

**Independent Interim Evaluation of the
Global Partnership for Education**

**Volume IV - Synthesis Reports on Lines of
Inquiry for the Interim Evaluation**



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Universalialia
245 Victoria Avenue, Suite 200
Westmount-Montreal, Quebec
Canada H3Z 2M6
www.universalialia.com

Results for Development
1100 15th Street, NW
Suite 400
Washington, DC 20005
<http://r4d.org/>

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Appendix 1. Review of Comparator Organizations

Executive Summary

The objective of the comparative analysis was to explore the governance and operational modalities of six multi-stakeholder initiatives. The intention was to understand how comparator organizations have been designed and structured to permit effective functioning, and so in turn draw broad lessons that may be relevant for the GPE.

Six comparator organizations were selected for review – namely the Climate Investment Funds (CIF), Consulting Group to Assist the Poor (CGAP), Global Alliance for Vaccines and Immunization (Gavi), Global Environmental Facility (GEF), Global Fund for AIDS, TB and Malaria (Global Fund), and the International Health Partnership (IHP+). A mix of primary and secondary research methods – including in-depth document review and semi-structured interviews – were used to collect data.

The comparator analysis shed light on five key issues as described below and also seen in Table 1.

- 1) First, the review explored the components of organizational visions and mandates, specifically studying how explicitly organizational visions and partnerships are defined. Key findings that emerge are that all comparators have some form of defined mission statement or an outline of operating principles or approaches. Three reviewed comparators – Gavi, the Global Fund, and CGAP – have objectives that focus on relatively narrowly defined sub-sector issues while the remaining three focus on the broader sector. Interestingly, all comparators explicitly refer to the phrase ‘partnership’: five comparators define themselves as a partnership, while one emphasizes it as a key principle. In all organizations, this notion of partnership is demonstrated through a mix of stakeholders being included in the decision making processes and governing structures.
- 2) The composition, roles, responsibilities of Boards and Secretariats were studied from a governance perspective. The review revealed that all reviewed comparators seek to have a governance structure and Board membership that reflects inclusiveness, with a mix of skills and experiences represented. Although at least two comparators do not have a formal Board committee structure, such mechanisms can enhance the efficiency and quality of Board decision making. All organizations had created a Secretariat-like body to drive forward Board decisions and resulting workplans.
- 3) While country level processes differed by organization, all organizations work through existing country level structures. With the exception of CGAP, comparator organizations have no presence at the country level and work through country stakeholders for implementing and monitoring activities.
- 4) All comparator organizations have their own formal process for evaluating activities to measure for effectiveness and impact, and many acknowledge the challenges surrounding attrition. Reports tend to be published annually (at minimum) by all organizations to measure at progress against its goals.
- 5) Lastly, the four comparators housed at the World Bank (CGAP, CIF, GEF, and IHP+) take advantage of its administrative structures, benefitting in particular from its procurement and contracting processes and due diligence. However, operational challenges have also sometimes been experienced.

Following a brief methodology (Section 1), the report elaborates on each of these findings in turn (Section 2).

Table 1: Summary of findings

Issues	Key findings
<p><u>What are key features and components of organizational visions and missions?</u></p>	<p>Finding (i): All comparators have some form of defined mission statement or an outline of operating principles or approaches. Vision statements (where explicit) tend to be more aspirational, and no organization appears to have an explicitly defined mandate. Three reviewed comparators – Gavi, the Global Fund, and CGAP – have objectives that focus on relatively narrowly defined sub-sector issues while the remaining three focus on the broader sector. Organizational strategies are reviewed and revised on a regular basis: two comparators have specific targets – both related to the number of lives saved – while one designed a workplan to accompany the strategy.</p> <p>Finding (ii): Five comparators define themselves as a partnership composed of a mix of stakeholders, including governments, the private sector, donors, and the civil society. Although it doesn't define itself as such, the remaining comparator (CIF) emphasizes partnerships as one of its key principles.</p>
<p><u>What is the composition, roles and responsibilities of Boards and Secretariats?</u></p>	<p>Finding (i): All reviewed comparators seek to have a governance structure and Board membership that reflects inclusiveness, with a mix of skills and experiences represented. Constituency-based boards are used in some way by 4 out of 6 comparators (IHP+, Global Fund, Gavi, and GEF); however, challenges have sometimes been seen in ensuring high-quality participation from all members.</p> <p>Finding (ii): Board Committees can enhance the efficiency and quality of Board decision making, although at least two comparators do not appear to use a formal committee structure.</p> <p>Finding (iii): The presence of a formal Secretariat varies by organization, but in all cases a body has been established to drive forward Board decisions and the resulting workplan. Secretariat budgets tend to vary from between 20 – 40% of the overall budget. Four Secretariats are located in Washington DC, one in Geneva, and one has locations in both Washington and Geneva.</p>
<p><u>What are country level activities and processes?</u></p>	<p>Finding (i): The six comparator organizations have varying degrees of country level activities and processes. With the exception of CGAP, comparator organizations have no presence at the country level and work through country stakeholders for implementing and monitoring activities.</p>
<p><u>How are results defined and measured?</u></p>	<p>Finding (i): Indicators with specific targets are used to measure progress against the overall mission, although organizations acknowledge the challenges of attribution. In one comparator – IHP+ – monitoring is done on a voluntary basis. Public reports to assess progress tend to be published annually or bi-annually.</p>
<p><u>What are the dynamics of being housed within the World Bank?</u></p>	<p>Finding (i): The four comparators housed at the World Bank (CGAP, CIF, GEF, and IHP+) take advantage of its administrative structures, and have experienced similar benefits and challenges.</p>

Section 1: Methodology

The goal of the comparative analysis was to compare the operational and governance modalities of a selection of multi-stakeholder initiatives. From an initial list of nine organizations, six were selected for an in-depth study: Climate Investment Funds (CIF), Consulting Group to Assist the Poor (CGAP), Global Alliance for Vaccines and Immunization (Gavi), Global Environmental Facility (GEF), Global Fund for AIDS, TB and Malaria, and the International Health Partnership (IHP+). These organizations were chosen due to their specific focus on financing and/or fostering partnerships that align stakeholders to accelerate improvements in a certain sector.

In order to garner information on each organization, we used a combination of literature review and phone interviews with key informants. The consulted stakeholders included senior level decision makers, experts in the field, as well as those who have previously worked at one of the six comparator organizations. We reached out to 19 informants and ultimately conducted a total of 13 interviews. All interviews were based on an interview protocol that was developed to ensure consistency and standardization (Annex I). This protocol served as a guide so that all relevant topic areas were covered in a systematic manner. The broad areas covered in the interviews included governance (board and committee structures and decision making), operational issues (legal status, country specific activities and partnerships, relationships with the World Bank) and monitoring and learning (measuring impact, evaluation and assessment practices).

Lastly, though there are broad and relevant lessons to be taken from these various multi-stakeholder initiatives, it should not be assumed that these lessons are directly transferrable without consideration of the context and characteristics that make each initiative unique.

Section 2: Findings

The section that follows discusses five key themes that emerged from our study of the six comparator organizations. We elaborate on crucial findings or lessons related to each theme, using illustrations and examples from the comparator organizations as relevant.

1. ***What are key features and components of organizational visions and missions?***

Table 2 below provides a broad overview of the six organizations selected for study. A mix of organizations with a focus on different sectors and sub-sectors were purposely selected, with two comparators explicitly focused on networking stakeholders. Findings related to their organizational visions and missions are described below.

Table 2: Summary of comparator organizations

	Description	Is there a funding mechanism?
Climate Investment Funds (CIF)	Provides 48 developing and middle income countries with resources to mitigate and manage climate challenges and reduce their greenhouse gas emissions.	Yes
Consulting Group to Assist the Poor (CGAP)	Global partnership of 34 leading organizations that seeks to advance financial inclusion. CGAP develops innovative solutions through practical research and active engagement with financial service providers, policy makers, and funder to enable approaches at scale.	No: focus is on networking stakeholders
Gavi, the Vaccine Alliance	Improve access to new and underused vaccines for children living in the world's poorest countries.	Yes

	Description	Is there a funding mechanism?
Global Environmental Facility (GEF)	Partnership for international cooperation where 183 countries work together with the international institutions, civil society organizations, and the private sector, to address global environmental issues	Yes
Global Fund for AIDS, TB and Malaria	Partnership that mobilizes and invests nearly \$US4 billion a year to support programs run by local experts in more than 140 countries.	Yes
International Health Partnership (IHP+)	IHP+ is a group of partners committed to improving the health of citizens in developing countries.	No: focus is on networking stakeholders

Finding (i): All comparators have some form of defined mission statement or an outline of operating principles or approaches. Vision statements (where explicit) tend to be more grandiose, and no organization appears to have an explicitly defined mandate. Three reviewed comparators – Gavi, the Global Fund, and CGAP – have objectives that focus on relatively narrowly defined sub-sector issues while the remaining three focus on the broader sector. Organizational strategies are reviewed and revised on a regular basis: two comparators have specific targets – both related to the number of lives saved – while one designs a workplan to accompany the strategy.

The review indicates that all six organizations have a clearly spelled out purpose – however, these are variously defined as missions, visions, goals, or approaches, with many having a combination of these guiding statements. Vision statements tend to be broad and aspirational, whereas missions, principles, or approach statements are more specific, often indicating *how* the work will be conducted.

For example, CGAP’s vision is broadly: “... a world where everyone can access and effectively use the financial services they need to improve their lives,” while its mission is to specifically “Improve the lives of poor people by spurring innovations and advancing knowledge and solutions that promote responsible and inclusive financial markets.” Meanwhile, Gavi’s explicit mission is to “bring together public and private sectors with the shared goal of creating equal access to vaccines for children, wherever they live,” with four strategic goals accompanying its five year strategy. Three organizations –GEF, CIF and the Global Fund – have clearly defined “principles of operation” while IHP+ achieves its results through five main “approaches”.

Interestingly, three out of the six reviewed comparators focus on narrowly defined sub-sector issues: Gavi’s mission is to increase access to immunization; Global Fund’s vision is a world free from the burden of three specific diseases, namely AIDS, tuberculosis and malaria; and CGAP’s core focus is on advancing financial inclusion. In contrast, GEF seeks to broadly address “global environmental issues”, IHP+ is committed to the health of citizens in developing countries, and CIF is focused on climate change and greenhouse gas emissions.

Organizational strategies are reviewed and revised on a regular basis, setting out specific goals and principles for the upcoming period. For example, CGAP’s five year strategy was released in 2013 after a 15-month-long consultation process with 300+ stakeholders, Gavi’s five year strategy was approved in 2010, and the Global Fund’s four year strategy was approved in 2011. In the case of IHP+, the 2014/2015 strategy document was accompanied by a “work programme,” which sets out planned actions with milestones and timelines, detail operational issues, and indicative budgets for the upcoming period.

Additionally, two organizations have specific, quantifiable targets outlined in their latest strategic plans, both related to the number of lives saved, which accompany broader sector-level improvements. Specifically, the Global Fund’s strategy commits it to saving 10 million lives saved over 2012-2016, and 140-180 million new infections prevented while Gavi’s last strategy objective was to immunize about 250 million children by 2015 and prevent nearly four million future deaths. In contrast, other comparators – such as CGAP and IHP+ – have strategic outcomes focused primarily on improvements in the broader system or behavioral patterns.

Finding (ii): Five comparators define themselves as a partnership composed of a mix of stakeholders, including governments, the private sector, donors, and the civil society. Although it doesn’t define itself as such, the remaining comparator (CIF) emphasizes partnerships as one of its key principles.

Five organizations explicitly define themselves as a partnership in their mission and description statements, with all including a mix of stakeholders in their governing bodies. Importantly however, even without an explicit definition of itself as a partnership, CIF sees partnerships as one of its key founding principles, and also has an inclusive governing body. All highlight the importance of a partnership model to facilitate their work, and see this mechanism as a key strength. In all organizations, the notion of partnership is demonstrated through a mix of stakeholders being included in the decision making processes, as discussed in Finding II.

CGAP is defined as a “global partnership of 34 leading organizations that seek to advance financial inclusion.” Its engagement model is very much based on a partnership structure, with the latest five year strategy noting that CGAP members and staff that “collectively set CGAP’s overall agenda are at the core of this shared aspiration.” CGAP uses the Independent Evaluation Group’s

An expert consulted noted that some initiatives “try to be everything at the same time.” There is need for a clear distribution of roles among partners and for entities to prioritize areas where they have a comparative advantage. For instance, at the Global Fund, there has been a clear distribution of roles regarding advocacy and technical assistance (led by Roll Back Malaria, UNAIDS, and Stop TB Partnership) and financing (led by the Global Fund).

definition of partnership, namely that they comprise a group of partners who are, “involved in the governance or financing of the program (including the members of the governing, executive, and advisory bodies).”^{1 2} CGAP also specifies that the nature of the partnership shifts based on the work requirements and the corresponding engagement model. More foundational work involves development think tanks and applied researchers; experiments around product and business model innovation involve financial services providers; and developing and documenting policy involves partnerships with policy bodies at the global and national levels.

The Global Fund defines itself as “a partnership between governments, civil society, the private sector and people affected by the disease,” with all occupying a seat on the Board. In a similar manner to CIF, partnership is one of its three key principles, reiterating its commitment to the model defining the importance of a partnership for the success of its mission. Likewise, Gavi’s partnership model is one of its core components, and is designed to maximize and leverage partners’ expertise.

¹ Source: IEG Sourcebook for Evaluating Global and Regional Partnership Programs. Accessed from: <https://openknowledge.worldbank.org/bitstream/handle/10986/6601/483940PUB01EG010Box338903B01PUBLIC1.pdf?sequence=1>

² Source: CGAP Phase IV Mid-Term Evaluation, Revised Report. Accessed from: <http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/CGAP.pdf>

IHP+ also sees itself as a “group of partners,” which includes developing countries, donor countries, and international agencies. Given its core objective to mobilize support to improve health strategies in developing countries – it is explicitly not a funding organization – the concept of a partnership is core to the organization’s functioning. All signatories to the IHP+ Global Compact are part of its management structure, and independent reviews have emphasized that its performance is tied to the performance of its partners.³ Likewise, GEF defines itself as a “partnership for international cooperation,” with all its constituencies represented on its Council.

2. What is the composition, roles and responsibilities of Boards and Secretariats?

Table 3 below provides a summary of the governance structures present in the six comparators.

Our review reveals that the six comparators have between 11-32 voting members that make up the core governing council or Board. Board memberships seek to reflect inclusiveness, with a mix of skills and experiences represented. Constituency-based boards are used by four out of six comparators (IHP+, Global Fund, Gavi, and GEF), with their mechanics described later in this section. Interestingly, the use of committee structures seems to be mixed. Two of the six comparators, namely Gavi and the Global Fund, make use of a formal Board committee structure; CIF and IHP+ make use of sub-committees and working groups; while CGAP and GEF do not appear to have a formal committee mechanism in place. All organizations have some form of Secretariat, with four Secretariats based in Washington, DC (all housed at the World Bank), one in Geneva, Switzerland, and Gavi’s Secretariat spread across both Geneva and Washington, DC. Secretariat budgets tend to vary from between 20- 40% of the overall budget, depending on the scope and mandate of the organization (for instance, IHP+, a voluntary entity, allocates about 20% of its total budget for the core team, while Gavi’s budget is closer to 40%). For the most part, governance structures at all organizations appear to function at the global level, although a few organizations (for example, IHP+), have also designed their structures to function at the country level.

Following Table 3, three key findings are discussed in more detail.

Table 3: Summary of governance structures

	Number of voting Board members	Type and number of Board Committees	Secretariat location	Secretariat budget
Climate Investment Funds (CIF)	16 member <i>Trust Fund Committee</i> for CIF’s two Trust Funds	The Strategic Climate Fund (SCF) has three sub-committees to govern each of its three programs.	Washington, DC (housed at the World Bank)	Allocation of \$7.4million in 2014, which amounts to ~ 42% of the total budget for administrative services
Consulting Group to Assist the Poor (CGAP)	11 member <i>Executive Committee</i> , which includes one seat for the World Bank and one seat for CGAP’s CEO	N/A	Washington, DC (housed at the World Bank)	Core staff salaries and benefits are expected to total \$32million over the 2014-2018 period, or about 27% of the total budget.
Gavi, the Vaccine	28 <i>Gavi Board</i> members	Five standing Board committees and one	Geneva, Switzerland	Secretariat budget was \$88million in 2014, or

³ Source: IHP+ FAQs. Accessed from: <http://www.internationalhealthpartnership.net/en/faqs/>

	Number of voting Board members	Type and number of Board Committees	Secretariat location	Secretariat budget
Alliance		Advisory committee; Executive Committee; Programme and Policy Committee; Governance Committee; Investment Committee; Audit and Finance Committee.	and Washington, DC.	~40% of the total budget.
Global Environmental Facility (GEF)	32 member <i>GEF Council</i>	N/A	Washington, DC (housed at the World Bank)	N/A
Global Fund for AIDS, TB and Malaria	20 <i>Global Fund Board</i> members	Three committees: Strategy, Investment and Impact Committee; Finance and Operational Performance Committee; Audit and Ethics Committee	Geneva, Switzerland	Included in the Global Fund operating expenses budget, which was US\$298.8 million in 2014 with staff costs ~42% of the annual operating expenses.
International Health Partnership (IHP+)	16 member <i>IHP+ Steering Committee</i>	Time-bound Working Groups (WGs)	Washington, DC (housed at the World Bank)	Core team operations and communications had budget of \$2.2million over the two year period from Jan 2012-Dec 2013, accounting for roughly 23% of the total budget

Finding (i): All reviewed comparators seek to have a governance structure and Board membership that reflects inclusiveness, with a mix of skills and experiences represented. Constituency-based boards are used in some way by 4 out of 6 comparators (IHP+, Global Fund, Gavi, and GEF); however, challenges have sometimes been seen in ensuring high-quality participation from all members.

All comparators have designed their governance structures and decision making processes to be inclusive. Two comparators in particular prioritize giving both donors and implementers an equal voice, specifically CIF and the Global Fund. CIF's two Trust Funds, the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF), are each governed by a Trust Fund Committee, where the decision making scope extends to broader "CIF-wide strategic matters."⁴ There is an equal composition of contributor countries and recipient countries on the Committee; each has eight members, selected via consultation from each stakeholder group. Two co-chairs are elected to serve an 18 month term, one representing a recipient country and the other a contributor country.⁵

⁴ Source: Independent Evaluation of the Climate Investment Funds: Final Interim Report. Accessed from: http://www.cifevaluation.org/cif_interim_report.pdf

⁵ Source: An Overview of the CIF: Governance and Programming Information. Accessed from: http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/CIF_Orientation_Booklet_Web_Final_0.pdf

Interestingly, there is no voting, and decisions are reached by consensus. A broad array of four UN agencies, the GEF, four CSOs, two private sector organizations, and two indigenous stakeholders also actively participate as observers, providing input to the Committees and Sub-Committees⁶. Observers provide practical knowledge of environmental sensitivities of areas where they live.

