. Access to TEVET: Enrolment in TEVET against grade 12 in previous year	Total	T:	33,233	34,910	35,599	37,023	-	-	-	-	-	Indicator no longer tracked by MoGE
	Male	18,446	19,240	19,578	20,361	M:	-	-	-	-	-	
	Female	14,787	15,670	16,021	16,662	F:	-	-	-	-	-	
B. Priority Education Sector Outcomes												
B4. Improved primary completion rate	Grade 7	M=107.1% F=98.8% T=103.0%	M:107.6 F:107.7 T: 107.6	M:100.7 F: 97.4 T: 99.0	M: 99 F: 98 T: 99	M: 99.3 F: 99 T:99.5	M: 90.0 F: 84.4 T: 88.1	M: 91 F: 84.5 T: 87.75	M: 91.3 F: 93.4 T: 92.4	M: 92 F: 94.2 T: 93.1	M: 109.9 F: 107.0 T:108.5	Achieved
	Grade 9	M=67.85% F=55.97%	M: 68.90 F: 59.60	M: 65.9% F: 57.1%	M:68 F:58	M=69% F=59%	M=68.0% F=63.2%	M: 65.7 F: 68.5	M: 69.4 F: 68.3	M: 70.6 F: 69.6	M: 75.8 F: 72.4	

⁴³⁸ Baseline data from 2008 National Learning Assessment, as reported in the 2015 MoGE Annual Progress Report. 2011-2015 data from 2015 MoGE Annual Progress Report (January – December, 2015), May 2016. 2016-2017 data from MoGE, 2017 Performance Assessment Framework Targets

INDICATOR	2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT	
					TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL		
	T= 61.91%	T:64.24	T: 61.5%	T:63%	T= 64%	T= 65.6%	T:67.1	T:68.8	T:70.1	T:74.1		
B5. Improved grade 9-10 transition rate DLM 1	M=46 F=44.8 T=45.5	M: 46.5% F: 47.0% T: 46.7%	M: 43.6% F: 42.7% T: 43.2%	M52% F:50% T:51%	M=53% F=51% T=52%	M=47.4% F=44.8% T=46.2%	M: 50.5 F: 46.9 T: 48.7	M: 51.2 F: 46.9 T: 49.0	M: 52 F: 47 T: 50	M: 48.3 F: 47.7 T:48.0	Not achieved	
B6. Improved results - % of grade 9 students who attain at least Div. III in English, Env. Science, & math	English	T:36.7% M:35.9 F: 37.7	T:33.8% M:28.3 F :31.2	T: 43.2% M 37.6 F:40.3	T: 45.7% M:43.0 F:48.8	T 47.5% M: 45.1% F: 50.1%	T: 49.2% M: 31.6% F: 34.6%	M: 33 F: 35.5 T: 35	M: 28.6 F: 33.8 T:31.2	M: 33 F: 36 T:34.3	Awaiting data	Not achieved
	Math	T:25.9% M:27.8 F:23.7	T: 26.9% M:27.2 F:24.2	T: 23.8% M:25 F:25.9	T: 30.8% M:32.75% F:29.36%	T: 35.5% M:37.5% F:35.6%	Total: 39.6% M:30.5% F:27.0%	M: 32.5 F: 30 T:31.3	M: 28.9 F: 24.1 T: 26.6	M: 32.5 F: 30 T: 31.3	Awaiting data	
	Env. Sc.	T: 31.7% M:35.5% F:27.6%	T:32.2% M:32.4 F:27.2	T:43.2% M:41.2 /F:35.2	T:41.39% M:44.63% F :40.91%	T:43.2% M:45.91% F45.5%	Total: 39.6% M:41.9% F: 37.2%	M: 43.5 F: 39.2 T: 41.4	M: 37.0 F: 31.6 T: 34.3	M: 43.5 F: 39.2 T: 41.4	Awaiting data	
B7: improved teaching and learning: pupil/teacher contact time at primary level	G1-7 is 5hrs	G1-7 is 5 hrs	SDS Survey conducted	SDS Survey conducted	SDS survey finalized, p/t contact time at primary established for FY 2014	5.5 hours teaching per day	5.6 hours per day	4.8 hours per day	As per Set guideline (5hrs)	5.1	Achieved	
B8. Curriculum reform: Curriculum revision for Primary and secondary education finalized and implemented	Curriculum under review	Curriculum under review	Curriculum piloted in 30 districts in 150 schools.	Revised Curriculum in all gov't & community schools	Curriculum operational, plan fully costed & implemented at appropriate grade levels	Revised curriculum implemented at Grade 1,2,5,6, 8,9,10 and 11	Revised curriculum implemented in grade 3, 7 and 12	revised and implemented in Gr 3, 7 and 12	Revised curriculum implemented in grade 4	Revised curriculum implemented in grade 4	Achieved	
B9. Leadership & management: # of Primary & secondary school managers & administrators who received ELM training and support	Primary	M: 126 F: 70 T: 196	M: 218 F: 174 T: 392	M: 314 F: 282 T: 596	M: 414 F:394 T:808	M:518 F:510 T:1028	M: F: T: 991	M: 200 F: 300 T: 500	M: 45 F: 30 T:75	M:155 F: 270 T: 435	Awaiting data	Not achieved
	Secondary	M: 84 F: 47 T:131	M: 146 F: 116 T:262	M: 209 F: 188 T:397	M:160 F: 155 T:315	M:162 F: 157 T:319	M: F: T: 321	M: 100 F: 100 T:200	M: 20 F: 11 T:31	M: 80 F: 89 T: 169	Awaiting data	
C. Key sub-sector outputs and policy action indicators												
<i>Expansion of Early Childhood Education</i>												
C10. Target: %age of Grade 1 entrants with ECE experience	M: 14.8 F: 15.4 T: 15.2%	M:15.8 F: 16.4 T: 16.1%	M: 14.3 F: 14.6 T: 14.5%	M:18% F:20% T:19%	M: 23% F: 27% T: 25%	M: 27.4% F: 21.5% T: 24.4%	T: 25.2	M: 35.7 F: 24.0 T: 29.8	M: 35 F: 35 T: 36.8	M: 49.1 F: 50.9 T: 26.1	Improvement; target not achieved	