Likewise, the voting members of the Global Fund's Board consist of an equal number of donors and implementers, with ten members in each bloc. The donors' bloc consists of members representing donor countries (eight seats), private foundations (one seat) and the private sector (one seat), while the implementers' bloc represents implementing countries (seven seats to regional clusters of countries), non-governmental organizations (two seats, with one each for developed and developing country NGOs) and affected communities (one seat for a representative of communities living with the disease). All interviewees familiar with the Global Fund Board noted that having this 'affected community' representation has led to more tangible and "passionate" dialogue, and overall, governance is seen as "exceptionally inclusive and representative."⁷ Additionally, there are eight officio non-voting members, including the Chair, Vice-Chair, various UN agencies and the World Bank. Decisions are taken by vote when the Board cannot reach consensus, with a two-third majority from each bloc needed for a vote to pass.⁸ Board members are selected by their constituencies, with each constituency defining its selection process and criteria.

Similar to the Global Fund, GEF and Gavi also have constituency-based boards. GEF's board (known as the GEF Council) is the day-to-day governing body, and represents the 32 GEF constituencies, specifically 16 from developing countries, 14 from developed countries, and two from transitional economies.⁹ Decisions are taken by consensus, and the 2014 GEF evaluation highlighted the high levels of transparency in governance which include webcasts of Council meetings (except for executive sessions) and a strong voice given to constituencies. However, it is noted that more guidance can be given to the process of forming and selecting representatives from different constituencies.¹⁰ Meanwhile, Gavi's Board has 18 'representative' seats for developing countries, donor countries, CSOs, the vaccine industry (with one seat each for industrialized and developing countries), and research and technical health institute. This also includes four permanent seats for UNICEF, WHO, the World Bank and the Bill & Melinda Gates Foundation. Interestingly – and in contrast to the other comparators – nine seats on the Board are reserved for independent individuals, who are appointed in their personal capacity due to their expertise. Gavi's CEO occupies the final seat on the 28 member board.¹¹ The Gavi board adopted its present structure in 2008, upon the merger of the old GAVI Board (which was the programmatic arm) and the GAVI Fund Board (or the Vaccine Fund, which was the financial side).¹² Bezanson and Isenman (2012) note

⁶ The SCF designates Sub-Committees to govern each of its three targeted programs, with each sub-committee also composed of equal representation.

⁷ Source: Bezanson, K. A. and Isenman, P. Governance of New Global Partnerships. Accessed from: http://www.cgdev.org/files/1426627_file_Bezanson_Isenman_FINAL.pdf

⁸ Source: Global Fund Governance Handbook. Accessed from: [file:///C:/Users/ylalani/Downloads/Core_GovernanceHandbookSection1Overview_Handbook_en%20\(1\).pdf](file:///C:/Users/ylalani/Downloads/Core_GovernanceHandbookSection1Overview_Handbook_en%20(1).pdf)

⁹ Source: GEF Council. Accessed from: <http://www.thegef.org/gef/council>

¹⁰ Source: Fifth Overall Performance Study of the GEF. Accessed from: <http://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>

¹¹ Source: Gavi. Board Composition. Accessed from: <http://www.gavi.org/about/governance/gavi-board/composition/>

¹² Source: The World Bank's Partnership with the GAVI Alliance. Accessed from: https://ieg.worldbankgroup.org/Data/reports/GAVI_Approach_Paper_10_11_2012_0.pdf

that a 2010 Gavi evaluation shows that while the reorganization has brought improvements, the large Board size has led to protracted decision making, high costs, and ‘watered down’ decisions.¹³

Worryingly, despite the intentional design to foster inclusiveness and participatory dialogue, at least four out of 13 interviewees noted that the quality and depth of participation from the implementing side has been a challenge. Representatives from these constituencies are often the “least prepared”, with many implementing partners represented by ministers that do not have sufficient time or capacity to prepare for the discussions. Given this gap, stakeholders consulted note that both Gavi and the Global Fund have started to provide technical support for Board meeting preparations.

Meanwhile, CGAP’s governance structure consists of the Council of Governance (CG), the Executive Committee (ExCom), the Operational Team, and the Investment Committee. The CG is the highest governing body that includes bilateral and multilateral development agencies, regional development banks, development finance institutions, and private foundation and is currently over 30 members. The ExCom serves as the “advisory board”, with 11 members representing the CF and microfinance industry, which includes one seat for the World Bank and one seat for CGAP’s CEO.¹⁴ Finally, the Operational Team implements CGAP’s activities and programs and the Investment Committee is responsible for approving CGAP commitment over \$100,000.¹⁵ Both an external evaluation (2006-2007) and a 2008 World Bank review found that CGAP has a particularly effective and efficient governance structure, with findings highlighting the effective participation of major stakeholders in the industry.¹⁶

Finally, IHP+’s governance structure was reformed in 2013 to improve oversight and accommodate the growing number of signatories. The IHP+ Steering Committee was created to set overall strategic direction, approve the partnership’s workplan and budget, and approve the IHP+ Working Groups. The 16 member group includes six countries, four multi-laterals, four bi-laterals, and two CSOs, with country constituencies selected based on geographical distribution, language balance, and experience in IHP+ processes.¹⁷ An interviewee noted that the Steering Committee “serves as a check” against only furthering specific agendas and serves a crucial role. The IHP+ Core Team consists of the WHO and the World Bank, and manages the IHP+ work plan, budget and communications, under the oversight of the Steering Committee. Lastly, the IHP+ Reference Group supports the IHP+ Core Team in implementing the IHP+ work-plan, with an interviewee stating that its role is to act as a “sounding board for the core team.”

Finding (ii): Board Committees can enhance the efficiency and quality of Board decision making, although at least two comparators do not appear to use a formal committee structure.

¹³ Source: Bezanson, K. A. and Isenman, P. Governance of New Global Partnerships. Accessed from: http://www.cgdev.org/files/1426627_file_Bezanson_Isenman_FINAL.pdf

¹⁴ Source: CGAP Annual Report 2013. Accessed from: <http://www.cgap.org/sites/default/files/Other-FY2013-CGAP-Annual-Report-Jan-2014.pdf>

¹⁵ Source: CGAP Global Program Review. Accessed from: <http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/CGAP.pdf>

¹⁶ Source: Bezanson, K. A. and Isenman, P. Governance of New Global Partnerships. Accessed from: http://www.cgdev.org/files/1426627_file_Bezanson_Isenman_FINAL.pdf

¹⁷ Source: IHP Core Team Report 2013-2014. Accessed from: http://www.internationalhealthpartnership.net/fileadmin/uploads/ihp/Documents/About_IHP_/mgt_arrangements_docs/Core_Team/IHP_Core_Team_Report_2013-2014.pdf

Two comparators – specifically Global Fund and Gavi – make use of a formal committee structure to guide and oversee specific work streams and activities. For example, part of the 2011 Global Fund governance reforms entailed a new committee structure, with increased decision making, advisory, and oversight functions. The three committees are the Strategy, Investment and Impact Committee; Finance and Operational Performance Committee; and Audit and Ethics Committee. Each is governed by a charter laying out its purpose, functions, composition, term of office of each member, and reporting procedures. Indeed, an interviewee with insight of the Global Fund noted that the committees now have a mandate to do the “heavy lifting,” thus improving the efficiency of Board decision making. That said, as a result of the expanded mandate of the committees, certain committees are now perceived as “more powerful than others,” with all Board members eager to participate on that that specific committee, so leading to protracted, “unwieldy” dialogue that sometimes hampers efficient decision making.

At the Global Fund, committees now have increased decision making, advisory, and oversight functions; this mandate to do the “heavy lifting” can improve the efficiency of Board decision making.

In a similar manner, Gavi delegates certain responsibilities to five standing Board committees, namely the Executive Committee; Programme and Policy Committee; Governance Committee; Investment Committee; Audit and Finance Committee. Additionally, an Advisory Committee is present to oversee organization and program evaluation. Interestingly, Committees are comprised of not only Board members and alternates, but also experts or partner representatives in certain cases. Committee charters are used to specify the composition, terms, functions, and operations.

Neither CIF nor IHP+ have a formal committee structure, although both have delegated certain tasks to sub-groups or bodies. As mentioned earlier, CIF’s Strategic Climate Fund (SCF) has three sub-committees to govern each of its three programs, namely the Forest Investment Program, the Pilot Program for Climate Resilience (PPCR), and the Scaling up Renewable Energy in Low Income Countries Program (SREP). The composition of the sub-committees mirrors that of the SCF committee, with equal representation from contributor and recipient countries. Meanwhile, IHP+ makes use of time-limited working groups (WG) to develop recommendations on specific topics and present findings to the Steering Committee. Additionally, Reference Groups are used to support the Core Team in implementing the work plan, with those meetings convened and chaired by the Core Team.

Lastly, neither GEF nor CGAP appear to have a formal committee structure outside of their Council and Executive Committees respectively.

Finding (iii): The presence of a formal Secretariat varies by organization, but in all cases a body has been established to drive forward Board decisions and the resulting workplan. Secretariat budgets tend to vary from between 20 – 40% of the overall budget. Four Secretariats are located in Washington DC, one in Geneva, and one has locations in both Washington and Geneva.

Our analysis reveals that the presence of a formal Secretariat varies by organization. Three organizations – the GEF, Global Fund, and Gavi – have a formally defined Secretariat to help operationalize and execute Board decisions on a day-to-day basis. For example, the GEF Secretariat is based in Washington, D.C.; it is headed by the GEF CEO & Chairperson and reports to the GEF Council and Assembly.¹⁸The role of the Secretariat is to support the design of projects, oversee their

¹⁸ Source: GEF Secretariat. Accessed from: <http://www.thegef.org/gef/Secretariat>

implementation, and ensure that strategies and policies are appropriately followed. The 2014 GEF evaluation though warned of the increased mandates being placed on the Secretariat which has increased the need for coordination; indeed, an index measuring the Secretariat's degree of communication with all other actors in the GEF network shows a significant increase before and after GEF-4.¹⁹

The Global Fund Secretariat manages its day-to-day functions, and comprises of about 600 staff, all based in Geneva.²⁰ It is headed by an Executive Director, with six committees formed to perform the Global Fund's operational, financial, and administrative functions. The role of the Secretariat includes grant portfolio management, executing Board policies, resource mobilization, providing strategic, policy, financial, legal and administrative support, and overseeing monitoring and evaluation.²¹ The Secretariat's budget is included in the Global Fund operating expenses budget, which was a total of US\$298.8 million in 2014 with staff costs accounting for about 42% of the annual operating expenses.²²

In a similar manner, Gavi's Secretariat is headed by a Chief Executive Officer and is supported by six departments. It is also responsible for day to day operations, which includes mobilizing resources to fund programs, coordinating program approvals, developing and implementing initiatives, monitoring and evaluation, legal and financial management, and administrative functions. However, the Gavi's secretariat is located in *both* Washington, DC and Geneva, Switzerland. The Secretariat budget stood at \$88million in 2014; a 6% increase to \$98 million is expected in 2015, which roughly translates to 37% of the total budget.²³ Salaries accounted for \$42.9 million or 49% of the Secretariat budget in 2014.

CGAP does not have a secretariat as such, but full time staff members drive the executive committee's work program. CGAP IV (the CGAP strategy from FY2009-2013) with an average of 47 full time team members and 60 part-time consultants cost roughly US\$100 million to implement, or US\$20 million per year.²⁴ The estimated resource requirement for CGAP V (strategy envisioned for 2014-2018) is approximately US\$120 million over the full five-year period (US\$24 million per year). Core staff salaries and benefits are expected to total \$32million over the full period, or about 27% of the total budget.

The IHP+ core team performs the work of a secretariat, and is responsible for managing the daily operations of the partnership. Its responsibilities include taking forward decisions and activities of the Steering Committee, managing contracts; mobilize and disbursing funds; and disseminating lessons learnt.²⁵ The core team is co-hosted by the World Bank and the WHO: each appoints one

¹⁹ Source: Fifth Overall Performance Study of the GEF. Final Report: At the Crossroads for Higher Impact. Accessed from: <http://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>

²⁰ Source: Global Fund Structures. Accessed from: <http://www.theglobalfund.org/en/about/structures/>

²¹ Source: Global Fund. Organization. Accessed from: <http://www.theglobalfund.org/en/about/organization/>

²² Source: Aidsplan. Global Fund Board Approves Secretariat Operating Expenses. Accessed from: http://aidsplan.org/gfo_article/global-fund-board-approves-secretariat-operating-expenses

²³ Source: Gavi Report to the Board. Accessed from: <file:///C:/Users/ylalani/Downloads/13%20-%202015%20Business%20plan%20and%20budget.pdf>

²⁴ Source: CGAP Strategic Directions: FY2014-FY2018. Accessed from: http://www.cgap.org/sites/default/files/CGAP_V_Strategy_final.pdf

²⁵ Source: IHP+ Core Team Terms of Reference. Accessed from: http://www.internationalhealthpartnership.net/fileadmin/uploads/ihp/Documents/About_IHP_/mgt_arrangements_docs/Core_Team/IHP_Core_Team_TOR.Oct2013.pdf

focal point that is supported by a small team. The Core Team 2013-2014 report indicates that the budget allocated to the core team operations and communication was \$2.2million in over the two year period from Jan 2012-Dec 2013, accounting for roughly 23% of the total budget.

Lastly, CIF's Administrative Unit serves as its secretariat, with responsibilities including preparing documentation for the Trust Fund Committees, supporting the Trust Fund Committees via research and analysis, and managing external relationships. The Unit has a small staff (currently six, although there are vacancies), with an allocation of \$7.4million per the revised FY2014 budget. This amounts to roughly 42% of the total cost of administrative services.²⁶ Expenditures are expected to increase by 0.7% in 2015.

3. *What are country level activities and processes?*

Finding (i): The six comparator organizations have varying degrees of country level activities and processes. With the exception of CGAP, comparator organizations have no presence at the country level and work through country stakeholders for implementing and monitoring activities.

Our review indicates that with the exception of CGAP, comparator organizations do not have a country presence and instead work through partners and stakeholders at the country level to achieve its program objectives. These mechanisms may include country-level partnerships with different stakeholders, supporting joint sector assessments, or working directly with implementing partners, including multilateral development banks and UN agencies.

For example, the Global Fund does not have a country-level presence outside of Geneva. Country level ownership is achieved via Country Coordinating Mechanisms (CCMs).

An expert noted that CCMs can be roughly compared to GPE's Local Education Groups (LEGs), and that similar to LEGs, there is a wide divergence in quality and effectiveness. They are "increasingly being asked to be an intermediary" between the Global Fund and the government in strategy making activities, which sometimes can put them "in an awkward spot."

CCMs are country level, multi-stakeholder partnerships that develop and submit grant proposals to the Global Fund. After proposal approval, CCMs then oversee implementation. One expert consulted noted that CCMs force a "more egalitarian discussion" and that the Global Fund does not have a seat in these discussions. CCMs include representatives from both the private and public sectors, including multilateral and bilateral agencies, NGOs, and corporations. The Chairs of CCMs are elected from within the group; an interviewee noted that though this seat has been traditionally dominated by the Ministry of Health, it has been slowly diversifying to other stakeholders. CCMs nominate public or private organizations as recipients of funding to implement the grant, who are known as Principal Recipients. Principal Recipients must report regularly on the progress of their grants – both on how the funding was utilized and, in particular, on the results obtained with that funding. This information is submitted to and verified by independent consultancies in each country, known as Local Fund Agents. As an expert remarked, these organizations serve as the Global Fund's "eyes and ears on the ground."

In contrast, Gavi does not have a formal country management structure on the ground. Instead, health ministries work closely with UNICEF and WHO regional and country offices to deliver

²⁶Source: CIF FY15 Business Plan and Budget. Accessed from: https://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/FY15_business_plan_and_budget...pdf

programs, leveraging WHO's recommendations and guidance on vaccine use. Gavi-funded vaccines are distributed through in-country health systems and CSOs.

Meanwhile, IHP+ has a deep focus on supporting stakeholders at a country level in developing a unified national health strategy. For instance, in a similar manner to the GPE's Joint Sector Reviews, IHP+ supports the collaboration of a shared health strategy via the Joint Assessment of National Health Strategies (JANS), and provides guidance and tools on how countries can effectively conduct such assessments. JANS has been viewed favorably since its inception: it is seen as an effective tool to bring together stakeholders to strengthen strategies, and is now being used as a global public good by countries on an informal and formal basis. Mozambique, for example, has used JANS to "review its new five-year strategy, and a number of sub-sector JANS are also reported."²⁷ Good documentation of the JANS process, findings and impact has also been seen to be crucial, as this inspires trust and confidence in the strategy. However, while JANS has been seen to strengthen planning, links to funding decisions have been less clear.²⁸ By joining IHP+, developing country governments make commitments that include working "with national stakeholders and international agencies to develop a common vision for the health sector, developing improved financing mechanisms to increase access to health services for poor citizens and strengthening national management systems, and being accountable to citizens and other stakeholders for results."²⁹ Partners typically include governments, CSOs, and the private sector; the role of CSOs is particularly valued and they receive specific support from IHP+. The IHP+ Global Compact, which sets out the goals and approach of IHP+, ties all country level partners and activities together on the global level, and every two years, all IHP+ partners meet in person to share progress updates, as well as lessons learned and next steps.

Two organizations in particular work closely with a mix of stakeholders at the country level, as well as utilize multilateral development banks to serve as implementing partners. CIF works through country governments, MDBs (that serve as implementing partners), UN and UN agencies, GEF, UNFCCC, Adaptation Fund, bilateral development agencies, CSOs, indigenous peoples, private sector entities, and scientific and technical experts. Stakeholder engagement has three basic forms that include information sharing, consultation, and partnership. Country governments and the MBs work in a consultation capacity to improve national-level engagement and coordination to facilitate effective action at global, regional, and national levels. This has included the development and implementation of investment plans. Key stakeholders in the private sector are able to contribute to climate action initiated by CIF as partners to innovating technologies and business models to reduce greenhouse gas emissions. In country, CSOs can help set up investment approaches and involve communities in activities aimed at mitigation and adaptation.³⁰

Similar to CIF, the GEF also works with various stakeholders from both the private and public sectors that identify project concepts and objectives, select project sites, design and implement activities, and monitor and evaluate projects. This public involvement which also includes

²⁷ Source: IHP+ Core Team Report 2013-2014. Access from: http://www.internationalhealthpartnership.net/fileadmin/uploads/ihp/Documents/About_IHP_/mgt_arrangements__docs/Core_Team/IHP_Core_Team_Report_2013-2014.pdf

²⁸ Source: JANS Lessons. Accessed from: <http://www.internationalhealthpartnership.net/en/results-evidence/jans-lessons/>

²⁹ Source: IHP+. Partner Countries. Accessed from: <http://www.internationalhealthpartnership.net/en/audiences/partner-countries/>

³⁰ Source: CIF Stakeholders. Accessed from: <http://www.climateinvestmentfunds.org/cif/content/stakeholders>

information dissemination, consultation, and stakeholder participation, is set forth explicitly in the Instrument for the Establishment of the Restructured Global Environment Facility. In addition to stakeholders, the GEF also has three implementing agencies, the UNDP, UNEP, and the World Bank Group. These agencies have their own policies, guidelines, and procedures on public involvement. Specifically, the UNDP is responsible for building global environmental protection capacity at the local level, UNEP is responsible for mobilizing scientific and technical communities to meet global environment priorities, and the World Bank focuses on expanding general support for renewable energy.³¹

Lastly, while CGAP traditionally works through existing country-level structures, it is distinct in that in some countries, it also operates through consultants or staff members on the ground. In such instances, CGAP's work may occur at a deeper, more hands-on level. Specifically, CGAP has regional teams and six locally based, part-time, regional representatives in Abidjan, Nairobi, Dhaka, Beirut, Singapore, and Moscow. These regional teams and representatives help to advance CGAP's core thematic priority areas at the local and regional level.³²

4. How are results defined and measured?

All six comparator organizations have their own formal processes for evaluating and measuring the effectiveness and impact of activities. A summary of results measurement and M&E processes can be seen in Table 4, and discussion follows below.

Table 4: Summary of results measurement and M&E processes

Overview of results measurement and M&E processes	
Climate Investment Funds (CIF)	With CIF funding channeled through five multilateral development banks, each follows its own M&E procedures. Country and program reporting is in turn guided by the overarching CIF results framework, which was refined and revised in 2009 to focus on a few core indicators with a methodology that can be adapted to different contexts.
Consulting Group to Assist the Poor (CGAP)	CGAP uses a results framework with three levels of accountability to measure progress against its five year strategy. M&E at the project level takes place via performance targets and indicators are set at the project's inception.
Gavi, the Vaccine Alliance	Three mission indicators with specific targets are used to measure progress against the latest strategy. Indicators and targets are also identified against each of the Gavi goals.
Global Environmental Facility (GEF)	GEF's results based management system is cascading, defining corporate level goals which focal area strategies (and individual projects) must align with. GEF's Independent Evaluation Office sets requirements for M&E systems and ensures accountability.
Global Fund for AIDS, TB and Malaria	The Global Fund's performance based funding mechanism necessitates that program specific indicators and targets are developed at the onset of the grant. A Corporate Key Performance Indicator Framework is also developed, which is aligned with its 2012-2016 strategy.
International Health Partnership	IHP+ utilizes its Global Compact and its Results Consortium to develop framework for M&E systems and encourages stakeholders to report on results that steer IHP+ priorities.

³¹ Source: GEF Streamlining the Project Cycle. Accessed from: <https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.C.12.9.pdf>

³² Source: CGAP Strategic Directions FY2014-FY2018. Accessed from: http://www.cgap.org/sites/default/files/CGAP_V_Strategy_final.pdf

Overview of results measurement and M&E processes

(IHP+)

Finding (i): Indicators with specific targets are used to measure progress against the overall mission, although organizations acknowledge the challenges of attribution. In one comparator – IHP+ – monitoring is done on a voluntary basis. Public reports to assess progress tend to be published annually or bi-annually.

All six comparator organizations have frameworks for measuring project impact and attempt to link their contributions with various levels of results. However, it is challenging to link the actions of just one organization with impact on a national or international level, with the Global Fund openly noting, “...any impact cannot be attributed to a single donor or program; the Global Fund is one contributor, along with many partners, effecting these changes.”³³ In a similar manner, CGAP remarks on “the challenges of attribution with [its] role and engagement model.”³⁴ Partnership-focused models such as IHP+ also have found that performance is contingent in turn on its partners.³⁵ Despite these challenges, results frameworks are used to set targets and measure progress against strategic plans or missions. Funding and project-based organizations use project-specific M&E measures that attempt to align with the broader framework.

For example, CGAP and the Global Fund both have results framework to measure progress against their latest strategies. Specifically, CGAP’s framework has three different levels of accountability and measures progress against expansion of access to and effective usage of financial services by the poor, achievement of expected outcomes over the CGAP five year strategy, and performance as a member-governed organization with a long-term mission. As noted earlier, the results framework includes quantitative and qualitative data to take account of challenges of attribution with performance targets and indicators established at the beginning of all CGAP projects. Monitoring reports are prepared bi-annually, and CGAP provides annual reports to its members upon achievement of annual work plans. The CGAP Executive Committee also commissions a mid-term external evaluation of each strategic phase to assess CGAP progress on achievements toward the five-year strategy.³⁶ While the Global Fund has been measuring its performance against a set of corporate key performance indicators since 2004, it has recently set out new and explicit health impact goals and targets in its 2012-2016 strategy. This Global Fund Corporate Key Performance Indicator Framework for 2014-2016 is aligned with, and designed to monitor the organization’s performance against the goals, targets, and objectives of the 2012-2016 strategy. The framework consists of operational performance indicators, activity-specific indicators, and strategic indicators to measure the performance of the Secretariat.³⁷

Interestingly, one comparator out of the six also has its own Independent Evaluation Office

“[A vast number of systems] ensure that the learning function of evaluation happens at the country level.” – Consulted stakeholder familiar with GEF

(IEO). This Office sets the minimum requirements for M&E, ensuring the quality of M&E systems, and sharing evaluation evidence within the organization as a whole. Importantly, it is responsible for promoting accountability, knowledge sharing, and learning feedback, particularly at the country

³³ Source: The Global Fund Results. Accessed from: <http://www.theglobalfund.org/en/about/results/>

³⁴ Source: CGAP Strategic Directions FY2014-FY2018. Accessed from: http://www.cgap.org/sites/default/files/CGAP_V_Strategy_final.pdf

³⁵ Source: The Global Fund Results. Accessed from: <http://www.internationalhealthpartnership.net/en/faqs/>

³⁶ Ibid.

³⁷ Source: The Global Fund Handbook. Accessed from: [file:///C:/Users/ylalani/Downloads/Core_GovernanceHandbookSection10Overview_Handbook_en%20\(1\).pdf](file:///C:/Users/ylalani/Downloads/Core_GovernanceHandbookSection10Overview_Handbook_en%20(1).pdf)

level. Mid-term evaluations are requested by the GEF Council from this office to assess quality of design and implementation of various initiatives. Annual Performance Reports (APRs) provide the GEF Council, GEF partners, and GEF stakeholders with feedback for ongoing improvement of the portfolio as well as the quality of project monitoring and evaluation. Additionally, Management Action Records (MARs) track the level of adoption by the GEF Secretariat and GEF Agencies of decisions made by the GEF Council on the basis of this IEO's recommendations.

Uniquely, given its nature as a partnership, IHP+ monitoring is done on a *voluntary* basis by IHP+ signatories with data being used for decision-making at the country and partner level.³⁸ IHP+ has developed a framework for monitoring, evaluation, and review of national health strategies through a multi-partner collaboration, and has a country-led platform for information and accountability. The IHP+ Results Consortium supports the monitoring process and the global report, which is similar to GEF's Independent Evaluation Office but on a much smaller scale. A 2012 agreement between partners declared that monitoring should continue to be more country-based going forward, and draw on existing data and information. In the 2014 monitoring round, the commitment to country based monitoring was reaffirmed, with 24 out of 35 countries from Africa, Asia, and Latin America participating (versus 19 in 2012).³⁹ Six key issues are measured by complementary indicators and targets for governments and development partners, namely: health development cooperation that is focused and meeting country priorities, civil society engagement, predictable health development cooperation, on budget health aid, mutual accountability among health development cooperation actors is strengthened through inclusive reviews, and effective institutions (developing country systems).

Lastly, Gavi measures and evaluates its successes based on three main indicators, each with specific targets, to measure progress against the 2011-2015 strategy and overall mission. The three indicators are the under five mortality rate, number of future deaths averted, and number of children immunized. Additionally, similar to the other five comparator organizations, Gavi publishes annual progress reports that give a comprehensive overview of activities that illustrate its work and successes. Meanwhile, because CIF financing is channeled through five multilateral development banks, each follows its procedures for monitoring and evaluation of CIF financed projects. Results monitoring and reporting on outcomes is guided by results framework approved by the respective CIF governance bodies.⁴⁰ CIF also has a work plan summary with objectives that include creating a functioning monitoring and reporting system, and helping generate and analyze high quality data.

5. What are the dynamics of being housed within the World Bank?

Four of the six comparator organizations studied are housed within the World Bank, namely CGAP, CIF, GEF, and IHP+, as seen in Table 3.

Finding (i): The four comparators housed at the World Bank (CGAP, CIF, GEF, and IHP+) take advantage of its administrative structures, and have experienced similar benefits and challenges.

³⁸ Source: IHP+. Monitoring Round 2014. Accessed from: <http://www.ihplusresults.org/index.php?lang=EN>

³⁹ Source: IHP+. 2014 Monitoring Round. Accessed from: <http://www.internationalhealthpartnership.net/en/results-evidence/2014-monitoring-round/>

⁴⁰ Source: MDBs and CIF Au M&E Work Plan. Accessed from: https://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/CIF_M&E_work_plan_summary_2013-14.pdf

Four organizations have historical links to the World Bank and are housed within its structure. While the Bank provides administrative support, including the use of its systems for contracting and procurement processes, all four organizations operate as independent entities.

GEF was established as a pilot program within the World Bank in 1991, and became an independent institution in 1994. Although the World Bank continues to serve as the Trustee of the GEF Trust Fund, an interviewee remarked that the World Bank competes for projects equally with all other agencies. Likewise, an interviewee familiar with CGAP noted that initially, many viewed the organization as “a program within the Bank,” but that the relationship has since formalized. The World Bank does not have undue influence, and occupies “one seat out of many” on the Executive Committee. Lastly, the World Bank also houses both IHP+ and CIF (where it also serves as a Trustee). In contrast with the other three comparators, its role at IHP+ also appears more hands-on, as it co-hosts the IHP+ Core Team together with the WHO.⁴¹

Interestingly, Gavi, although not housed at the World Bank, was initially set up as an “informal public private partnership” with a small Secretariat at the UNICEF’s office in Geneva. In 2008, it evolved into an independent, legal entity, partly in response to “the increased number of responsibilities, programs, and the large inflow of resources.”⁴²

While a few consulted stakeholders remarked upon the natural “operational challenges” associated with functioning within the World Bank system, there was overall no strong sentiment that the relationship has posed a challenge. Indeed, this is echoed in research by Bezanson and Isenman (2012), who note: “[The] benefits and costs of moving major functions from a hosting organization change over time, with maturity and capacity of the new organization. There is a relative lack of friction within the multi-stakeholder partnership over the role of the World Bank as host.”

⁴¹ The role of the IHP+ core team is mentioned earlier under II.

⁴² Source: IEG. The World Bank’s Partnership with the GAVI Alliance. Accessed from: https://ieg.worldbankgroup.org/Data/reports/GAVI_Approach_Paper_10_11_2012_0.pdf

Annex 1

Interview guide for comparator analysis

(January 2015)

Questions to representatives at the 6 selected comparators:⁴³

Intro:

- What is your role within the organization? How long have you been involved with the organization?
- How would you summarize your organization's key objectives? What sets it apart from similar initiatives (if any)?

A. Board and governance:

- What is your organization's governance structure? How has it evolved over time? If there has been constant evolution, what have been the tradeoffs between adaptation and consistency?
- If your organization has grown (as has the GPE), has the governance structure changed to account for such growth?
- How is the Board selected and what is its mandate?
- How has the Board and governance structure changed over time?
- How 'hands-on' is your approach in reference to country-level processes and strengthening national capacity? How does the size and role of the secretariat (or Board) influence this?
- To what extent does the Board aim to be constituency-based (representative of the organization's constituencies)? What are the benefits and drawbacks for representation, ownership, and efficiency of decision-making in reference to the current structure?
- Do you think the structure is appropriately designed to meet the organization's mandate? How could it be improved?

B. Combining country-specific activities with advocacy and provision of global public goods:

- What are the country-specific programmatic activities that the organization undertakes?
- How are the country-specific support and programmatic priorities set? How are such priorities balanced with global ones?
- What are the broad global public goods that your organization provides (e.g. research papers, increased evidence base, etc.)? What percentage of your organization's budget goes towards developing global public goods?
- How are the results of work to promote global public goods measured?
- Are there other organizations that do an admirable job of balancing country-activities/technical support with production of global public goods, in your opinion?
- What is the process for communicating and disseminating your research and findings? What are your advocacy channels?

⁴³ Note: More focus may be spent on each of the specific dimensions depending on the organization

- How do you complement country-specific activities with advocacy and research efforts?

C. Relationship with the World Bank:

- What is your relationship with the World Bank? How has it evolved with time?
- (For organizations with relationships with the Bank or other multi-lateral) What have been some of the advantages and disadvantages of having such a relationship with the Bank/other multi-lateral?
- What is the role of the Bank (if any) in your day to day operations?

D. Coordinating country-level partnerships with mix of stakeholders:

- Who are your key stakeholders at the country level? How do you define a successful partnership on the country level?
- What are your country level activities?
- How do you work with country partners? How do you coordinate and make decisions?
- How do country activities align with broader global activities (if applicable)?

E. Learnings from different funding and financing practices (including co-financing and incentive-based financing):

- What are your different funding/financing practices?
- For orgs whose mandate is to catalyze additional funding – how do you measure additionality of financing?
- To what extent does your funding model have a results orientation? What have been the drawbacks and advantages of such a model?
- What are challenges/success with each? Are any more suited for different aspects?

F. Evaluation and assessment practices:

- What are your knowledge management practices? Specifically, what are Monitoring Evaluation and Learning practices?
- How are indicators developed? How are program level M&E linked to broader organizational results framework?
- What sort of database do you have to house reports and other forms of organizational knowledge?
- What is the process by which external evaluations are conducted? By whom? How frequently?
- Have there been instances of course correction/ strategy review as a result of the findings from the external evaluation?

Wrap-up/conclusion:

- Any recommendations/learnings to share that may be relevant for the GPE?
- Is there anyone else with whom we should speak?

Questions to donors:**Intro:**

- What is your organization? What is your role within the organization?
- What is your organization's relationship with multi-stakeholder initiatives such as GPE, CIF, CGAP, etc.? How do you support such initiatives?
- Have you ever worked within such an organization? If so, in what capacity?

A. Governance, management structure and operational modalities:

- Are you aware of the governance structures at multi-stakeholder initiatives? What are the different sorts of governance structures that you have seen at multi-stakeholder initiatives?
- What role do you play (if any) in developing and/or structuring governance modalities at partnerships that you support?
- Broadly speaking, what are ideal or best practice governance structures or mechanisms to allow for the most effective functioning of such initiatives?

B. Learnings from different funding and financing practices

- How open and relevant are the funding/financing practices at such partnerships?
- What sort of role (if any) do you play in funding/financing or grant making decisions?
- Are there any best practices that come to mind?

C. Evaluation and assessment practices

- Is your support tied to results from evaluations?
- How can Monitoring, Evaluation and Learning practices be improved or strengthened?
- Are there any best practices that come to mind?

Questions to experts, others:

Intro:

- What organization (if any) are you affiliated with? What is your role within the organization?
- What is your organization's relationship with multi-stakeholder initiatives such as GPE, CIF, CGAP, etc. (if any)?
- Have you ever worked within such an organization? If so, in what capacity?

A. Governance, management structure and operational modalities:

- Are you aware of the governance structures at multi-stakeholder initiatives? What are the different sorts of governance structures that are seen at multi-stakeholder initiatives?
- Broadly speaking, what are ideal or best practice governance structures or mechanisms to allow for the most effective functioning of such initiatives?

B. Learnings from different funding and financing practices

- How open and relevant are the funding/financing practices at such partnerships?
- Are there any best practices that come to mind?

C. Evaluation and assessment practices

- How can Monitoring, Evaluation and Learning practices be improved or strengthened?
- Are there any best practices that come to mind?

Annex 2

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Appendix 2. Review of Global and GPE Financing Trends

Objectives, Scope and Methodology

Objectives

This annex includes quantitative background information and analyses that support the findings presented in Volume I of the evaluation. The findings presented in Volume I respond to the following questions posed by the Terms of Reference:

- What effect or additionality has the GPE had on the global flow of resources for basic education?
- What effect or additionality has the GPE had on the flow of resources (national and international) for education at the country level?

The evaluation team approached these two questions by assessing GPE's effect or additionality on the:

- Amount of financial resources (aid and domestic)
- Flow of financial resources to sectors, countries and the GPE's strategic goals
- Quality of financial resources in terms of aid effectiveness

Scope

The scope of the additionality part of this evaluation is as follows:

- Additionality is defined as the 'extent to which a new input (in this case, resources) adds to the existing inputs (instead of replacing any of them) and results in a greater aggregate.⁴⁴
- The evaluation explored any effect or change, not just additionality of financial resources.
- 'Resources' are interpreted as financial resources.
- The 'global flow of resources' includes donor funding (bilateral and multilateral) and domestic government funding. It has not been possible to find aggregate data on non-state funding from the private sector and civil society.
- 'National' resources focuses on government funding and 'international resources' focuses on aid, as data on the non-state sector are very limited.
- Both total education and basic education resources are assessed. Basic education is defined as: *'The whole range of educational activities, taking place in various settings that aim to meet basic learning needs as defined in the World Declaration on Education for All (Jomtien, Thailand, 1990). According to ISCED standard, basic education comprises primary education (first stage of basic education) and lower secondary education (second stage). It also covers a wide variety of non-formal and informal public and private activities intended to meet the basic learning needs of people of all ages.'*⁴⁵

⁴⁴ Businessdictionary.com

⁴⁵ UNESCO, UIS. Glossary of Terms, <http://glossary.uis.unesco.org/glossary/en/term/1955/en>

- The evaluation team used the OECD-DAC Creditor Reporting System (CRS) for donor and multilateral aid to education data.
- The Education for All Global Monitoring Report's (GMR) technical definitions of total education and basic education are used in this evaluation. Total education is defined as the sum of 20% of *aid to education level unspecified* (CRS code 111), and 100% of *aid to education* (CRS code 110). Basic education is defined as the sum of 50% of education level unspecified, 10% of *aid to general budget support* (CRS code 510), and 100% of *aid to basic education* (CRS code 112).
- Specific country level analyses of additionality are found within the 18 virtual and field visit country case studies.
- The additionality assessment uses 2010 as the baseline in order to observe changes since 2010.