INDICATOR	2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT	
					TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL		
C11. Policy Indicator: National ECE policy	Developing ECCDE policy	Finalize national ECE policy	Regulation & guidelines for provision of ECCDE completed	ECE policy submitted to Cabinet	- Finalize and print the ECE policy - Develop ECE costing implementation plan and guidelines	- ECE Policy finalized - ECE Policy Implementation Plan finalized and costing.	ECE policy and implementation plan finalized and costing.	ECE policy and implementation plan finalized and costing.	Launch the ECE Policy	ECE Policy not Launched	Progress; target not achieved	
<i>Primary Education Quality</i>												
C12. Target: reduction of number of districts with a PTR of over 60:1 in lower primary gr. (1-4)	37 districts (out of 72)	30	22 (14 out of 72)	25 (out of 103)	20 districts (out of 103)	15 districts (out of 103)	15 districts of 105	63 of 105	15 districts of 105	27 of 107	Not achieved	
C13. Target: Average amount of sch. grant per child DLM 2	Basic / primary	-	ZMK: 17.25	ZMW 28.61	ZMW 50.18	ZMW 45.68	ZMW 50.44	ZMW 45	ZMW 51.2	ZMW 45	ZMW 63.93	Some targets achieved
	High / secondary	-	ZMK 48.10	ZMW 48.21	ZMW 54.98	ZMW 144.22	ZMW 153.00	ZMW 153	ZMW 160.4	ZMW 160.4	ZMW 100.38	
C14. Policy indicator: # of provinces implementing PLIS	5 provinces	5	10	10	10	10	10	10	10	Awaiting data	Achieved	
<i>Primary Education Access</i>												
C15. # of Community schools that receive GRZ grants	236 (2009)	236			2,406 community schools	Data not available	2500	2550	2560	2521	Progress; target not achieved	
<i>Secondary education access</i>												
C16. Target: # of new secondary schools operational each year cumulatively	3	5	29	42	50	48	62	62	77	84	Achieved	
C17. Target: Net Enrolment ratio (grade 10- 12)	M=26.1% F= 19.9% T: 23%	M:32.6% F:24.9% T:28.7%	M: 31.1% F: 25% T: 28%	M:32 F:26 T: 29	M= 33% F=28% T= 30%	M= 35.3% F=28.6% T= 32.0%	T= 31.5% M= 32.4% F= 30.6%	T= 25.4 M= 26.5 F= 24.3	T= 31.5% M= 32.4% F= 30.6%	Awaiting data	Not achieved	
<i>Teacher Training</i>												
C18. Target: % of Primary and secondary schools that have implemented	Basic / Primary ⁴³⁹	10.8% (ie 175 schools out of 1609 schools in	45% in three provinces Result	55% in three provinces Result 80% (798 schools out	85% in three provinces	90% in three provinces	87% in 3 provinces	95% in three provinces. 1580 schools out of 1651 schools	G1-4= 54 of 236 (22.9%) G1-7= 1478 of 2685 (55%)	G1-7= 28.5% (1207 of 3603)	All schools in three pilot provinces commenced implementing	Achieved

⁴³⁹ Basic school, through 2012, encompasses grades 1-9. Primary school, from 2013, encompasses grades 1-7.

INDICATOR		2011	2012	2013	2014	2015		2016		2017		COMMENT
		BASELINE				TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL	
SBCPD through lesson study (primary: all subjects, secondary: science and maths) DLM 3		three provinces)	49.7% (801 schools out of 1609 schools)	of 986 schools)							Lesson Study through the SPRINT framework from 2016	
	High / secondary ⁴⁴⁰	99% (ie 129 schools out of 130 schools in 3 provinces)	More than 70% in 3 provinces Result 98.5% (132 / 134 schools)	40% in ten provinces (76 districts out of 102 districts) 【Result】 51.7% (1315 schools out of 2542 schools)	55% in ten provinces	65% in ten provinces	68% in 10 provinces (all districts)	96% in ten provinces 541 schools out of 564 schools	G8-12= 686 of 725 (94.6%) G10-12= 30 of 63 (47.6%)	G8-12= 10.3% (39 of 377) G10-12= 100% (23 of 23)	About 45% primary schools and 93% Secondary schools implemented Lesson Study country wide	Achieved
C19. Target: Teachers qualified by level	Basic/primary	Dipl.: 13,423 Education Bachelor's Degree: 519 Primary Teachers Cert.:40680	Diploma :17203 Education Bachelor's Degree: 911 Primary Teachers Cert.:43031	Diploma :18494 Education Bachelor's Degree: 1194 Primary Teachers Cert.:42269	Diploma :21921 Education Bachelor's Degree: 1824 Primary Teachers Cert.:41011	Diploma: 25,423 Education Bachelor's Degree: 2119 Primary Teachers Cert.:39800	Diploma: 22,748 Bachelor's Degree: 2445 Primary Teachers Cert.: 37,030	Diploma: 25,876 Bachelor's degree: 2,505 Primary Teachers Cert.: 38,330	Diploma: 24,924 Bachelor's degree: 3,359 Primary teachers Cert.: 33,611	Diploma: 25,424 Bachelor's degree: 4,359 Primary teachers Cert.: 32,681	Awaiting data	Not achieved; some progress
	High/secondary	Diploma :6943 Ed Bachelors Degree: 1992 Primary Teachers Cert.: 2038	Diploma :28702 Education Bachelors Degree: 3969 Primary Teachers Cert.:45621	Diploma :30394 Education Bachelors Degree: 4916 Primary Teachers Cert.:44690	Diploma :35221 Education Bachelors Degree: 6759 Primary Teachers Cert.:43484	Diploma :4043 Education Bachelors Degree: 8492 Primary Teachers Cert.:4238	Diploma in Education: 13,271 Education Bachelors Degree: 5,503 Primary Teachers Cert.: 2,231	Diploma in Education: 13,500 Education Bachelors Degree: 5678 Primary Teachers Cert.: 2531	Diploma in Education: (not met) Education Bachelors Degree: 6298 Primary Teachers Cert.: 2032	Diploma in Education: 12337 Education Bachelors Degree: 7298 Primary Teachers Cert.: 1832	Awaiting data	Not achieved; some progress
C20a. % of learners with minimum level of HIV and AIDS prevention knowledge				not available	(baseline)	10% out of the total schools in Zambia	15% out of the total schools in Zambia	MoGE stopped collecting this information				
C 20. b Number/ % of Primary and Secondary School teachers who receive training in Life-skill HIV Sexuality Education.								Primary: M= 11232 F= 10760 T= 21992 (30%) Secondary:	Primary: T= 50% Secondary: T= 50%	Primary: T= 37.0% Secondary: T= 23.7%		Not achieved

⁴⁴⁰ High school, through 2012, encompasses grades 10-12. Secondary school, from 2013, encompasses grades 8-12.