Data sources

Both quantitative and qualitative analyses were used in this annex. Quantitative analyses were used to analyse trends in aid and domestic financing and GPE financing at both global and country levels. The data were retrieved from global datasets such as OECD-DAC CRS, UIS UNESCO, and Government Spending Watch (GSW), as well as GPE's own financing information. In order to assess additionality, comparisons were made before and after countries joined GPE and between countries who are GPE members and those who are eligible but non-GPE members.

Qualitative methods used included global stakeholder interviews, virtual and field country visits, and document reviews. These interviews were triangulated with quantitative analyses to ascertain the extent of the GPE's influence or additionality.

Since GPE did not report to the OECD-DAC at the time of this report, the evaluation team had to exercise caution when comparing the DAC's aid to education data and the Secretariat's GPE disbursement data. Although GPE disbursements are not reported to the DAC, donor contributions to GPE are. GPE contributions are reported to the DAC under the recipient line "bilateral or regional unspecified." The evaluation assumes that GPE resources are subsumed within global aid to education figures but are not captured at country level. When analysing individual donor trends in aid to education, GPE contributions are subtracted from aid disbursements to prevent double counting. At country level, GPE disbursements are added to the total amount of aid received to fill in the unreported GPE disbursement by the DAC.⁴⁶

Limitations

There were several limitations encountered during this assessment of GPE's finances and additionality. These include:

- Issues with the quality, reliability and consistency of data across countries.
- Difficulty of ascertaining attribution of "effect or additionality" to the GPE given there is no counterfactual data and that there are many potential influencers of education financing.
- Difficulty in obtaining detailed responses to questions on additionality, especially those aiming to identify substitution, displacement and re-distribution.

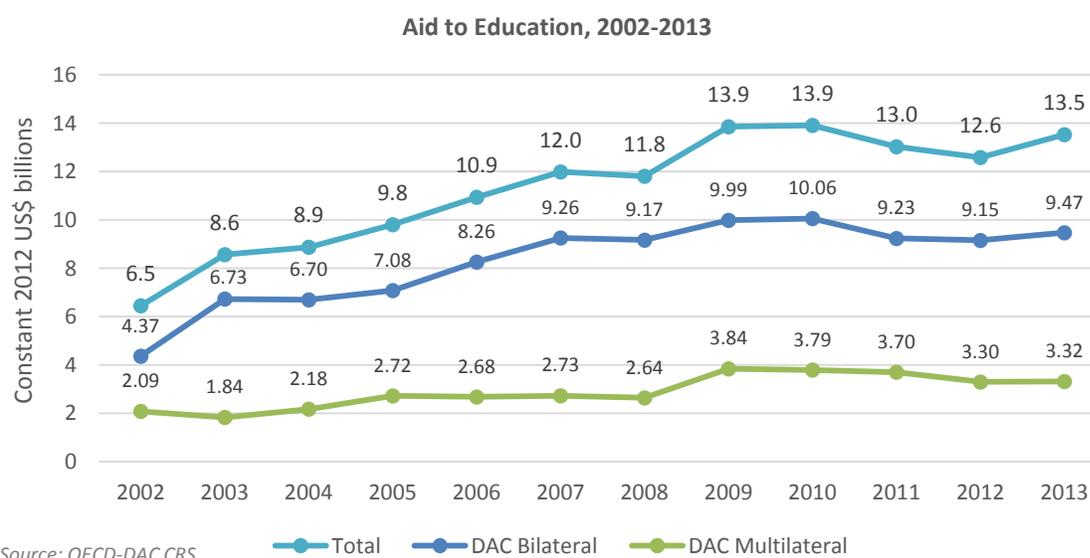
⁴⁶ This methodology was adopted after discussions and advice from the GMR's technical team.

Global Aid to Total and Basic Education

Trends in aid to education⁴⁷

After the adoption of the 2000 Dakar Framework for Action there was an expectation that international donors would increase their financial support to education. In the years that followed Dakar, aid to education steadily increased until it peaked in 2009/2010. In subsequent years, aid to education decreased. However, preliminary 2013 data show that aid to education has again increased from US\$ 12.6 billion in 2012 to US\$13.5 billion in 2013.⁴⁸ The growth in aid to education in 2013 is attributable primarily to the increase in bilateral aid (up from US\$ 9.15 billion in 2012 to US\$ 9.47 billion in 2013). Multilateral aid has remained constant for the past two years.

Exhibit 1.1

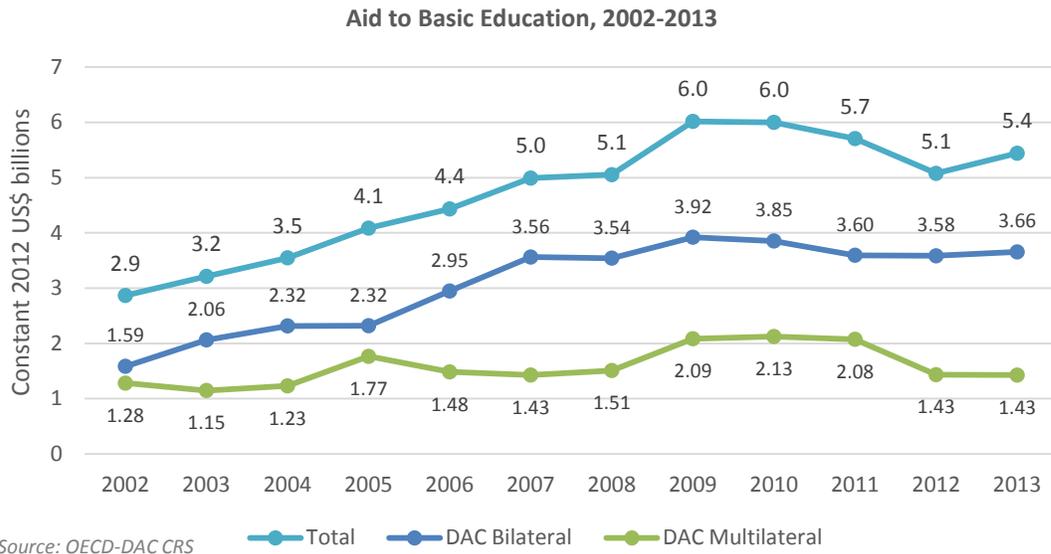


Since reaching its peak in 2009, disbursements to basic education have decreased by 9%, from US\$ 6 billion to US\$ 5.4 billion in 2013 (2012 constant US\$.) Bilateral aid to basic education decreased by 5% (US\$ 198 million) in the same period. Similarly, multilateral aid to basic education decreased by 33% between 2010 and 2013. This decrease stands in contrast to the steady increase in aid to basic education between 2007 and 2010.

⁴⁷ In this analysis, aid to education is measured in disbursements. A disbursement is defined as: "The release of funds to or the purchase of goods or services for a recipient; by extension, the amount thus spent. Disbursements record the actual international transfer of financial resources, or of goods or services valued at the cost to the donor." (from the OECD-DAC Handbook on terminology)

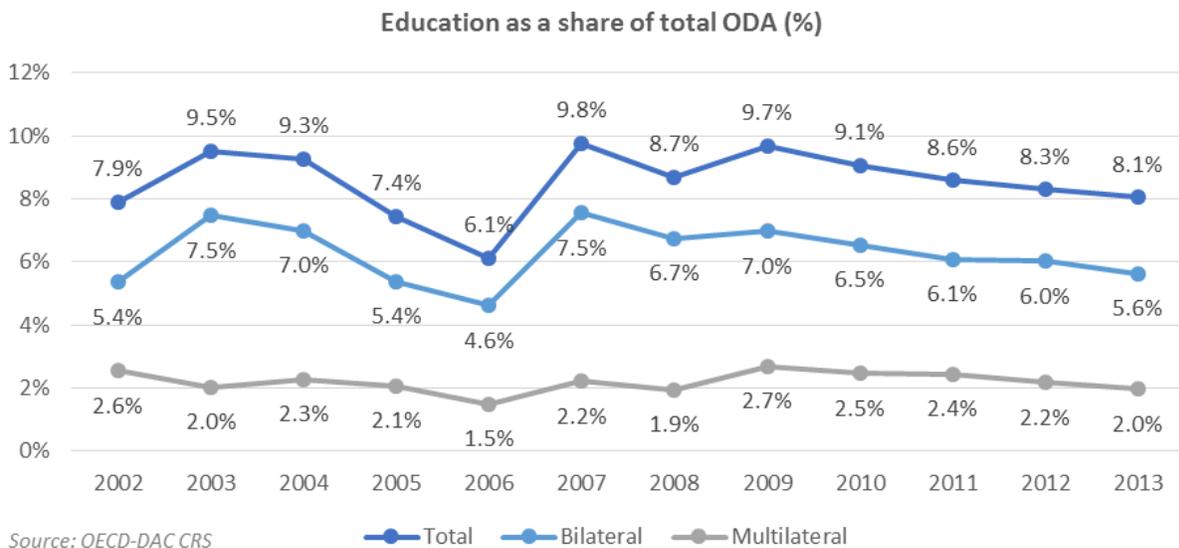
⁴⁸ Figures only show DAC bilateral and multilateral members. Non-DAC members such as UAE, Kuwait, and Estonia are not included.

Exhibit 1.2



Data show that aid to education as a share of total ODA has been declining since 2009 (see Exhibit 1.3). Bilateral aid to education as a share of total ODA fell from 7 % in 2009 to 5.6 % in 2013. Similarly, education as a share of multilateral ODA has also decreased since 2009.

Exhibit 1.3

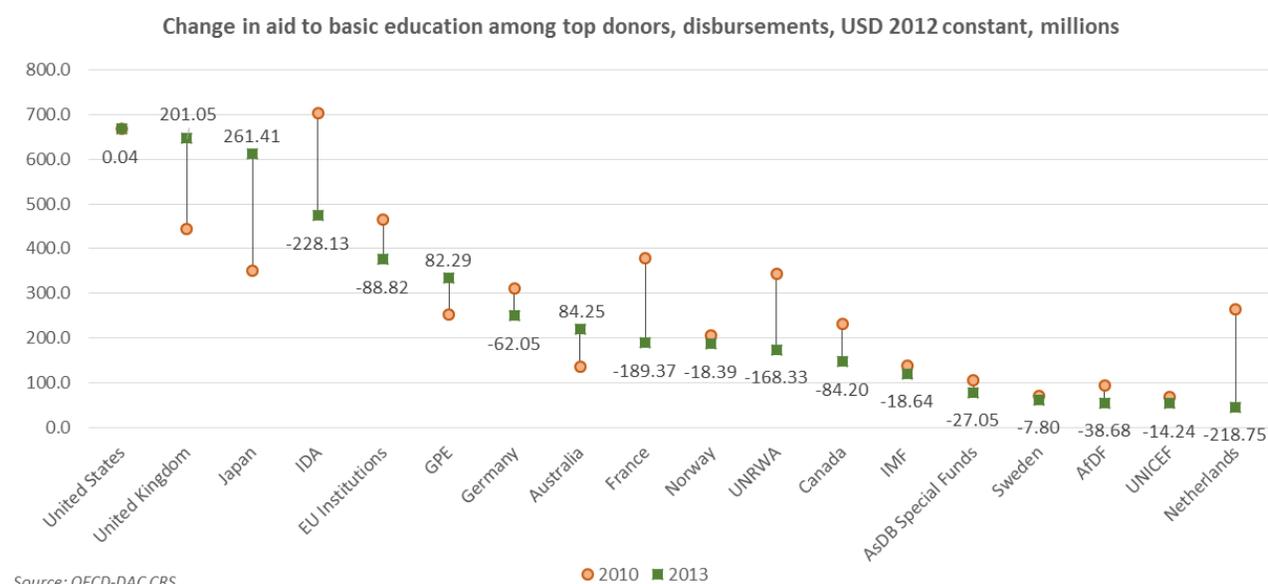


Trends in aid to basic education by donor⁴⁹

Since 2010, there have been notable shifts in the donor landscape for aid to basic education. In 2010, the largest financier to basic education was IDA. Between 2010 and 2013, IDA decreased aid to basic education by US\$228 million, making it only the fourth largest donor. Other major donors have also decreased their aid in the same period, such as the Netherlands (US\$218 million) and France (US\$189 million) as shown in Exhibit 1.4. In percentage terms, since 2010, the Netherlands (83%), Denmark (78%), Spain (72%), and France (50%) have had the largest decrease in their aid to basic education.

On the other hand, Japan (US\$261 million), the UK (US\$201 million), and Australia (US\$84 million) are among a small number of bilateral donors to have increased aid to basic education since 2010. Korea, a new GPE donor member, increased aid to basic education by 84 % in 2013 (from US\$23 million in 2009 to US\$43.8 million in 2013). A steady increase in annual disbursements has made GPE a more prominent financier to basic education. By 2012, GPE had become the fifth largest donor, rising from tenth in 2010 (in 2013, GPE was sixth largest donor to basic education). The largest donor to basic education in 2013 was the USA (see exhibit 1.5).⁵⁰

Exhibit 1.4⁵¹

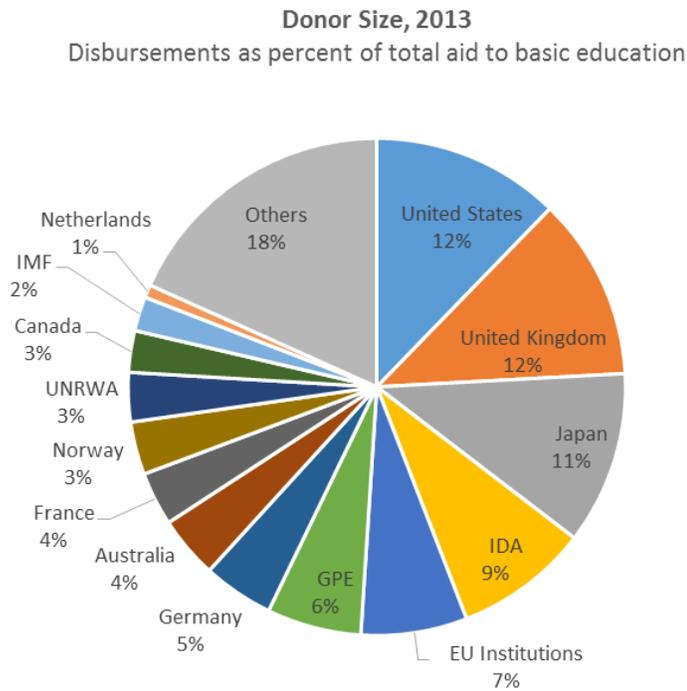
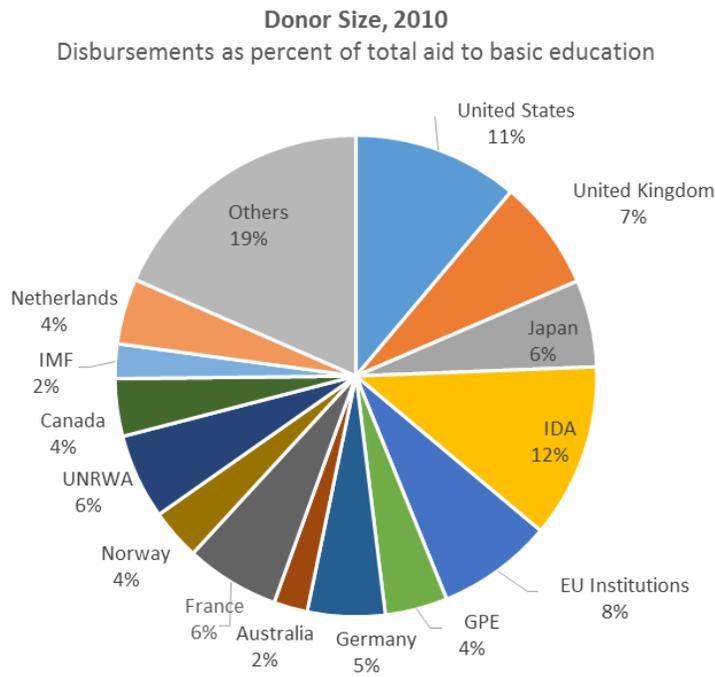


⁴⁹ Figures below do not include donor contributions to GPE.

⁵⁰ This analysis should be interpreted with caution. Donor contributions to GPE have been removed from bilateral and IDA lines to prevent double counting and GPE disbursements have subsequently been added as a separate donor. The sum of all donor disbursements (minus GPE contributions) and GPE disbursements does not align with total aid to basic education as reported by the DAC-CRS.

⁵¹ Non-DAC members are not included in this analysis.

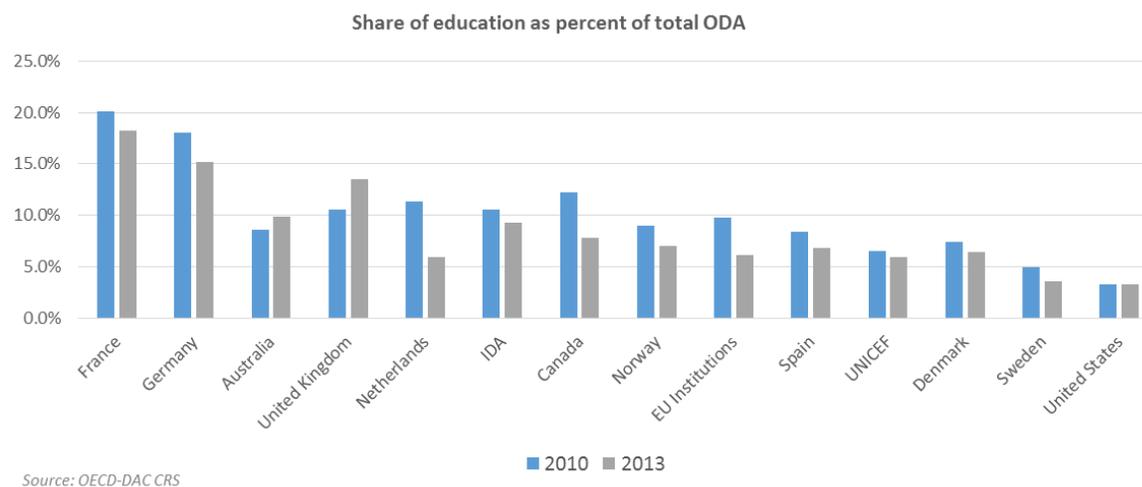
Exhibit 1.5



Aid to education as a share of total ODA

In addition to the decline in the volume of aid to education, education as a share of total ODA also decreased between 2010 and 2013. For top donors to education such as France (1.9%), Germany (2.8%), the Netherlands (5.4%), and Canada (4.5%), aid to education as a percent of total ODA has decreased. On the other hand, the UK (2.9%) and Australia (1.3%) increased the share of total aid allocated to education during the same period (see Exhibit 1.6).⁵²

Exhibit 1.6



Aid to education as a percent of total ODA

Donor	Year		Change p.p
	2010	2013	
Australia	8.6%	9.8%	1.3%
Canada	12.2%	7.8%	-4.5%
Denmark	7.4%	6.4%	-1.0%
France	20.1%	18.2%	-1.9%
Germany	18.0%	15.2%	-2.8%
Netherlands	11.3%	6.0%	-5.4%
Norway	9.0%	7.0%	-1.9%
Spain	8.4%	6.8%	-1.6%
Sweden	4.9%	3.6%	-1.3%
United Kingdom	10.5%	13.5%	2.9%
United States	3.2%	3.3%	0.0%
EU Institutions	9.8%	6.1%	-3.7%
IDA	10.6%	9.3%	-1.3%
UNICEF	6.5%	5.9%	-0.6%

Source: OECD-DAC CRS

⁵² Donor's GPE contributions are included in total aid to education figures in this analysis.