INDICATOR	2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT
					TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL	
								M= 1813 F= 1571 T= 3384 (15.2%) baseline			
C 20. c Number/% of Primary and Secondary School learners provided with Life-skill HIV Sexuality Education.								Primary: M= 581563 F= 530645 T= 1112208 Secondary: M= 80233 F= 72721 T= 152954	Primary: M= 741983 F= 700982 T= 1112208 Secondary: M= 80233 F= 72721 T= 152954	Primary: 43.9% M= 581563 F= 530645 T= 1442965 Secondary: 25.7% M= 112210 F= 106885 T= 219095	Achieved
D. Education Systems Strengthening Through Improved Efficiency											
D22. Enhanced financial management 1: reduced # and amount of audit irregularities in annual audits	60 (2010 data)	50 Total amount REDUCED by 10%	40 Total amount reduced by 10%	30 Total amount reduced by 15%	20 Total amount reduced by 15%	15 and Total amount reduced by 15%	12	2016 Auditor General's report is not yet available	12	22/27 audit queries from GRZ budget outstanding; 10/29 from sector pool (ePact)	Not achieved
Actual D23: Enhanced financial management 2: % of FMAP activities implemented DLM 4	FMAP in place; phase 0 being rolled out	FMAP revised	FMAP implemente d and 50% completed	FMAP implemente d and 60% completed	FMAP implemented and 80% completed	FMAP implemented and 78% completed	FMAP revised and 80% implemente d	FMAP revised and 83.3% implemente d	FMAP revised and 90% implemente d	FMAP revised. 24% achieved, 50% on Track, 14 % slightly Off track. Some indicators are not entirely dependent on MoGE activities	Not achieved
D25. Availability of accurate and timely data: ESB published annually with timely dissemination for evidence-based decision making	ESB 2010 finalised and disseminat ed by Dec 2012	ESB 2011 finalised and disseminat ed before Dec, 2012	ESB 2012 finalised and disseminate d by May 2013	ESB 2013 finalised and disseminate d by May 2014	ESB 2014 finalised and disseminated by May 2015	ESB 2015 Tables finalised. Narrative to be done by second quarter of 2016	ESB 2015 tables shared and disseminate d	ESB 2015 tables shared and disseminate d	ESB 2016 tables shared and disseminat ed by end of Q1	Tables ready but not disseminated	Some progress
D26. Human resource management: average # of	No survey conducted yet	No survey conducted yet	No survey conducted yet	SDS Survey conducted	SDS survey finalized, avg. # of days of teacher attendance	83% attendance rate	N/A	N/A	N/A	N/A	Partially achieved (measure d in only one year)

INDICATOR	2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT
					TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL	
days of primary teacher attendance ⁴⁴¹					established for 2014						
D27. National Assessment Survey on literacy and numeracy at grade 5 conducted and results disseminated DLM 5	Not conducted	NAS Conducted	Results of the 2012 NAS shared by April 2013	NAS grade 5 Conducted	Results of the 2014 NAS shared by April & included in ESB	NAS grade 5 Conducted and results disseminated in 2015	Conduct the NAS	NAS conducted	N/A	NAS Report ready, yet to be circulated	Partially achieved
D. 28 Literacy and numeracy survey (for early grade (1 or 2) conducted and results disseminated ⁴⁴²		EGRA conducted in 1 district, and EGMA conducted in 1 district: both in 2011/12	preparation for the surveys undertaken	National Assessment survey (grade 2) conducted as baseline for revised curriculum implementation	NAS grade 2 conducted, results shared by April and included in ESB. Expect to increase by at least 15% of baseline results	Grade 2 NAS 2015 report disseminated	Conduct the NAS grade 2	Not conducted	N/A	Not conducted in 2017 (conducted in April, 2018)	Achieved late

E. Government and Donor Expenditure and Dialogue

E29. Allocation of education budget: minimum % of budget allocated to primary and secondary DLM 6	Basic/ Primary	52.6%	48.2%	54.3%	50 %	50 %	69 %	Pr: 65%	Pri: 67.9%	Pri: 67.3%	Pri: 68.0%	Achieved
	High / Secondary	12.6%	11.5%	12.3%	20%	20 %	23%	Sec: 24%	Sec: 24.1%	Sec: 23.3%	Sec: 23.1%	
E30. Budget allocations and releases of non-PE education: % of recurrent (R) and % of capital (C) releases	Allocation		R: 96 C:100	R: 96.5 C:100	R: 97 C:100	R: 97 C:100	R: 97 C:100	R: 80% C: 80%	R: 63.7% C: 47%	R: 65% C: 50%	R: 57% C: 43%	Not achieved
	Releases		R: 95% C:94%	R: 83.4 C:100	R: 81.4% C: 66.05%	R: 90% C:70%	R: 92% C:75%	-	-	-	-	
E31. Text book procurement: budget released for procurement of teaching and learning materials and textbooks	No data	No data	100% of budgeted amount	T&L materials: 22,300	T&L materials: 22,350	T&L materials: 30,000	6,277,515 (gr 3,7 and 12)	1,622,340 (Gr 3 books only)	7,665,000 books or grade 3, 4, 7 and 12, books that	Awaiting Data	Not achieved	

⁴⁴¹ Note that the PET is only held once, meaning that indicators are only available for 2015. Source: PAF 2018.

⁴⁴² According to the 2018 PAF report, the 2016 Grade 1 Assessment was not conducted because of lack of funds and Gr 2 EGRA and EGMA not done due to shift in priorities.

INDICATOR	2011 BASELINE	2012	2013	2014	2015		2016		2017		COMMENT
					TARGET	ACTUAL	TARGET	ACTUAL	TARGET	ACTUAL	
				Textbooks: 90,731					were not awarded will be awarded		
E32. Predictability and timeliness of Cooperating Partner Funding: % of commitments disbursed by Sept 30th of each year	Data not available	Data not available	80%	90%	100%	100%	100%	72%	100%	0%	Not achieved
E33. Effective process for national education dialogue: JAR held annually, according to the agreed TOR	No of JAR held	Ed JAR held and Aide Memoir completed	Ed JAR held and Aide Memoir completed	Ed JAR held and Aide Memoir completed	Ed JAR held and Aide Memoir completed and signed within 2 months of JAR. 50% of activities implemented	Ed JAR held and Aide Memoire completed within 2 months of JAR 75% of the activities implemented	Ed JAR held and Aide Memoir completed	Education JAR held 50% of AM activities completed	Ed JAR held and 100% of the Aide Memoir activities completed	JAR held	Achieved
E34. GPE funding: Additional funding for the sector secured through GPE							NIF IV development initiated and ESP/ESA/GPE application submitted	NIF III extended to June 2017, ESSP still being developed, GPE application submitted and grant given	Finalization of ESSP	ESSP under independent evaluation prior to final submission to GPE	Achieved

Implementation progress against NIF III priority actions⁴⁴³

ACTIVITY	PROGRESS	COMMENT
EARLY CHILDHOOD EDUCATION		
1. Review ECE legislation; include ECE provisions in Education Act	National ECE policy finalized in 2014 (2015 JAR), with support from UNICEF (2016 JAR)	Achieved
2. Conduct social mobilization and advocacy with key ECE stakeholders	Advocacy efforts conducted in 9/10 provinces (2016 JAR)	Largely achieved (limited data)
3. Establish an appropriate institutional and regulatory structure for ECE	ECE directorate created in 2015 (2016 JAR). Its status has been elevated to be one of the seven key education programs of the MoGE, indicating an elevated status. The ECE directorate has developed an ECE policy, a draft Policy Implementation Plan, ECE Standard Guidelines, and a Standards Monitoring Tool. DECE has also developed a National ECE curriculum, National Teacher Education Curriculum, and a core set of ECE teaching and learning materials, which have been translated into 7 languages (2018 ESA)	Achieved
4. Collaborate and network with local and international stakeholders for effective and efficient ECE resource utilization	ECE developments during the NIF III period “involved extensive collaboration with non-government partners, communities, and the private sector.” (ePact)	Achieved (limited data)
5. Construct ECE centers and convert primary classrooms to ECE	700 ECE centers established by 2014 (2015 JAR). In 2015, 125 ECE classrooms were constructed and 695 primary classrooms were converted to ECE (2016 JAR)	Partially achieved
6. Community sensitization and advocacy on ECE activities		Insufficient data
7. Expand access to ECE in disadvantaged and rural areas – 5 ECE centers constructed per district	Availability of ECE centers in rural areas is still inadequate (2018 ESA)	Partially achieved
8. Provide training to teachers in special education	152 ECE teachers were trained in Special Education (2016 JAR)	Partially achieved
9. Develop and disseminate curriculum, guidelines, and TLMs for ECE	ECE Teacher Education Curriculum finalized; yet to be implemented. Will harmonize curriculum between various institutions (2015 JAR) TLMs distributed to 886 ECE centers, including 76k textbooks and 332k exercise books (2016 JAR) out of a total of 1,849 ECE centers (2018 ESA). Updated curriculum introduced instruction in the language of play (2018 ESA)	Partially achieved

⁴⁴³ Activities selected from MoGE, “Education Sector Extended National Implementation Framework III 2011-2016,” Lusaka. 2015. Progress documented using data from the 2014 Joint Annual Review Report (MoESVTEE), 2015 Annual Progress Report (MoGE) – May 2016, 2017 Annual Progress Report (MoGE) – July 2018, and the 2018 ESA.

10. Develop and disseminate ECE M&E system; train stakeholders on its use		Insufficient data
11. Recruit, deploy, and retain teachers and other staff to needy ECE centers (target: 7,000 ECE teachers trained)	1,011 ECE teachers recruited and deployed by 2014 (2015 JAR) Only 25 were recruited and deployed in 2015, out of a goal of 1,000 (2015 JAR) Teacher training curriculum has been revised to include ECE, and 11 public colleges of education offer ECE training. Roughly 500 teachers qualified in ECE graduate from teacher training colleges each year. Nevertheless, there are still large deficits in the ECE teacher workforce, and there has been little to no recruitment and deployment of ECE teachers since 2014 (2018 ESA).	Partially achieved
PRIMARY EDUCATION		
1. Build 10,000 classrooms	162 classroom blocks built in 2015, reaching 37% of target (2016 JAR). School construction largely did not take place in 2017, and treasury funds were not released (2018 JAR)	Partially achieved
2. Lobby for increased enrolments in schools run by other stakeholders; run alternative modes of education		Insufficient data
3. Recruit and deploy teachers (target: 20,000 recruited and deployed)	2,708 primary teachers recruited and deployed (2015 JAR) 2,351 primary teachers recruited (2016 JAR) The total number of teachers in the system fell from 100k to 96k between 2014 and 2016 (2016 ESA)	Partially achieved
4. Review and revise Primary Education Curriculum	Zambia Education Curriculum Framework and National Literacy Framework finalized, distributed to all learning institutions in 2013-14 (2014 JAR) Curriculum for grades 1 and 5 rolled out in 2014; 2 and 6 in 2015 (2016 JAR), 3, 7, 12 in 2016, and 4 in 2017 (2018 JAR) Updated curriculum introduced instruction in the language of play (2018 ESA)	Achieved
5. Procure and distribute TLMs	Teachers Guides and Pupil Books for grade 1 literacy developed, printed, distributed in 2014 (2015 JAR) Grade 1 and 5 materials (1.1m grade 1 books, 1.5m grade 5 books) printed and delivered in 2015 (a year late) (2016 JAR) Delays in distributing TLMs stemming from delays/failure to pay publishers (2018 JAR)	Partially achieved
6. Improve teaching in phonics, literacy, and math		Insufficient data
7. Deploy ICT infrastructure	1,143 schools procured ICT equipment (2016 JAR), but falling short of the target of 30 percent of schools.	Partially achieved
8. Implement provincial learner improvement strategy		Insufficient data

9. Engage stakeholders in educational activities at school / community level		Insufficient data
10. Implement the leadership and management training programme (LMT)	991 primary school administrators underwent training, surpassing target of 700 (2016 JAR) By 2015, 2,983 head teachers, deputy heads, senior teachers, and heads of department were trained, fewer than half of the target of 8,000 (2018 ESA)	Partially achieved
11. Provide capitation grant to schools; increase amount of grant per child	71.1 percent of the budget allocated to school grants was disbursed (2016 JAR) 2017 grant disbursements were late, and were much smaller than what was approved in the budget (ePact 2018)	Partially achieved
12. EMIS monitoring of teacher and pupil absenteeism through census tool revision	Teacher absenteeism was studied in the World Bank's Education Sector Public Expenditure Tracking and Service Delivery Survey, but this indicator is not regularly assessed (World Bank, 2015)	Not achieved
13. Strengthen school supervision and support services		Insufficient data
14. Procure TLMs for Learners with Special Education Needs (LSEN)		Insufficient data
15. Provide equal access for boys and girls (OVC's and LSEN)	The fifty-fifty policy was implemented in 2011, which specifies that one girl must be enrolled for each boy enrolled (2018 ESA)	Achieved
16. Strengthen special education services for the LSEN, including procurement of ICT		Insufficient data
17. Implement the teacher retention scheme		Insufficient data
SECONDARY EDUCATION		
1. Construct new secondary schools, including special needs facilities	Because only 30 percent of the infrastructure budget was released, only 45 of the planned 118 schools were constructed (2016 JAR) Construction budget releases in 2017 were largely dedicated to making payments against debts for 2016 construction activities; very little construction occurred in 2017 (2018 JAR) Number of secondary schools grew from 487 to 707 between 2011 and 2016 (ePact)	Some progress
2. Develop curriculum for secondary	Curriculum developed, rolled out for grades 8 and 10 in 2014 (2015 JAR). Grade 9 and 11 curriculum rolled out in 2015 (2016 JAR) Grade 12 curriculum rolled out in 2016 (ePact)	Achieved
3. Implement two tier secondary level education	Two-tier system implemented beginning in 2014 (2016 JAR)	Achieved
4. Recruit and deploy teachers	1,620 secondary teachers recruited and deployed (2015 JAR) 2,074 teachers recruited and deployed (2016 JAR)	Partially achieved