Aid to basic education as a share of total aid to education

The share of education aid dedicated to basic education has also decreased among top donors. Between 2010 and 2013, UNICEF, Sweden, and the Netherlands reduced basic education as a share of aid to education by 23.1, 19.6, and 16.3 percentage points. However, Australia (8.7 percentage point increase) and Norway (7.9 percentage point increase) disbursed a higher share of education aid to basic education in 2013 relative to 2010 (see Exhibit 1.7).

Exhibit 1.7

Aid to basic education as a percent of total aid to education			
Donor	Year		Change
	2010	2013	p.p
Australia	47.7%	56.4%	8.7%
Canada	49.1%	52.4%	3.3%
Denmark	52.6%	45.0%	-7.5%
France	20.4%	14.7%	-5.7%
Germany	18.8%	15.7%	-3.1%
Netherlands	56.4%	40.1%	-16.3%
Norway	65.7%	73.6%	7.9%
Spain	56.2%	43.5%	-12.7%
Sweden	77.2%	57.6%	-19.6%
United Kingdom	56.7%	50.6%	-6.1%
United States	72.5%	78.1%	5.6%
EU Institutions	46.5%	38.1%	-8.4%
IDA	53.1%	41.5%	-11.6%
UNICEF	96.7%	73.6%	-23.1%

Source: OECD-DAC CRS

GPE Disbursements and Contributions, and aid to basic education

This section analyzes trends in GPE disbursement, donor contributions to GPE, and aid to basic education. It explores whether GPE contributions may, in certain instances, have displaced or been a substitute for other recipients of education aid.

GPE disbursements and aid to basic education by year⁵³

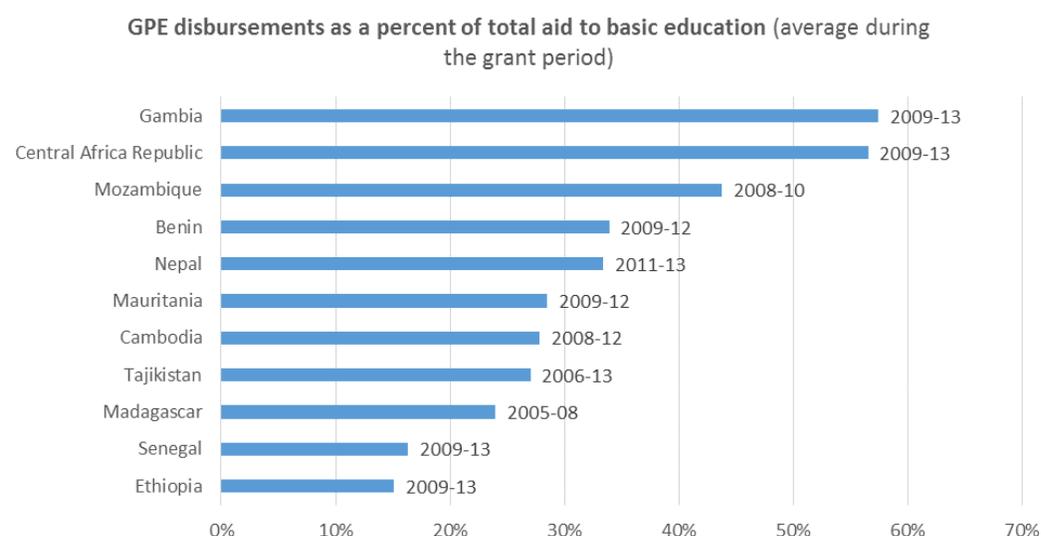
Despite the decline in total aid to basic education between 2010 and 2013, GPE disbursements have increased from US\$ 252 million to US\$ 334 million in the same period (see Exhibit 2.1). As a result, among developing country partners (DCPs) that receive GPE funding, GPE has become an increasingly important financier of basic education. In Gambia and Central African Republic for example, GPE grants accounted for more than 50% of total aid to basic education. Even in countries that have historically been large recipients of aid, GPE still commands a relatively large share of total aid to education. For example, Nepal's most recent GPE grant provided almost 35% of total aid to basic education between 2011 and 2013 (see Exhibit 2.2). On average, GPE disbursements as a share of total aid to basic education increased from 19% pre-2010 to 21% post-2010.

⁵³ As previously mentioned, GPE disbursements are not reported to the DAC at country level. To include GPE disbursements as part of total aid to basic education, GPE disbursements have been added to aid to education figures.

Exhibit 2.1

Aid to Basic Education among GPE grant receiving DCPs, disbursements in constant 2012 USD, millions										
	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
Number of DCPs who received a										
GPE disbursement	5	9	12	16	15	23	24	31	31	40
Aid to basic education	133.5	316.7	319.5	457.5	631.4	1086.5	914.8	1208.5	1291.3	1513.9
GPE Disbursements	18.5	69.8	60.9	133.7	220.1	232.7	251.9	375.9	353.9	334.2
GPE + Aid to basic education	152.1	386.5	380.3	591.2	851.4	1319.1	1166.7	1584.4	1645.3	1848.0
GPE Share of total	12%	18%	16%	23%	26%	18%	22%	24%	22%	18%

Source: OECD-DAC CRS

Exhibit 2.2


Source: OECD-DAC & GPE Secretariat

GPE Pledging Conference

Between 2010 and 2014, GPE approved approximately US\$ 2.7 billion and held two pledging conferences to replenish its resources. The introduction of pledging conferences was an important post-2010 development, intended to strengthen GPE resource mobilization efforts.

The first pledging conference in Copenhagen in October 2011 was attended by representatives of 52 donor and developing country governments, multilateral, civil society and private sector organizations. The conference resulted in 57 pledges totalling US\$ 1.5 billion towards the envisaged target of US\$ 2.5 billion before the end of the three-year replenishment period.⁵⁴ Additional contributions following the conference brought overall pledges to approximately US\$ 2 billion.

The second replenishment conference, hosted by the European Commission in Brussels in June 2014, was attended by more than 800 participants from 91 countries and resulted in 85 financial pledges and policy commitments.⁵⁵ Donors have pledged US\$ 2.1 billion, thus far falling short of the target of US\$ 3.5 billion, though it is worth noting that the target is over four years. Developing country governments pledged US\$ 26 billion in support of education over the replenishment

⁵⁴ Pledging Conference Summary Report, 2011, p. 2

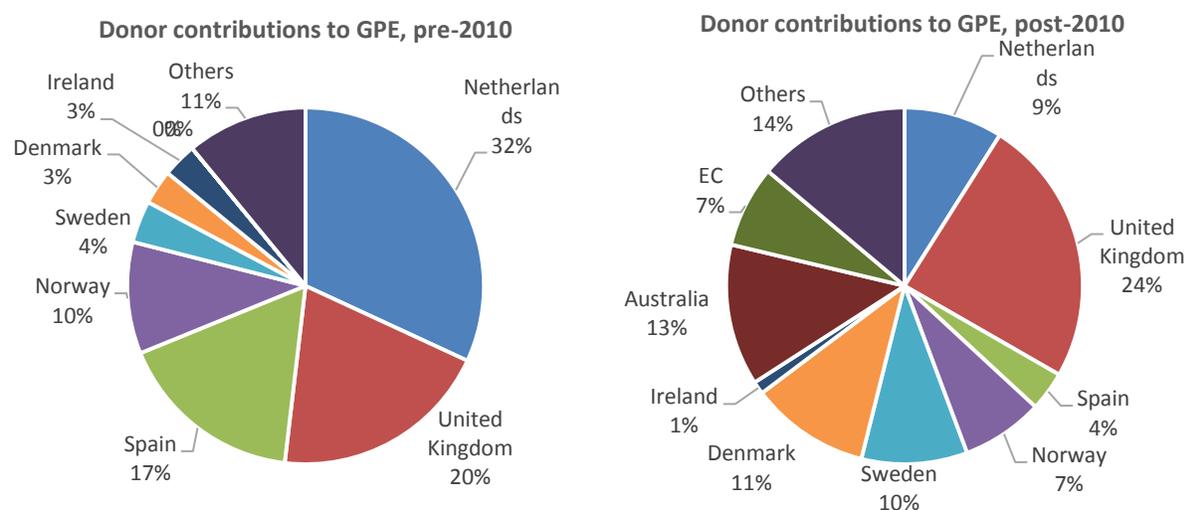
⁵⁵ GPE Final Pledge Report: Second Replenishment Pledging Conference

period. Two private foundations -- the Children’s Investment Fund Foundation (CIFF) and Dubai Cares -- pledged donations for the first time to the GPE Fund, totaling US\$ 23 million. Currently, GPE has 22 bilateral donors.⁵⁶

Donor contributions to GPE

Since 2010, there have been notable shifts in the relative share of GPE contributions by donor. Between 2004 and 2009, the Netherlands was the largest contributor to the Partnership (32%) followed by the UK (20%) and Spain (17%), as shown in Exhibit 2.3 below. Since 2010, both Spain and the Netherlands have significantly reduced their contributions to GPE, mostly due to shifts in aid priorities. The UK has continued its strong commitment to GPE and is now the largest contributor, although the UK’s continued support is also conditional upon other donors committing a specific proportion of all resources.⁵⁷ The decrease in contributions from previous large donors has been mitigated by an increase in contributions from the EC, Australia, and Sweden.

Exhibit 2.3 Share of donor contributions to GPE, pre and post 2010



GPE contributions and aid to basic education

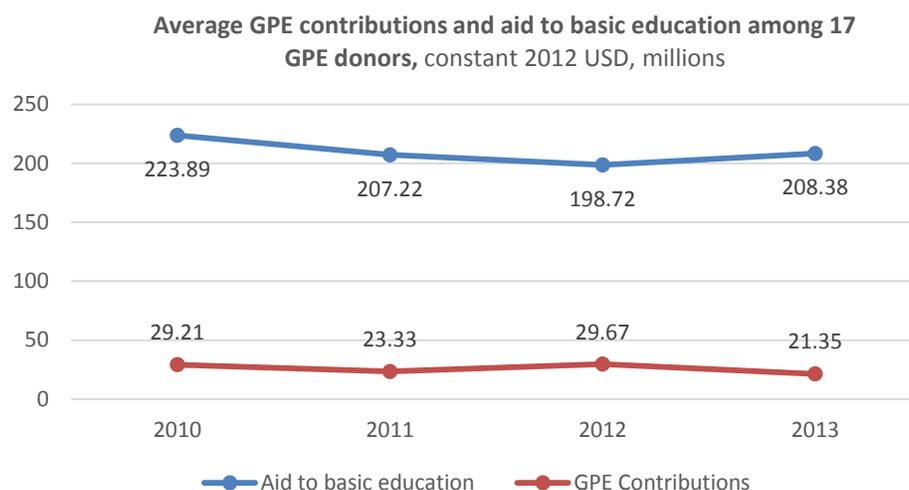
Despite notable increases from countries such as Australia and the UK, the total volume of aid from GPE donor partners has decreased since 2010.⁵⁸ Taking into account all GPE donor countries, average disbursements to basic education among GPE donor members decreased from US\$224 per year in 2010 to US\$208 million in 2013 (see Exhibit 2.4). Similarly, average GPE contributions among the same donors also decreased in the same time period, from US\$29 million to US\$21 million - a decrease primarily driven by the EC, Sweden, and Spain.

⁵⁶ There are a few donor members who have not contributed to the GPE in recent years like Romania and Russia. If CIFF and Dubai Cares are added, there are a total of 24 donors to the GPE fund.

⁵⁷ The UK made a pledge of up to £300 million over 4 years, contingent upon continued GPE reform, support from other donors, and its contribution not exceeding 15% of the total amount pledged.

⁵⁸ Japan’s large 2013 figure is due a significant increase in general budget support, accounting for over 50% of Japan’s total aid figure.

Exhibit 2.4



For some donors, their decrease in bilateral aid to basic education coincided with increased GPE contributions as some donors, according to interviews, perceived GPE as a better channel to extend their geographic reach as they ramped down total funding. This was the case in countries such as Belgium and Denmark, where increases in GPE contributions represented a significant portion (nearly half) of the total decrease in bilateral aid to basic education, suggesting at least some degree of substitution. For Canada, the EU, Spain, Italy, Netherlands, and Sweden, aid to basic education and GPE contributions both decreased, while only Australia, Japan, Switzerland, the UK, and the US increased contributions to the Global Partnership *and* increased their aid to basic education (see Exhibit 2.5 below).

Exhibit 2.5. Donor contributions to GPE and aid to basic education⁵⁹

Aid to basic education and GPE, GPE donor members, constant 2012 USD, millions

	Aid to basic education, disbursements				Contributions to GPE				Combined
	2010	2013	% change		2010	2013	% change		Total Change
			2009-2013	Net change			2009-2013	Net change	
Belgium	30.5	20.3	-34%	-10.2 ▼	7.2	11.6	61%	4.4 ▲	-5.9 ▼
Canada	231.36	147.2	-36%	-84.2 ▼	24.9	0.0	-100%	-24.9 ▼	-109.1 ▼
Denmark	58.61	13.0	-78%	-45.6 ▼	26.2	50.9	94%	24.6 ▲	-21.0 ▼
EU Institutions	464.8	376.0	-19%	-88.8 ▼	106.7	3.1	-97%	-103.6 ▼	-192.4 ▼
France	378.87	189.5	-50%	-189.4 ▼	1.8	23.0	1159%	21.2 ▲	-168.2 ▼
Germany	312.42	250.4	-20%	-62.1 ▼	6.9	9.3	34%	2.4 ▲	-59.7 ▼
Ireland	33.79	17.0	-50%	-16.8 ▼	5.2	6.9	33%	1.7 ▲	-15.1 ▼
Italy	20.35	19.1	-6%	-1.3 ▼	4.2	2.0	-51%	-2.1 ▼	-3.4 ▼
Netherlands	264.63	45.9	-83%	-218.7 ▼	50.3	41.2	-18%	-9.1 ▼	-227.8 ▼
Norway	205.55	187.2	-9%	-18.4 ▼	19.1	39.5	107%	20.4 ▲	2.0 ▲
Spain	119.00	33.4	-72%	-85.6 ▼	82.4	0.0	-100%	-82.4 ▼	-168.0 ▼
Sweden	70.80	63.0	-11%	-7.8 ▼	50.1	15.2	-70%	-34.9 ▼	-42.7 ▼
Australia	135.54	219.8	62%	84.3 ▲	19.6	30.6	56%	11.0 ▲	95.3 ▲
Japan	351.11	612.5	74%	261.4 ▲	1.2	5.1	306%	3.8 ▲	265.2 ▲
Switzerland	16.01	34.6	116%	18.6 ▲	1.4	7.0	400%	5.6 ▲	24.2 ▲
United Kingdom	445.2	646.2	45%	201.0 ▲	88.3	96.5	9%	8.2 ▲	209.3 ▲
United States	667.46	667.5	0%	0.0 ▲	0.9	21.0	2147%	20.1 ▲	20.1 ▲
Total	3806.0	3542.5	-7%	-263.6 ▼	496.6	362.9	-27%	-133.7 ▼	-397.3 ▼

Source: OECD-DAC (2015)

⁵⁹ To prevent double counting, GPE contributions were subtracted from aid to basic education data.

If average disbursements and contributions are considered, the picture is moderately more encouraging. Although there was a decrease in the average annual aid to basic education from the period 2007-2010 to the period 2011-2013 among the same group of donors, average annual GPE contributions actually increased in between the two periods (see Exhibit 2.6). However, the increase in contributions were modest relative to the broader decline in the sum of disbursements and contributions.

Exhibit 2.6 Donor Contributions to GPE and Aid to Basic Education- Averages

Aid to basic education and GPE, GPE donor members, constant 2012 USD, millions									
	Aid to basic education, disbursements				GPE Contributions				Combined
	Average 2007-2010	Average 2011-2013	% change	Net change	2007- 2010	2011- 2013	% change	Net change	Total Change
Belgium	35.9	19.2	-46%	-16.7 ▼	2.9	10.5	256%	7.5 ▲	-9.1 ▼
Canada	223.43	165.00	-26%	-58.4 ▼	14.5	15.3	5%	0.7 ▲	-57.7 ▼
Denmark	39.74	33.62	-15%	-6.1 ▼	18.5	55.1	198%	36.6 ▲	30.5 ▲
EU Institutions	413.2	405.1	-2%	-8.1 ▼	32.2	9.1	-72%	-23.1 ▼	-31.2 ▼
France	321.25	230.55	-28%	-90.7 ▼	8.0	22.0	174%	13.9 ▲	-76.7 ▼
Ireland	38.85	25.03	-36%	-13.8 ▼	12.6	5.7	-55%	-6.9 ▼	-20.7 ▼
Italy	24.94	23.64	-5%	-1.3 ▼	6.6	1.9	-71%	-4.7 ▼	-6.0 ▼
Netherlands	330.06	95.64	-71%	-234.4 ▼	86.7	39.7	-54%	-47.0 ▼	-281.4 ▼
Norway	209.70	182.18	-13%	-27.5 ▼	25.6	37.1	45%	11.5 ▲	-16.1 ▲
Spain	120.19	56.30	-53%	-63.9 ▼	83.4	8.9	-89%	-74.4 ▼	-138.3 ▼
Sweden	84.36	66.04	-22%	-18.3 ▼	21.7	27.9	29%	6.2 ▲	-12.1 ▼
Australia	155.12	226.56	46%	71.4 ▲	6.5	41.5	538%	35.0 ▲	106.4 ▲
Germany	234.09	297.48	27%	63.4 ▲	5.3	8.0	50%	2.7 ▲	66.1 ▲
Japan	322.89	382.78	19%	59.9 ▲	1.2	3.7	204%	2.5 ▲	62.4 ▲
Switzerland	22.68	30.25	33%	7.6 ▲	1.0	5.2	415%	4.2 ▲	11.8 ▲
United Kingdom	435.6	569.9	31%	134.3 ▲	96.9	131.3	35%	34.4 ▲	168.6 ▲
United States	621.07	667.5	7%	46.4 ▲	0.390985	7.266763	1759%	6.9 ▲	53.3 ▲
Total	3633.0	3476.7	-4%	-156.3 ▼	424.2	430.2	1%	6.0 ▲	-150.3 ▼

Source: OECD-DAC (2015)

Interviewed global stakeholders and DCP representatives on the Board members consistently noted both the declining trend in aid to education and the lack of GPE influence in preventing such a decline. GPE's inability to prevent the Netherlands, once a significant donor to basic education and a major contributor to the GPE fund, from moving away from education was cited by several stakeholders as an example of GPE's weak leverage. In addition, three donors commented that the Partnership had not influenced their decisions to reduce aid levels. As one donor put it "there is no direct link between GPE's existence and our bilateral funding."