	In 2017, 3,029 of a planned 6,000 teachers were recruited across primary and secondary (2018 JAR)	
5. Procure and distribute TLMs	1m grade 8 and 657k grade 10 pupil books purchased (2016 JAR) In 2016, MoGE procured equipment for 300 schools to support the implementation of the revised school curriculum. However, most public schools do not have the equipment required to teach science, and other vocational curriculum (design and technology, computer education, art and design, special education, etc.) (2018 ESA)	Partially achieved
6. Strengthen school management through training in Education Leadership and Management (ELM)	The purpose of the training was to strengthen school management skills among school administrators. By 2015, 2,983 head teachers, deputy heads, senior teachers, and heads of department were trained, fewer than half of the target of 8,000 (2018 ESA)	Partially accomplished
7. Strengthen school supervision and support services		Insufficient data
8. EMIS monitoring of teacher and pupil absenteeism through census tool revision	Teacher absenteeism was measured in the World Bank's 2015 Education Sector Public Expenditure Tracking and Service Delivery Survey, but it has not been incorporated into the annual school census (World Bank, 2015)	Not achieved
9. Sensitize communities on importance of girls' education	MoGE and World Bank launched the Keeping Girls in School Initiative, which provided grants to roughly 14,000 girls (2018 JAR) The fifty-fifty policy was implemented in 2011, which specifies that one girl must be enrolled for each boy enrolled (2018 ESA)	Achieved
10. Train teachers in guidance and counseling	Diploma Programme in Psychosocial, Care, Support and Protection Programme introduced at three colleges of education; handbook on guidance and counselling finalized (2015 JAR)	Some progress
11. Scale up incentive schemes targeting SMT teachers		Insufficient data
12. Implement the teacher retention scheme		Insufficient data
13. Mainstream cross cutting issues into the education system		Insufficient data
TEACHER EDUCATION, SUPPLY, AND MANAGEMENT		
1. Upgrade colleges of education offering ZATEC to diploma level courses; upgrade colleges of education to universities	Three teacher colleges were transformed into universities (2015 JAR)	Achieved
2. Upskill primary and secondary teachers to appropriate qualification levels	Fast Track program operational in 4 universities. Fewer teachers than planned (totaling 3,154) have passed through the program, given its high costs (2018 JAR)	Insufficient data – data outside Fast Track program unavailable

3. Implement Fast Track Training initiative for diploma holders	Fast Track program operational in 4 universities. Fewer teachers than planned (totaling 3,154) have passed through the program, given its high costs (2018 JAR)	Partially achieved
4. Increase output of pre-service teacher education		Insufficient data
5. Develop teacher training college curriculum framework; carry out curriculum review	The two-year teaching certificate has been upgraded to a three-year diploma (2018 ESA), curriculum updated in line with national curriculum	Achieved
6. Provide in-service teacher training at primary and secondary levels	ECE and primary teacher education curriculum revised (2015 JAR)	Achieved
7. Construct National Science Center (NSC) and Satellite Centers	MoGE commenced expansion of the NSC (2015 JAR) NSC produced 1,700 mobile science kits to 340 schools and 10 colleges of education. However, most public schools do not have the equipment required to teach science, and other vocational curriculum (design and technology, computer education, art and design, special education, etc.) (2018 ESA)	Partially achieved
8. Rehabilitate Science, Mathematics, and Technology Satellite Centers	NSC produced and distributed 900 mobile science labs to 180 primary and secondary schools (2018 JAR)	Partially achieved
9. Construct teacher education institutions		Insufficient data
10. Develop partnerships with stakeholders in teacher education service provision		Insufficient data
11. Increase Science, Mathematics, and Technology in-service training		Insufficient data
12. Implement SBPCD program at all levels	About 45% primary schools and 93% Secondary schools implemented Lesson Study country wide, surpassing target number of schools reached (2017 PAF framework)	Accomplished
13. Rehabilitate Provincial, District, and Zone Resource Centers; construct new zonal resource centers	Construction has stalled due to financial constraints, as the MoGE has prioritized construction of schools. Existing centers require restocking with updated equipment and materials (2018 ESA)	Not achieved
14. Procure library materials		Insufficient data
15. Upgrade under-qualified teachers	Fast Track program operational in 4 universities. Fewer teachers than planned (totaling 3,154) have passed through the program, given its high costs (2018 JAR)	Partially achieved
16. Operationalize the Teaching Council	Teaching Council established, with mandate to regulate the conduct of teachers and public and private education institutions (2015 JAR)	Accomplished
17. Monitor teacher attendance through inclusion in annual school census	Teacher absenteeism was measured in the World Bank's 2015 Education Sector Public Expenditure Tracking and Service	Not achieved

	Delivery Survey, but it has not been incorporated into the annual school census (World Bank, 2015)	
18. Provide bursaries to vulnerable learners	The number of bursaries distributed to secondary students roughly tripled between 2011 and 2015, from roughly 15k to 46k, with the majority going to girls. Much of this increase has been a result of bursaries shifting from primary to secondary students (2018 ESA). Little data is available about bursaries to vulnerable learners.	Achieved
19. Procure facilities and equipment for LSEN	LSEN equipment procured but not distributed (interview data)	Not achieved (limited data)
20. Review and revise guidelines and course materials for teacher education programs of LSEN students; conduct in-service training of teachers in cross-cutting issues	Diploma Programme in Psychosocial, Care, Support and Protection Programme introduced at three colleges of education; handbook on guidance and counselling finalized (2015 JAR)	Achieved
21. Establish a home ownership scheme		Insufficient data
22. Establish and renovate more public libraries; construct national libraries		Insufficient data
23. Develop National Library policy		Insufficient data
INSTITUTIONAL AND HUMAN RESOURCE FRAMEWORK		
1. Restructure education ministry	Structure of education transitioned from basic/high school to primary/secondary (2016 JAR)	Achieved
2. Undertake short- and long-term management training		Insufficient data
3. Conduct Education Leadership Management Training for school managers	The purpose of the training was to strengthen school management skills among school administrators. By 2015, 2,983 head teachers, deputy heads, senior teachers, and heads of department were trained, fewer than half of the target of 8,000 (2018 ESA)	Partially accomplished
4. Mobilize and align resources to the Aid Policy and Strategy for Zambia and JASZ		Insufficient data
5. Improve function of the Integrated Financial Management Information System (IFMIS)	By 2017, IFMIS was not being used, as pooled fund disbursements had ceased. Even prior to 2017, budget commitment and arrears data was recorded outside IFMIS, and data was questionably reliable (ePact 2018)	Not achieved
6. Review M&E system		Insufficient data
7. Conduct audit of stakeholders to facilitate setting up network of education service providers; enhance PPP in education service provision		Insufficient data
IMPLEMENTATION AND M&E FRAMEWORK		
1. Develop the PAF, aligning it to the NIF III and AWPB	PAF developed, updated annually	Achieved

2. Develop M&E reporting requirements aligned to SNDP	No significant improvements in M&E capacity over the ePact review period. EMIS data is not produced on time. A single tool for collecting school-level data was developed (which would improve data harmonization), but has not yet been rolled out. (ePact 2018)	Not achieved
3. Develop and disseminate the ESB each year	ESB is distributed annually, demonstrating improvements in EMIS (2018 ESA)	Achieved
4. Improve function of Financial Management Action (FMAP)	The FMAP is the primary mechanism for monitoring PFM reform. The share of FMAP actions completed grew from 50% in 2013 to 74% in 2016 (out of a target of 80%). ESBS's DFID advisor was instrumental in strengthening FMAP, and improvements continued after the conclusion of ESBS. (ePact 2018)	Partially achieved
5. Train officers in the Planning Directorate		Insufficient data
6. Mainstream M&E in all subsectors; link Ministry M&E system to MoFNP M&E system	MoF staff now have access to EMIS data (ePact 2018)	Achieved
7. Establish M&E technical committees	Data management committee relaunched at central, provincial, and local levels	Insufficient data

Appendix VIII Zambia sector financing data

ISSUE	DATA
Total domestic educ. expenditure	Increase from US\$ 566.6m in 2011 to US\$ 1,129m in 2015, then decrease to 1,007m in 2017 ⁴⁴⁴
Education share of total government Expenditures	Increase from 15.3 percent in 2011 to 20.1 percent in 2014, then decrease to 16.5 percent in 2017. ⁴⁴⁵
% of domestic education financing allocated to basic education	Share of primary education in MoGE budget increased from 54.4 percent in 2013 to 67.3 percent in 2017 ⁴⁴⁶
Funding by expenditure type (recurrent)	Personnel expenditure increased from 68.6 percent in 2012 to 82.2 percent in 2016, while non-personnel recurrent expenditure fell from 16.8 percent to 4.4 percent. ⁴⁴⁷
Total ODA (all sectors)	Increased from US\$ 644.5m in 2011 to US\$ 729.2m in 2017 ⁴⁴⁸
Education ODA as share of overall ODA	Decrease from 5.9 percent in 2011 to 3.3 percent in 2017 ⁴⁴⁹
ESPIG amount as % of education ODA during review period	ESPIG funding represented 6.5 percent of all education ODA from 2011-2017. ⁴⁵⁰

⁴⁴⁴ Sources include 2018 ESA and the WB Public Expenditure Review (December 2015). Data was originally available in nominal Kwacha and was deflated using Zambia's annual average CPI ([IMF World Economic Outlook Database](#)) and converted to U.S. dollars using the December 2016 exchange rate ([U.S. Treasury](#)).

⁴⁴⁵ 2011-2015 data is from the World Bank [Public Expenditure Review](#) (December 2015) and ESA, 2018. There is some discrepancy between sources beginning in 2015. The figure calculated using ePact data for 2016 is somewhat lower, at 15.5 percent. The 2017 figure is the author's calculation using data from the 2018 ESA on targets for the education budget and total public expenditure.

⁴⁴⁶ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming)

⁴⁴⁷ e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming)

⁴⁴⁸ Source: OECD CRS.

⁴⁴⁹ Source: OECD CRS. Figures adjusted to include GPE ESPIG contributions.

⁴⁵⁰ Source: OECD CRS.

ISSUE	DATA
ESPIG amount as % of total <u>estimated</u> ESP financing	ESPIG funding represented 0.8 percent of the total estimated cost of implementing NIF III between 2013 and 2015, 19 percent of projected external financing.
ESPIG amount at % of <u>actual</u> ESP financing	ESPIG funding represented 0.65 percent of MoGE expenditure between 2014 and 2016 ⁴⁵¹

⁴⁵¹ These figures represent authors' calculations based on annual budget and ESBS disbursement figures. Because annual GPE disbursements are reported by DFID fiscal year (running April to March) and MoGE figures are reported by calendar year, GPE disbursements as a share of MoGE budget cannot be accurately determined by year. Disbursements are therefore reported as a share for the entire relevant period. Data from e-Pact, "Evaluation of the Education Sector Budget Support in Zambia. Deliverable: Final Endline Report," August 2018 (forthcoming), p. 34.

Appendix IX Selected system-level country data

Changes suited to remove barriers to equitable access to education

ISSUE	OBSERVATIONS
Changes in # of schools relative to # of children	<p>Between 2011 and 2017, the number of primary schools increased from 8,382 to 8,843, an increase of 5.5 percent. Over the same period, the number of secondary schools increased from 631 to 1,009, an increase of 59.9 percent.</p> <p><i>2017 Education Statistical Bulletin</i></p> <p>The number of students enrolled in primary education grew from 3.07 million to 3.2 million between 2012 and 2017. The number of children enrolled in lower secondary education increased from 456k in 2012 to 511k in 2017. The number of youth enrolled in upper secondary increased from 287k in 2012 to 339k in 2017.</p> <p><i>UIS and 2017 Education Statistical Bulletin</i></p> <p>The growth in the number of primary schools, at 5.5 percent, was greater than the growth in primary students (4.2 percent). The growth in number of secondary schools (59.9 percent) was much faster than the growth in the total number of secondary students (14.4 percent)</p>
Changes in average distance to school	N/A
Changes in costs of education to families	<p>The 2011 Education Act made primary education compulsory and removed the fee associated with the grade 7 national examination. In 2015, 55 percent of primary schools charged fees, and 34 percent of parents reported paying school fees. Secondary school still requires the payment of school fees and other supplemental costs.</p> <p><i>2018 ESA</i></p> <p>The number of bursaries targeting students (particularly orphans and vulnerable children, or OVC) in secondary education increased by nearly three times, growing from 15,190 in 2011 to 48,220 in 2017, with 55 percent going to girls. The number of primary school bursaries fell from 81,175 in 2011 to 34,438 in 2017.</p> <p><i>2017 Education Statistical Bulletin</i></p>
Changes in availability of programs to improve children's readiness for school	<p>The number of government ECE centers also increased from "almost none" in 2011 to 1,849 centers in 2016, 1,526 of which were built in 2014. The number of ECE classrooms is still insufficient to meet the country's needs, and ECE centers are generally unavailable in rural areas. Notwithstanding, the share of children entering primary with experience in ECE grew from 15.1 percent in 2011 to 29.8 percent in 2016.</p> <p><i>2018 ESA</i></p>