Impact of GPE membership on aid to education

This section explores the effect of GPE membership on aid flows to education, analyzing the impact of GPE membership by region and income level.

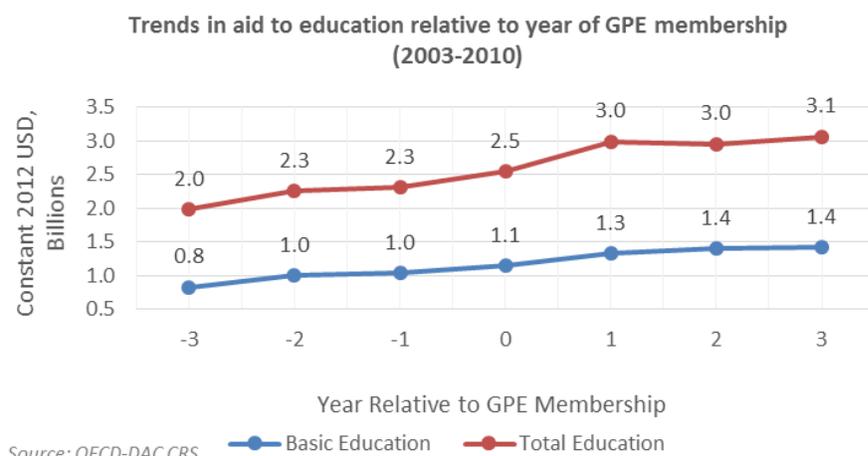
GPE membership and aid to basic education

Within a sample of 35 countries that joined GPE between 2003 and 2010, aid to education continued to increase after GPE membership, as shown in Exhibit 3.1⁶⁰. In this set of countries, cumulative aid to education increased from US\$2.5 billion during the year of GPE membership to

⁶⁰ Countries selected needed to have data for at least *three* years before and after GPE membership. Therefore, most countries included consisted of countries that joined the GPE prior to 2010.

US\$3.1 billion three years later. Aid to basic education also increased from US\$1.1 billion to US\$1.4 billion. However, it is worth noting that the majority of countries in this sample joined GPE prior to 2009, when global aid to education was still increasing.

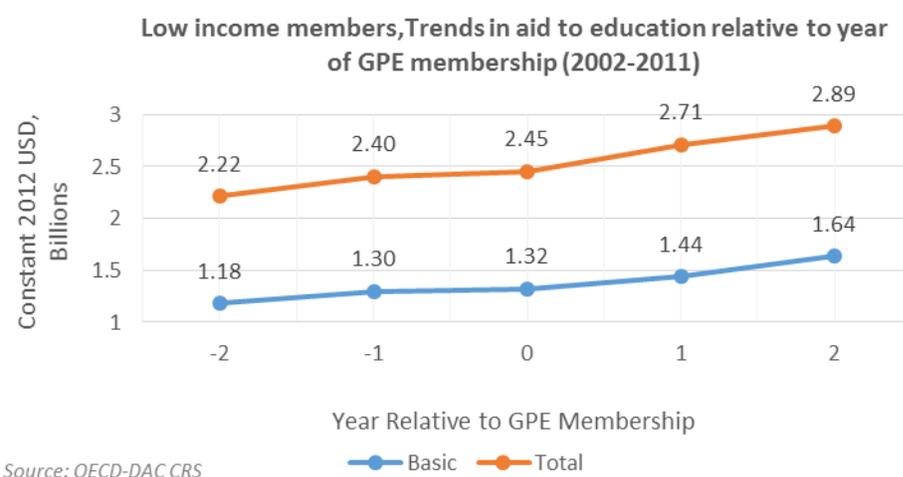
Exhibit 3.1



Impact of GPE membership on aid flows among low-income countries

Among a sample of 43 low-income DCPs, GPE membership did not lead to significant changes in aid flows.⁶¹ Aid to education in all low-income countries continued to increase even after GPE membership. Similarly, aid to basic education continued its upward trend following GPE membership (see Exhibit 3.2). The total amount of aid to basic education in all 43 low-income DCPs increased from US\$ 1.2 billion in the two years before GPE membership to US\$ 1.6 billion in the two years after membership.

Exhibit 3.2

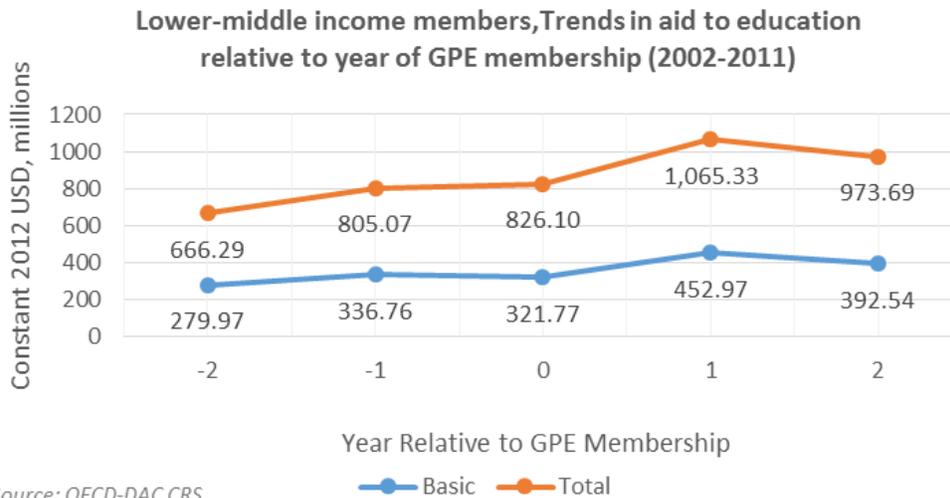


⁶¹ Countries selected had data for at least *two* years before and after GPE membership.

Impact of GPE membership on aid flows among lower-middle income countries

Unlike with low-income countries, aid to education in LMICs (relative to the year of GPE membership) decreased by the second year of membership. In 15 lower-middle income countries, total aid to basic education decreased from US\$453 million in the first year after membership to US\$393 million in the second year.

Exhibit 3.3

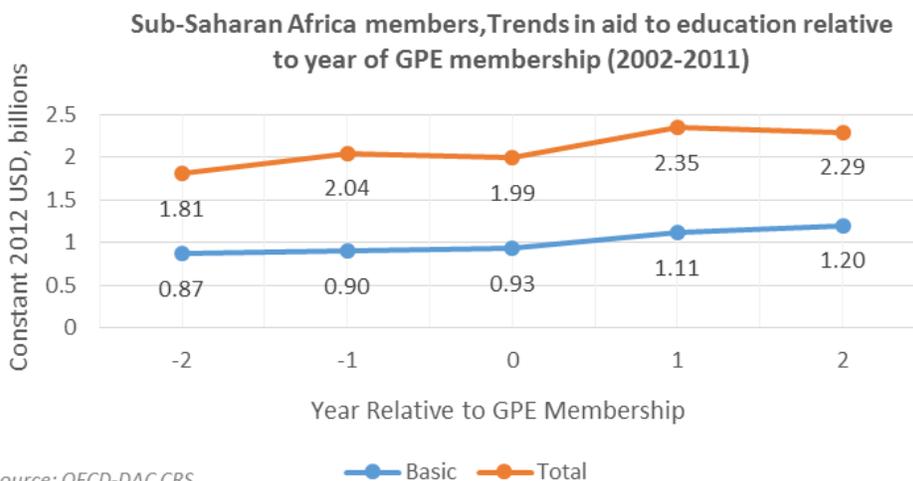


Source: OECD-DAC CRS

Impact of GPE membership on aid flows among SSA countries

Two years after GPE membership, a sample of 26 SSA DCPs experienced a cumulative decline in total aid to education, from US\$2.35 billion to US\$2.3 billion. However, aid to basic education continued to increase after GPE membership as shown in Exhibit 3.4 below. The total volume of aid to basic education increased among the 26 SSA DCPs from US\$930 million during the year of membership to US\$1.2 billion two years later.

Exhibit 3.4

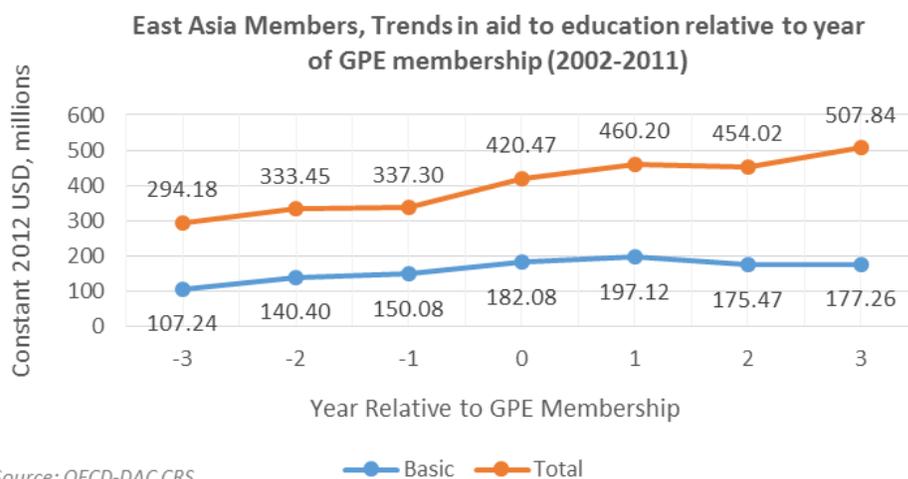


Source: OECD-DAC CRS

Impact of GPE membership on aid flows among East Asian members countries

Among a sample of 6 East Asian DCPs, aid to education significantly increased relative to the year of membership. The total volume of aid to education increased by 21% from US\$ 420 million during the year of membership to US\$ 507 million three years after membership. However, aid to basic education decreased to levels lower than the year of membership, from US\$182 million to US\$177 million three years after membership.

Exhibit 3.5



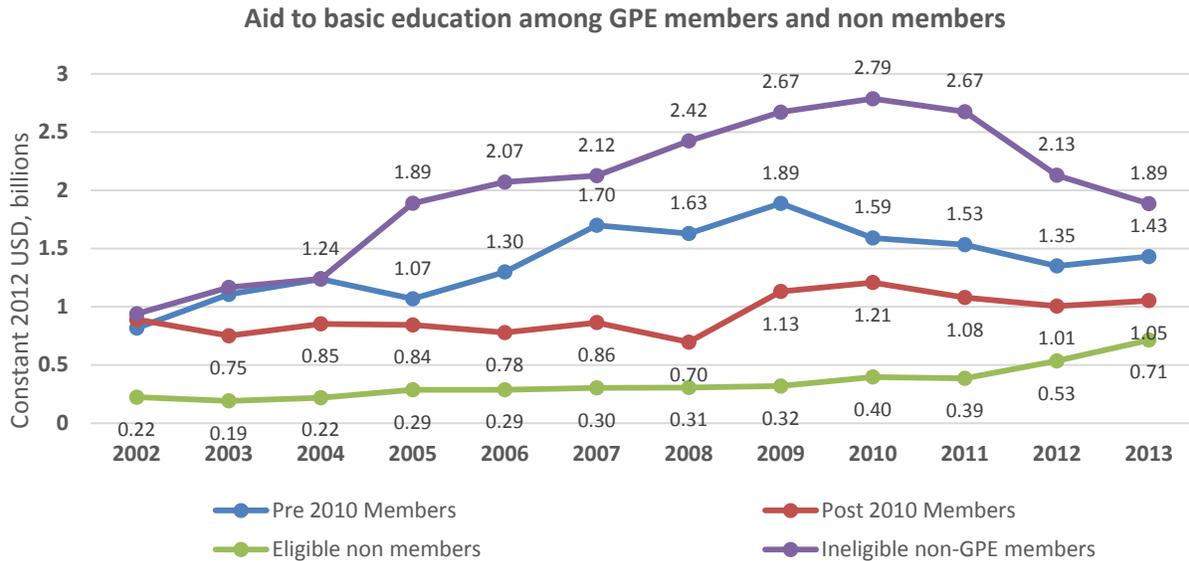
Aid to basic education among GPE members and non-members

A comparison of aid trends between GPE members and eligible non-members shows that aid to education among eligible non-members increased from 2009 to 2013 while aid to GPE members decreased during the same period.⁶² The sharpest declines in volume of aid to education were in non-GPE eligible countries, which are mostly middle income countries (see Exhibit 3.6).

⁶² Non-member but eligible countries are: Bangladesh, Bolivia, Cabo Verde, Republic of Congo, Dominica, Kiribati, Kosovo, Maldives, Marshall Islands, Micronesia, Myanmar, Samoa, Solomon Islands, Sri Lanka, St. Lucia, St. Vincent & Grenadines, Swaziland, Tonga, Tuvalu, and Vanuatu.

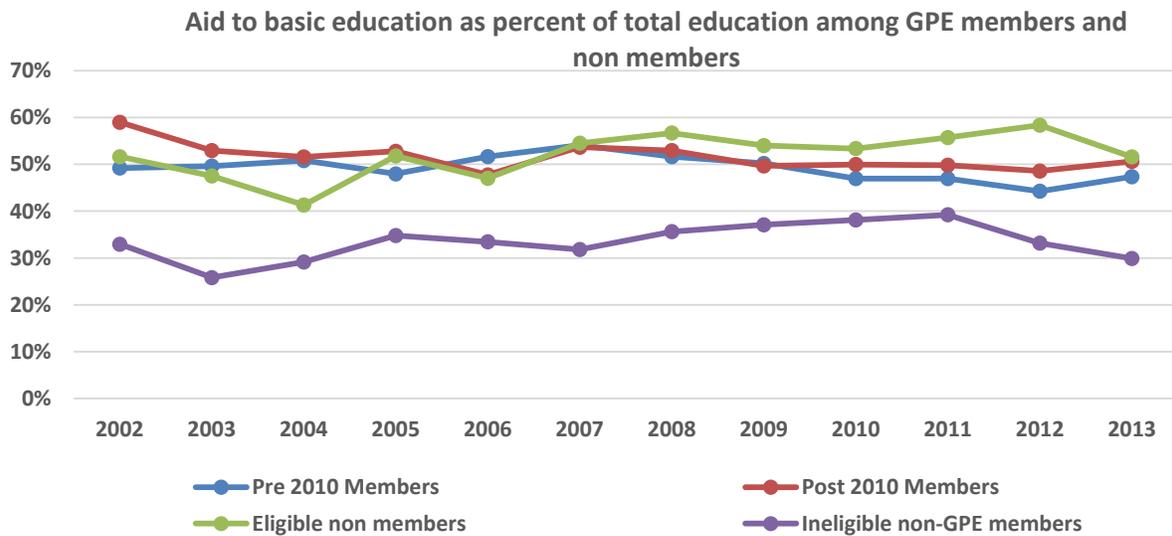
According to the GPE website, a country is eligible for a PIG if: It has an education sector plan endorsed by its development partners, and it is classified as low-income based on its Gross National Product per capita, or it is classified as an IDA-eligible small island or small landlocked developing state, or it is classified as lower-middle income based on its Gross National Product per capita and its primary completion rate is lower than 85%.

Exhibit 3.6



In addition, compared to GPE members, GPE eligible non-members have, since 2008, received a higher share of aid to basic education relative to other sub-sectors (see Exhibit 3.7).

Exhibit 3.7



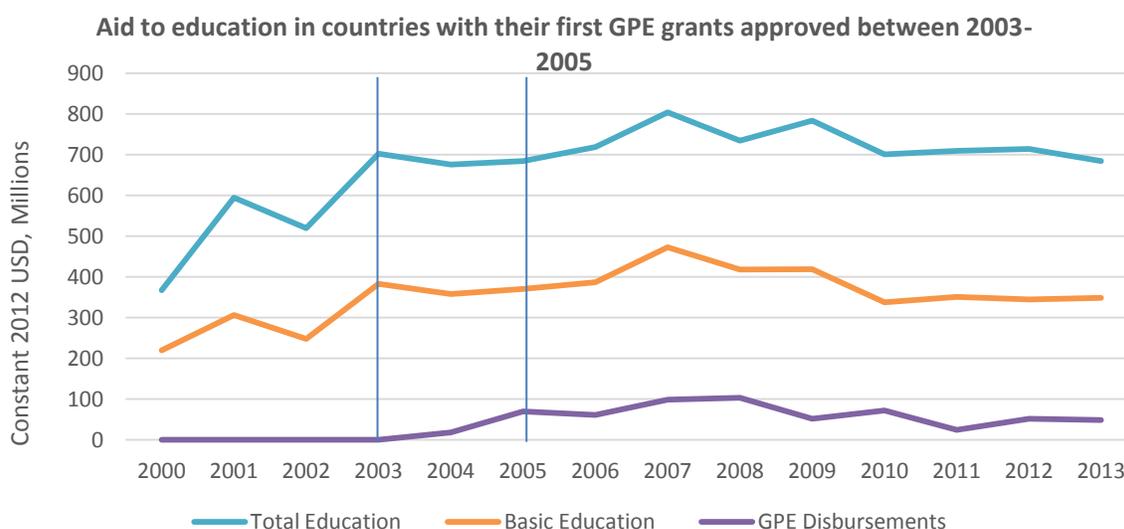
Impact of GPE grants on aid to education

This section presents analysis of the effect GPE grants have had on aid to education flows. In this analysis DCPs are divided into three samples:

- 1) Countries that had their first GPE grant approved between 2003 and 2005⁶³
- 2) Countries that had their first GPE grant approved between 2006 and 2009⁶⁴, and
- 3) Countries that had their first GPE grant approved between 2010 and 2012.⁶⁵

Among GPE members whose first grant was approved between 2003 and 2005, GPE grants do not appear to have significantly influenced aid to education flows. In fact, GPE disbursements within this sample of countries mirrored global aid trends (see Exhibit 4.1). Aid to education peaked in 2007 and has since declined. Similarly, GPE disbursements peaked in 2008 and have declined since.