ISSUE	OBSERVATIONS
New/expanded measures put in place to meet the educational needs of children with special needs and learners from disadvantaged groups	The number of bursaries targeting students (particularly orphans and vulnerable children) in secondary education grew from 15,190 in 2011 to 48,220 in 2017, with 55 percent going to girls. <i>2017 Education Statistical Bulletin</i> The theme of the 2017 JAR was “Provision of Quality Education for Early Learners and Learners with Special Education Needs.” <i>DFID. ESPIG Annual Implementation Status Report – July 2016-June 2017</i>
New/expanded measures put in place to further gender equality in education	The Fifty-Fifty policy, which went into effect in 2011, mandates that one girl be enrolled for every boy enrolled in primary and secondary education. Beginning in 2017, the World Bank-funded Keeping Girls in School (KGS) project began paying the school fees of girls from low-income households, and will support roughly 14,000 secondary-school students by 2020. <i>2018 ESA</i>

Changes suited to remove barriers to quality education

ISSUE	OBSERVATIONS
Changes in Pupil/teacher ratios	The pupil-teacher ratio at primary level fell from 52.2 in 2011 to 42.1 in 2017, nearly reaching the national standard of 40:1. The secondary PTR grew over that period increasing from 25.3 in 2011 to 35.2 in 2016. <i>ePact 2018</i>
Changes in pupil/trained teacher ratio	Between 2012 and 2017, the pupil/trained teacher ratio declined from 53.1 to 42.6 (UIS)
Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school)	There are large regional disparities in PTR, which ranges from 32.6 in Copperbelt province to 55.2 in Eastern province at the primary level. <i>2018 ESA</i>
Changes in relevance and clarity of (basic education) curricula	New national curriculum introduced, which incorporates instruction in local Zambian languages into instruction in ECE and grades 1 through 4. A vocational track was introduced to secondary, beginning at the junior secondary level.
Changes in availability and quality of teaching and learning materials	There is a significant shortage of textbooks in all subjects across primary and secondary grades. In 2016 the pupil-textbook ratio for English and Math was 1:4. For secondary grades, it was 2:7 for English textbooks and 1:6 for math. These figures are slightly worse for primary (1:5 for math, 0.9:5 for English), and slightly better for secondary (1.0 for math, 1.7 for English), than in 2013. <i>World Bank, Zambia Education PER and PETS-QSDS at a Glance. December 2015</i>

ISSUE	OBSERVATIONS
Changes to pre-service teacher training	<p>The two-year certificate teacher education program has been upgraded to a three-year diploma. Three teachers' colleges have been upgraded to universities. The MoGE does not collect comprehensive data on the number of students enrolled in teacher education degree or certificate programs.</p> <p>Across the teacher workforce, 37 percent have a teacher certificate, 39 percent have a diploma, and 11 percent have a bachelors or masters degree. Roughly 3 percent of teachers are untrained.⁴⁵²</p> <p>2018 ESA</p>
Changes to in-service teacher training	<p>The MoGE offers Continuous Professional Development (CPD) to teachers through a variety of modalities, including distance learning, in-school training, and training at district resource centers, provincial training centers, or headquarter training centers. The PETS/QSDS report indicated that 27 percent of teachers in grades 5 and 9 had received some sort of CPD in the last year. It is unclear what share of teachers received training updating them on the new curriculum.</p> <p>2018 ESA</p>
Changes in incentives for schools/teachers	<p>The MoGE has begun offering incentives to teachers posted in rural schools.</p> <p>2018 ESA</p>
Other (may vary by country)	

Progress in strengthening sector management

ISSUE	OBSERVATIONS
Changes in the institutional capacity of key ministries and/or other relevant government agencies (e.g. staffing, structure, organizational culture, funding)	<p>In 2015, the MESTVEE was divided into the MoGE and MoHE, restoring it to the same structure that existed prior to 2011.</p> <p>In 2011, the responsibility for ECE provision and regulation was moved from the Ministry of Local Government and Housing to the MoGE. In 2015, a directorate for ECE was created within the MoGE, elevating it to the same administrative level as other education subsectors.</p> <p>2018 ESA</p>
Is a quality learning assessment system (LAS) within basic education cycle in place?	<p>Yes. Zambia's National Assessment System continued conducting regular standardized assessments of Grade 5 students, with evaluations in 2013 and 2016. An assessment of grade 9 students was also introduced in 2013, and another round was conducted in 2016. The Grade 7 Composite Examination, which covers six academic subject areas, is offered annually and is required for advancement to secondary school. In 2016, the test was offered for the first time to a cohort who had received instruction under the new curriculum. In 2014, early grade reading and math assessments (EGRA and EGMA) were conducted among grade 2 students. Another round of EGRA and EGMA was planned for grade 2 students in 2016, but was not carried out.</p> <p>2018 ESA</p>

⁴⁵² 2018 ESA, p. 86-87

ISSUE	OBSERVATIONS
Changes in how country <u>uses</u> LAS.	N/A
Does country have functioning EMIS?	<p>The MoGE has implemented a number of initiatives to strengthen the sector's capacity for monitoring and evaluation. These include the harmonization of data collection tools, the launch of an M&E capacity building program in partnership with the University of Zambia, and the government-wide National M&E Policy, which targets the improvement of reporting against national development objectives. In spite of these programs, there has been little improvement in M&E capacity or in EMIS quality. A lack of coordination persists between various data systems within the MoGE, data reliability remains a challenge, and official data is frequently released only after a significant delay, affecting its utility for planning and policy purposes. The MoGE does not collect data from ECE centers.</p> <p><i>2018 ESA; 2017-2021 ESSP; ePact 2018</i></p>
Changes in how country <u>uses</u> EMIS data to inform policy dialogue, decision making and sector monitoring	<p>Between 2013-2016 the quality of the performance assessment framework (PAF) indicators had improved, and the reduction in the number of PAF indicators had contributed to their effectiveness. However, the PAF was not scored at the JARs between 2017 and 2019.</p>