Exhibit 4.1



Source: OECD-DAC CRS and GPE Disbursement Data

Aid to education significantly declined from 2009 to 2013 among the 16 countries that had their first GPE grants approved between 2006 and 2009. GPE disbursements, however, continued to increase until 2011. The sharp rise in GPE disbursements in 2011 was attributed to large disbursements to Ethiopia (US\$ 80 million), Burkina Faso (US\$ 35 million), Nepal (US\$ 30 million) and Zambia (US\$ 30 million). The increase in GPE disbursements *may* have mitigated the decline in

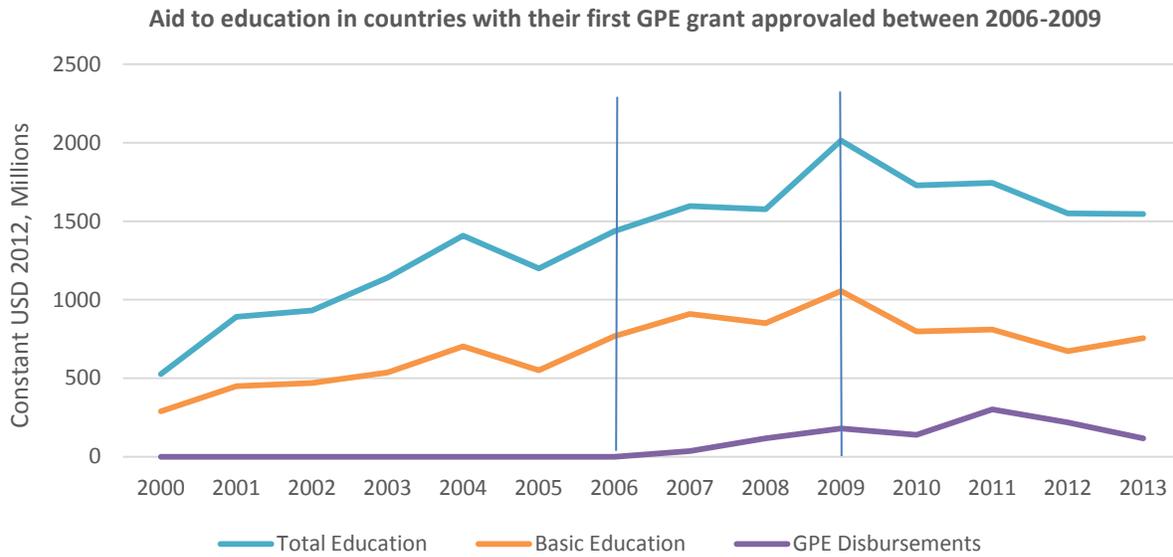
⁶³ Countries with first GPE grant approvals between 2003-2005 are: Djibouti, Gambia, Ghana, Guyana, Kenya, Lesotho, Madagascar, Mauritania, Moldova, Nicaragua, Niger, Tajikistan, Timor-Leste, Yemen.

⁶⁴ Countries with first GPE grant approvals between 2006-2009 are: Benin, Burkina Faso, Cambodia, Cameroon, CAR, Ethiopia, Kyrgyz Republic, Mali, Mongolia, Mozambique, Nepal, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Zambia.

⁶⁵ Countries with first GPE grant approvals between 2010 and 2012 are: Afghanistan, Burundi, Chad, DRC, Cote D'Ivoire, Guinea, Guinea-Bissau, Haiti, Lao PDR, Liberia, Malawi, Papua New Guinea, South Sudan, Sudan, Togo, and Vietnam.

aid between 2009 and 2011. However, GPE disbursements to this group of countries also began to decrease since 2011.

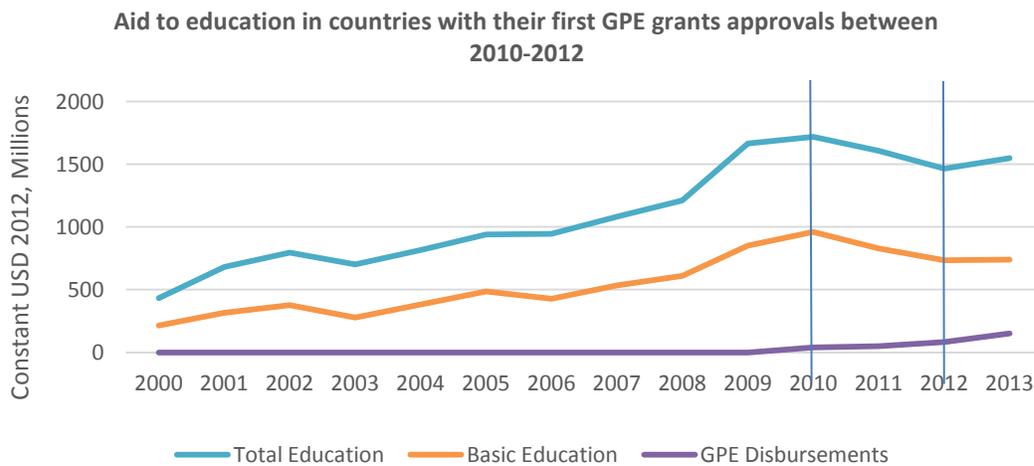
Exhibit 4.2



Source: OECD-DAC CRS and GPE Disbursement Data

Among the 16 countries that received their first GPE grant approval post-2010, GPE disbursements increased despite a decline in aid to basic education(see Exhibit 4.3). GPE disbursements in the sample of 16 countries increased from US\$ 39 million in 2010 to US\$150 million in 2013. Top recipients of GPE finance in 2013 among this group of countries include Burundi (US\$ 8 million) and Vietnam (US\$ 33.8 million).

Exhibit 4.3



Source: OECD-DAC CRS and GPE Disbursement Data

Comparison of IDA and GPE disbursements⁶⁶

This section reviews IDA and GPE disbursement trends among DCPs. Trend analyses were conducted in order to 1) explore changes in the geographic distribution of IDA and GPE financing, and 2) assess GPE's additionality to IDA financing of basic education.

The table below shows GPE members that are IDA-eligible countries, as well as those also creditworthy for International Bank for Reconstruction and Development (IBRD) borrowing, known as "blend" countries. All analyses use the sample of GPE/IDA countries, unless otherwise stated.

Exhibit 5.1

GPE/IDA countries					GPE/Blend countries
Afghanistan	Honduras	Somalia	Malawi	Ethiopia	Cameroon
Guinea	Sao Tome and Principe	Lesotho	Tanzania	Mozambique	Moldova
Guinea-Bissau	Burkina Faso	South Sudan	Congo (DRC)	Gambia	Mongolia
Guyana	Kenya	Central African Republic	Mali	Nepal	Nigeria
Benin	Senegal	Liberia	Côte d'Ivoire	Yemen	Pakistan
Haiti	Burundi	Sudan	Mauritania	Georgia	Papua New Guinea
Rwanda	Kyrgyz Republic	Chad	Togo	Nicaragua	Timor Leste
Bhutan	Sierra Leone	Madagascar	Djibouti	Zambia	Uzbekistan
	Cambodia	Tajikistan	Uganda	Ghana	Vietnam
	Lao PDR	Comoros	Eritrea	Niger	Zimbabwe

IDA and GPE disbursements

Globally, IDA disbursements to basic education have steadily decreased from 2004 to 2011. The decrease in IDA funding has been most pronounced in SSA, the region in which most GPE financing is directed. From 2004 and 2009, SSA accounted for 45% of total IDA disbursements to basic education. That share decreased to 28% between 2010 and 2013. The decrease in IDA disbursements to basic education in SSA has coincided with an increase in GPE disbursements to SSA.

Analysis of 11 sub-Saharan countries that joined GPE prior to 2006 shows that IDA disbursements to basic education have significantly declined from 2005 to 2011. This has coincided with increased GPE disbursements during the same period (see Exhibit 5.2).⁶⁷ This pattern of increased GPE disbursements coinciding with decreased IDA disbursement is also similar for 12 SSA DCPs that joined GPE between 2006 and 2009. IDA financing to basic education decreased from US\$23 million in 2006 to US\$9 million in 2013 among the 12 SSA DCPs. In contrast, GPE disbursements increased from US\$3 million to US\$81 million during the same time period.

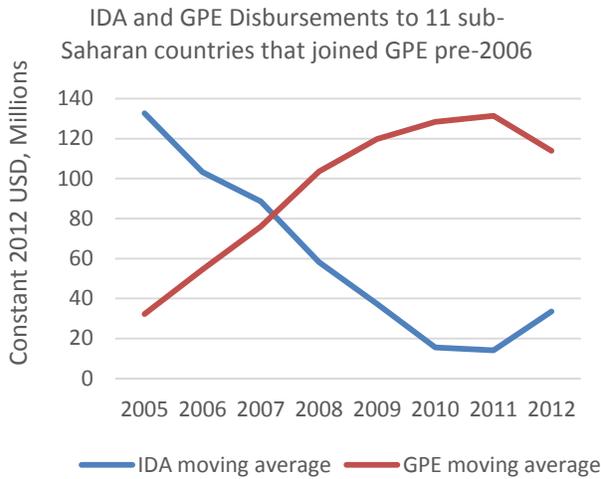
Although IDA has also decreased in non-SSA countries, the rate of decline has not been as steep. As shown in Exhibit 5.2, in eight non-SSA countries that joined GPE before 2006, steady levels of GPE disbursements has coincided with a decline in IDA. Among 9 non-SSA countries that joined GPE between 2006 and 2009, IDA has remained steady as GPE significantly increased disbursements to

⁶⁶ OECD-DAC CRS data are used in this analysis to ensure consistency and comparability among donors. The evaluation team acknowledges that results in this section can change if the World Bank's own data source is used.

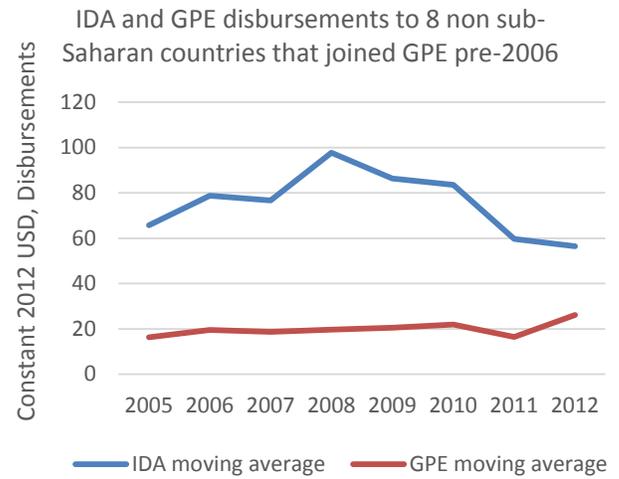
⁶⁷ 11 countries are Burkina Faso, Ethiopia, Gambia, Ghana, Guinea, Kenya, Lesotho, Madagascar, Mauritania, Mozambique, and Niger.

those countries. The large increase in GPE disbursements are primarily driven by grants to Nepal, Cambodia, and Lao PDR.

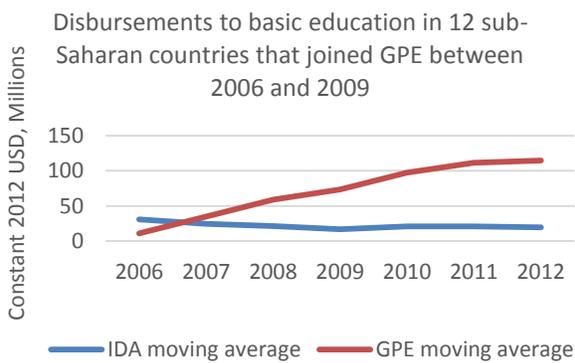
Exhibit 5.2 IDA and GPE Disbursements to GPE Members pre-2006 (Three year moving average)⁶⁸



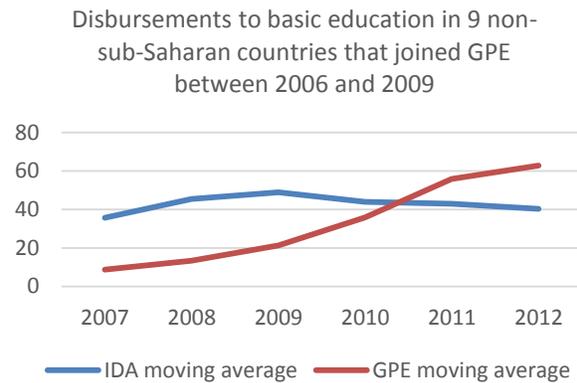
Source: OECD-DAC



Source: OECD-DAC



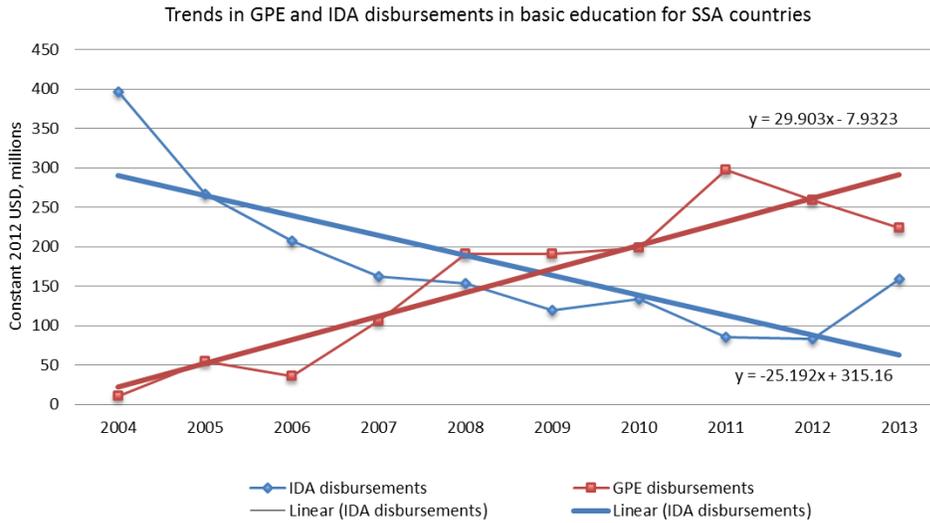
Source: OECD-DAC



Linear trend analysis also shows that the rate of increase of GPE funding is approximately equal to the rate of decline in IDA in SSA, which indicates the potential for high levels of substitution (see Exhibit 5.3).

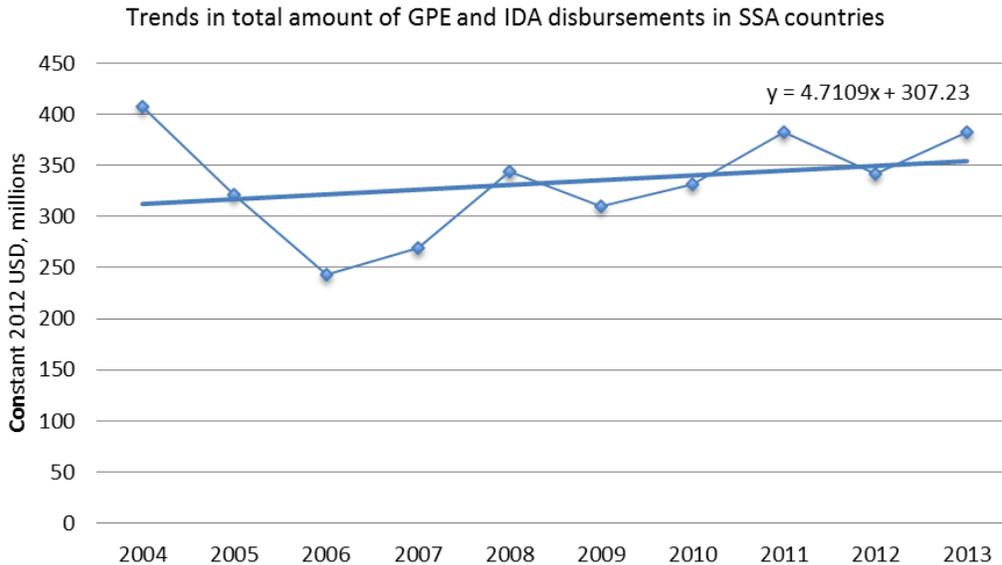
⁶⁸ IDA disbursements are from DAC-CRS using GMR's methodology for calculating basic education.

Exhibit 5.3



Source: oECD-DAC CRS

Exhibit 5.4



Source: OECD-DAC CRS

While **IDA substitution cannot be proven**, stakeholders asserted that its likely occurrence is attributable to the fact that World Bank Vice Presidents and country managers make decisions based on how to best allot a fixed allocation of IDA financing among the different sectors they manage. According to interviewees, if GPE funding helps cover basic education, World Bank managers are then able to reallocate funds in competing sub-sectors or sectors such as tertiary education, health, or transport. Commendably, the GPE Board and World Bank Executive Directors have discussed IDA-GPE substitution and exploring methods to reduce its incidence.

Evidence of substitution also exists in relation to the contributions of small donors with few bilateral channels to DCPs, as they are keen to use multilateral channels like GPE to more efficiently allocate their aid. Denmark and other Scandinavian countries, for example, view the Partnership as a convenient channel to expand the geographic reach of their funding. According to Denmark, GPE, like other multilateral institutions, allows its aid to reach a wider net of countries and education issues, such as girls, out-of-school children, and fragile and conflict affected countries. Netherlands argued that its withdrawal from Burkina Faso and Zambia would be mitigated by an increase in GPE financing to those countries.

The flow of aid to different regions and income groups⁶⁹

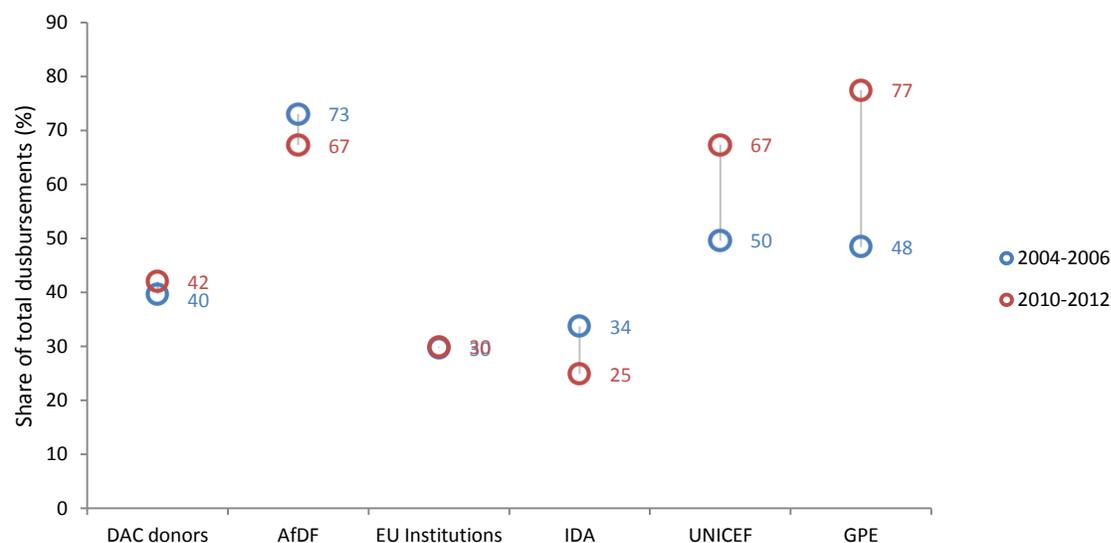
This section reviews trends in aid to basic education among different regions and income groups within GPE's portfolio. It compares disbursements to basic education from all donors to GPE disbursements between 2004 and 2013.