Appendix X Selected impact-level country data

Impact level trends

ISSUE	OBSERVED (UP TO AND INCLUDING DURING REVIEW PERIOD)	TRENDS																				
Learning outcomes																						
Changes/trends in learning outcomes (basic education) during period under review (<u>by gender, by socio-economic group, by rural/urban locations</u>)	<p>Grade 5 Learning Achievement Levels</p> <table border="1" data-bbox="610 575 1122 825"> <thead> <tr> <th>Year</th> <th>2012</th> <th>2014</th> <th>2016</th> </tr> </thead> <tbody> <tr> <td>English</td> <td>34.1</td> <td>32.1</td> <td>34.9</td> </tr> <tr> <td>Mathematics</td> <td>38.3</td> <td>35.5</td> <td>37</td> </tr> <tr> <td>Life Skills</td> <td>37.3</td> <td>35.3</td> <td>38.7</td> </tr> <tr> <td>Zambian Language</td> <td>36.8</td> <td>35.2</td> <td>39.7</td> </tr> </tbody> </table> <p>Observed trends in learning achievement levels in Grade 5 indicate that learning levels have remained low. There has been a slight improvement in Zambian language learning achievement and Life Skills. There has been a marginal gain in English but a slight decrease in Mathematics.</p> <p>EGRA results showed that grade 2 pupils, on average were struggling to read fluently. Average oral reading fluency rate for local languages rated from 1.84 to 8.40 words per minute. Lower levels of achievement are 2 to 10 words a minute.</p>		Year	2012	2014	2016	English	34.1	32.1	34.9	Mathematics	38.3	35.5	37	Life Skills	37.3	35.3	38.7	Zambian Language	36.8	35.2	39.7
Year	2012	2014	2016																			
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ISSUE	OBSERVED (UP TO AND INCLUDING DURING REVIEW PERIOD)	TRENDS																																																											
Equity, gender equality and inclusion																																																													
Changes in (i) gross and (ii) net enrollment rates (basic education including pre-primary) during review period (by gender, by socio-economic group, by rural/urban	GER (Education Statistical Bulletin, 2017)																																																												
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		2011	2012	2013	2014	2015	2016	2017																																																					
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ISSUE	OBSERVED (UP TO AND INCLUDING DURING REVIEW PERIOD)								TRENDS	
			2011	2012	2013	2014	2015	2016	2017	
Changes in (i) primary completion rate and (ii) lower secondary completion rate (by gender)	Grade 7	Male	NA	NA	NA	88.9	88	91.35	93.4	
		Female	NA	NA	NA	83.6	83.83	93.39	90.3	
		Total	NA	NA	NA	86.2	85.81	92.37	91.8	
	Grade 9	Male	51.9	67.8	68.9	60.5	59.6	69.4	73.6	
		Female	54.2	55.9	59.6	55.4	55.2	68.3	69.7	
		Total	53.1	61.9	64.2	57.9	57.3	68.8	71.7	
	Grade 12	Male	35.7	30.4	34.7	34.8	34.3	64.2	34.2	
		Female	27.8	23.3	27.4	28.6	27.4	41.4	29.8	
		Total	31.7	26.8	31.1	31.7	30.8	52.7	31.8	
	<p>Grade 7 completion rates have increased from 86.2 in 2014 to 91.8 in 2017. The positive trend is seen for both girls and boys.</p> <p>Grade 9 completion rates have also increased from 53.1 in 2011 to 71.7 in 2017. Completion rates for boys have surpassed those of girls. In 2017, 73.6% of boys completed grade 9 as compared to 69.7% of girls. In 2014, there more girls (54.2%) completed grade 9 than boys (51.9%).</p> <p>Completion rate 7, 2011= 91%, 2016= 92.40%</p> <p>Completion rate 9, 2011=54%, 2016=68.80%</p> <p>Completion rate 12, 2011=25%, 2016= 52.70%</p>									

ISSUE	OBSERVED (UP TO AND INCLUDING DURING REVIEW PERIOD)	TRENDS																				
<p>Changes in out of school rates for (i) primary and (ii) lower secondary</p>	<p>The number of out of school children aged 7-13 has fluctuated over the 2011-2017 period. Between 2011 and 2012, the number of OOSC increased from 343,609 to 411,506. It dropped to 197,757 in 2014 only for it to increase again to 249,416 in 2015. In 2017, there were 233,436 OOSC, a decrease from 2014.</p> <p>Although difficult to give an exact number, population figures from the census report and the Grade 1 enrolment figures indicate that about half of the children in the 7 year age group (230,000 children) are currently not in school (ESSP).</p> <p>Based on DHS 2013/2014 data, the current number of OOSC between 7 and 18 years old is estimated at 575,500.</p> <p>2013</p> <table border="1" data-bbox="610 827 1409 1024"> <thead> <tr> <th></th> <th>7-13</th> <th>14-15</th> <th>16-18</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>Female</td> <td>214,608</td> <td>55,883</td> <td>219,067</td> <td>270,491</td> </tr> <tr> <td>Male</td> <td>255,591</td> <td>49,462</td> <td>133,616</td> <td>305,053</td> </tr> <tr> <td>Total</td> <td>470,198</td> <td>105,345</td> <td>352,683</td> <td>575,543</td> </tr> </tbody> </table>		7-13	14-15	16-18	Total	Female	214,608	55,883	219,067	270,491	Male	255,591	49,462	133,616	305,053	Total	470,198	105,345	352,683	575,543	
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<p>Changes in the distribution of out of school children (girls/boys; children with/without disability; ethnic, geographic, urban/rural and/or economic backgrounds depending on data availability)</p>	<p>Girls are now less likely to be out of school than boys. In 2011, there were 209,981 OOSC girls compared to 133,628 boys. The situation has since reversed. In 2017, 129,029 boys were out of school compared to 104,407 girls. (Education Statistical Bulletin, 2017).</p> <p>DHS 2013/2014 data show that children of primary age from the poorest households in rural areas are more likely to be out of school. Around 70.2 percent of girls and 68.9 percent of boys from the lowest household income quintile attended primary school during the year of the survey. In the richest quintile, the survey found 85.4 percent of girls and 86.7 percent of boys attending primary school.</p> <p>The likelihood that secondary school aged girls are out of school is significantly higher than for boys of the same age, and this difference increases when they get older. The DHS shows that the percentage of 14 to 18-year-old children in secondary school is 40.3 percent (ESA).</p>																					
<p>Changes in transition rates from primary to lower secondary education (by gender, by socio-economic group)</p>	<p>2012: Male= 63.1%, Female = 65.5%, Total = 64.2% 2016: Male =65.3%, Female = 67.1%, Total = 66.2% (ESA)</p>																					

ISSUE	OBSERVED (UP TO AND INCLUDING DURING REVIEW PERIOD)	TRENDS
Changes in dropout and/or repetition rates (depending on data availability) for (i) primary, (ii) lower-secondary education	<p>Repetition Primary</p> <p>2011: Male =6.3%, Female = 5.8 %, Total = 6.1%</p> <p>2017: Male = 6.8%, Female = 6.2%, Total = 6.5%</p> <p>2016: Northern = 9.9%, Lusaka = 3.7%</p> <p>Dropout Primary</p> <p>2011: Male = 1.7%, Female = 2.6%, Total = 2.2%</p> <p>2017: Male = 1.3%, Female = 1.7%, Total = 1.5%</p> <p>2016: Luapula = 2.9%, Lusaka = 0.9%</p>	