Low income countries

Since 2010, GPE has increased financing to low income countries. On average, the share of total disbursements to low income countries increased from 57% pre-2010 to 77% post-2010.

In comparison to other donors, GPE has had a greater focus on low income countries over the last decade. According to the GMR, GPE's share of total disbursements to basic education in 36 low income countries increased from 48% in 2004-06 to 77% 2010-12. In comparison, only UNICEF has matched GPE's focus on low income countries (see Exhibit 6.1 below).

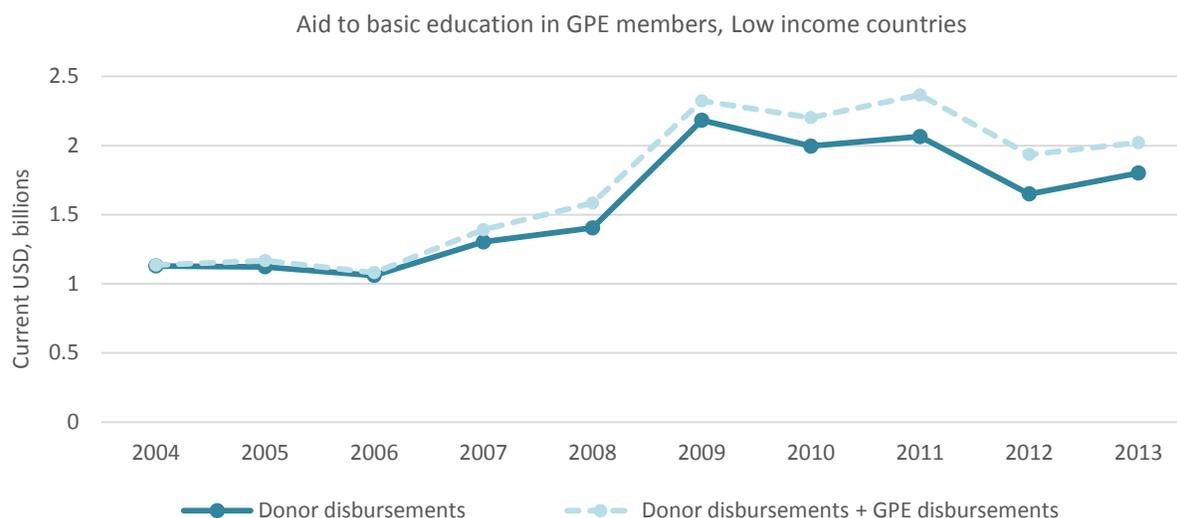
Exhibit 6.1 Share of total disbursements to basic education to 36 low income countries. Source GMR 2015.



⁶⁹ This analysis uses a fixed number of DCPs within each region and income group over time. As a result, analysis should be interpreted with caution as the number of actual DCPs change over time as new members join the GPE.

The dotted lines in Exhibit 6.2 demonstrate the sum of GPE and all other donor disbursements to basic education.⁷⁰ Analyses show that GPE disbursements represent a growing portion of total aid to basic education among low-income DCPs. The share of GPE disbursements to total aid to basic education increased from 9% in 2009 to 11% in 2013.

Exhibit 6.2



Source: OECD-DAC CRS

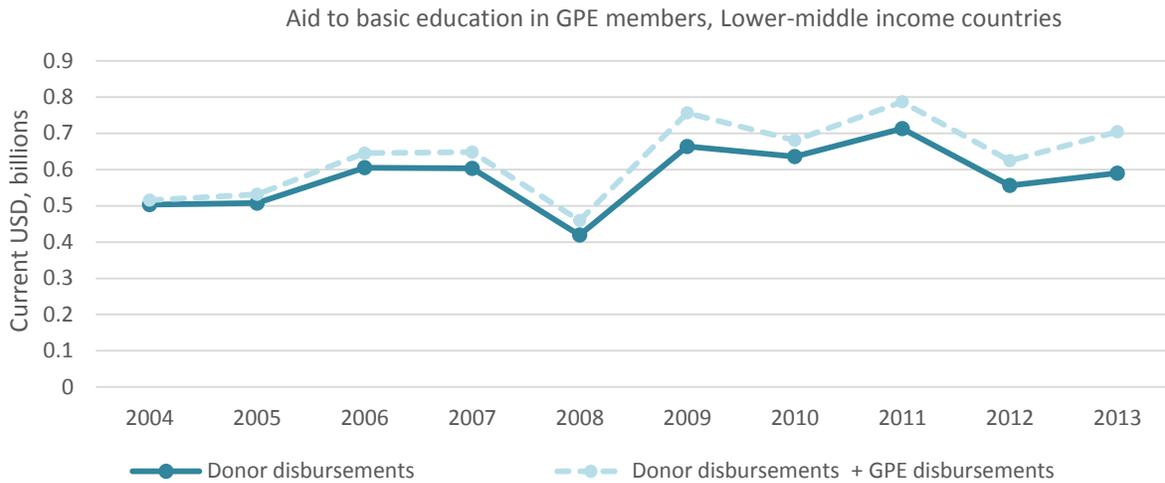
Lower-middle income countries

GPE has also become a significant financier to basic education in lower-middle income countries with disbursements to these countries increasing from US\$45 million in 2010 to US\$114.5 million in 2013. GPE disbursements represented nearly 16% of all aid to basic education in 2013.

GPE disbursements to lower-middle income countries as a share of total GPE disbursements have decreased over time. For example, in 2004, the share of GPE disbursements to lower-middle income countries was 67%, whereas in 2012, it was 19%.

⁷⁰ Most donors report their GPE contributions under the recipient “regional/bilateral unspecified.” As with previous country level analyses, it is assumed that little or no GPE flows are captured at country level. To be certain, the evaluation team also examined the CRS micro data to ensure GPE disbursements were not reported at country level and to prevent double counting. Therefore, the sum of GPE and all other donor disbursements provides a more accurate representation of aid flows.

Exhibit 6.3

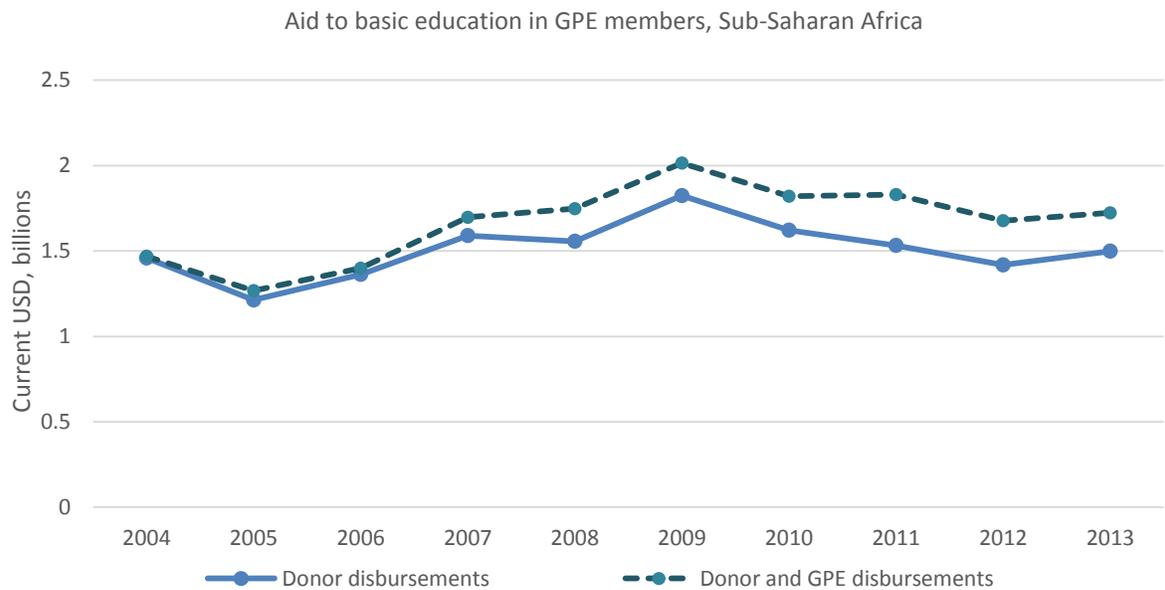


Source: OECD-DAC CRS

Sub-Saharan Africa

Donor disbursements (not including GPE) to DCPs in SSA decreased by 8% from US\$1.62 billion in 2010 to US\$1.5 billion in 2013. During this period, GPE disbursements to SSA increased, accounting for nearly 13% of all aid to basic education in 2013. As shown in Exhibit 6.4, when GPE disbursements are added to disbursements from other donors, the volume of total aid to basic education increases considerably. In 2013, GPE disbursed nearly US\$223 million to DCPs in SSA.

Exhibit 6.4



Source: OECD-DAC CRS

Distribution of GPE and donor aid

Since 2009, GPE has increased the geographical diversity of its grant recipients, especially in South Asia. In 2009, 82% of all GPE disbursements were received by SSA DCPs, with no funding disbursed to South Asia. In contrast, in 2013, 67% of all GPE disbursements were directed to SSA, 15% to East Asia and the Pacific, and 13% to South Asia. As of December 2013, GPE disbursements to South Asia had already totaled US\$ 120 million, establishing South Asia as the third largest regional recipient of GPE funding (see Exhibit 6.7).

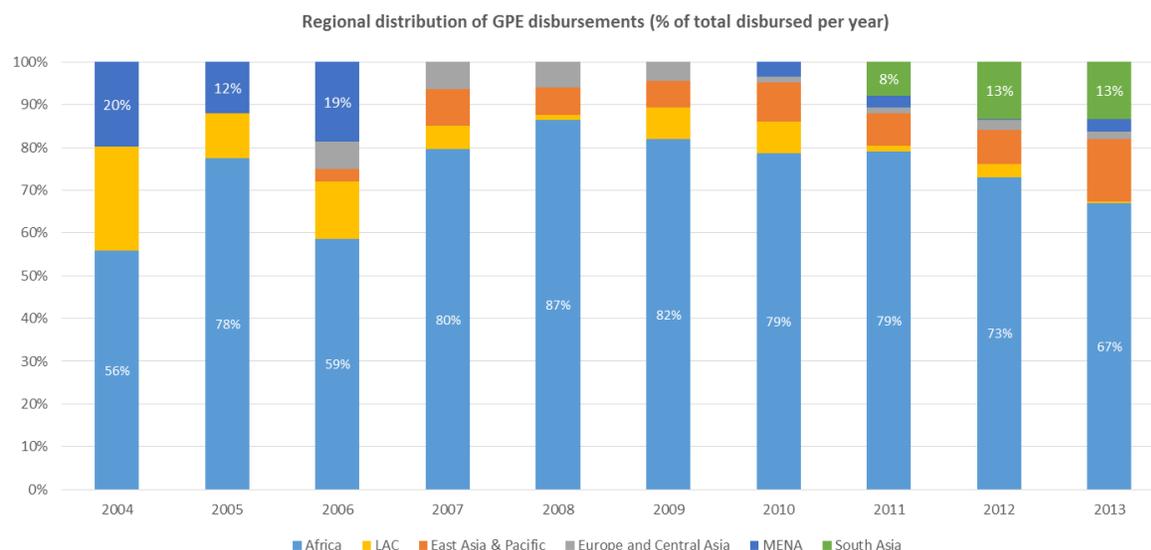
Furthermore, analysis shows that GPE’s distribution of funds in 2013 is comparable to the global geographic distribution. In 2013, 60% of all other donor disbursements were directed to SSA, 9% to East Asia and the Pacific, and 23% to South Asia (see Exhibit 6.5).

Exhibit 6.5 Percent Share of Aid to Basic Education among GPE Members by Region and Income Level

Percent share of aid to basic education among GPE members by region and income group											
Donor	Region	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
GPE	Sub-saharan Africa	56%	78%	59%	80%	87%	82%	79%	79%	73%	67%
	East Asia and Pacific	-	-	2%	8%	6%	6%	9%	8%	8%	15%
	South Asia	-	-	-	-	-	-	-	8%	13%	13%
	LAC	24.5%	10.5%	13.5%	5.5%	1.0%	7.4%	7.3%	1.4%	3.2%	0.5%
	Europe & CA	-	-	6%	6%	6%	6%	6%	6%	6%	6%
	MENA	20%	12%	19%	0%	0%	0%	3%	3%	0%	3%
	LMICs	33%	65%	35%	66%	82%	60%	82%	80%	81%	66%
	LMICs	67%	35%	65%	34%	18%	40%	18%	20%	19%	34%
All donors	Sub-saharan Africa	70%	63%	66%	62%	67%	60%	58%	59%	60%	60%
	East Asia and Pacific	7%	8%	9%	10%	8%	11%	9%	9%	9%	9%
	South Asia	14%	19%	15%	19%	14%	20%	22%	22%	21%	23%
	LAC	6%	5%	6%	4%	5%	4%	5%	5%	5%	5%
	Europe & CA	-	-	2%	2%	2%	2%	2%	2%	2%	2%
	MENA	2%	2%	2%	2%	3%	2%	2%	2%	2%	1%
	LMICs	54%	59%	51%	51%	60%	72%	71%	79%	70%	73%
	LMICs	24%	27%	29%	24%	18%	22%	23%	27%	24%	24%

Source: OECD-DAC CRS & GPE Secretariat

Exhibit 6.6



Source: GPE Secretariat

Exhibit 6.7

GPE disbursements, Constant 2012 USD							
Region	2004	2005	2006	2007	2008	2009	2004-2009
Africa	10,344,658	54,188,281	35,672,414	106,387,200	190,406,999	190,588,034	587,587,586
East Asia & Pacific	-	-	1,737,293	11,550,173	14,241,208	14,684,353	42,213,027
Europe and Central Asia	-	-	3,918,755	8,428,362	13,163,287	10,145,045	35,655,449
LAC	4,539,479	7,337,563	8,205,870	7,308,168	2,276,081	17,238,504	46,905,666
MENA	3,651,056	8,300,174	11,324,487	-	-	-	23,275,717
South Asia	-	-	-	-	-	-	-
Total	18,535,192	69,826,018	60,858,819	133,673,904	220,087,575	232,655,936	735,637,444

Region	2010	2011	2012	2013	2010-2013
Africa	198,261,705	297,345,031	258,565,223	223,590,753	977,762,712
East Asia & Pacific	23,098,145	28,203,996	27,771,570	48,978,212	128,051,923
Europe and Central Asia	3,403,662	5,536,060	8,421,229	5,443,589	22,804,541
LAC	18,351,785	5,141,260	11,209,265	1,598,500	36,300,808
MENA	8,758,219	10,367,628	945,900	9,990,623	30,062,369
South Asia	-	29,299,265	47,000,000	44,566,496	120,865,761
Total	251,873,515	375,893,239	353,913,187	334,168,173	1,315,848,114

Source: GPE Secretariat

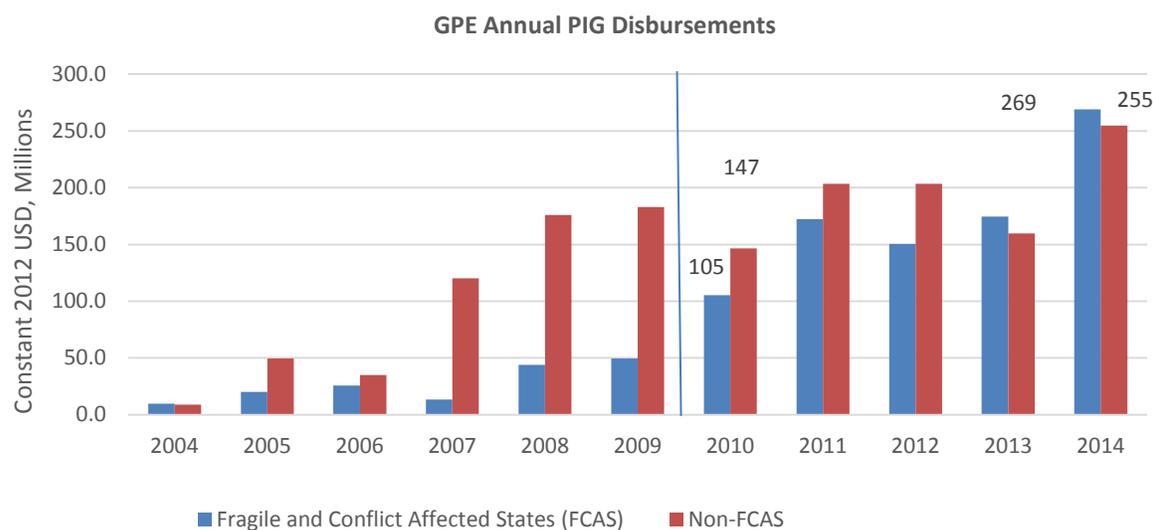
The flow of aid to fragile and conflict-affected states (FCAS)⁷¹

This section reviews aid to basic education among DPCs that are characterized as fragile and conflict-affected, taken from GPE's own definition of FCAS. The section also presents analysis on the impact of GPE membership on FCAS aid flows, trends in IDA and GPE disbursements, and the efficiency of the GPE grant approval and disbursement processes.

GPE disbursements to FCAS

In response to the 2010 evaluation that recommended the FTI develop a coherent, flexible response to fragile states, GPE provided additional financial support to FCAS DCPs. Since 2010, 16 additional fragile and conflict-affected states (FCAS) became GPE members and disbursements to FCAS have more than doubled; disbursements to FCAS increased from US\$ 105 million in 2011 to US\$ 269 million in 2014 (see Exhibit 7.1). In 2013 and 2014, disbursements to FCAS exceeded that to non-FCAS.

⁷¹ List of FCAS countries are drawn from the World Bank's Fragile Context List (2013-14) and UNESCO's Conflict-Affected list (2012-13) and include: Afghanistan, Burundi, Central African Republic, Chad, Comoros, DRC, Cote d'Ivoire, Eritrea, Ethiopia, Guinea-Bissau, Haiti, Liberia, Madagascar, Malawi, Mali, Nepal, Niger, Nigeria, Pakistan, Sierra Leone, Somalia, South Sudan, Sudan, Timor-Leste, Togo, Uganda, Yemen, Zimbabwe.

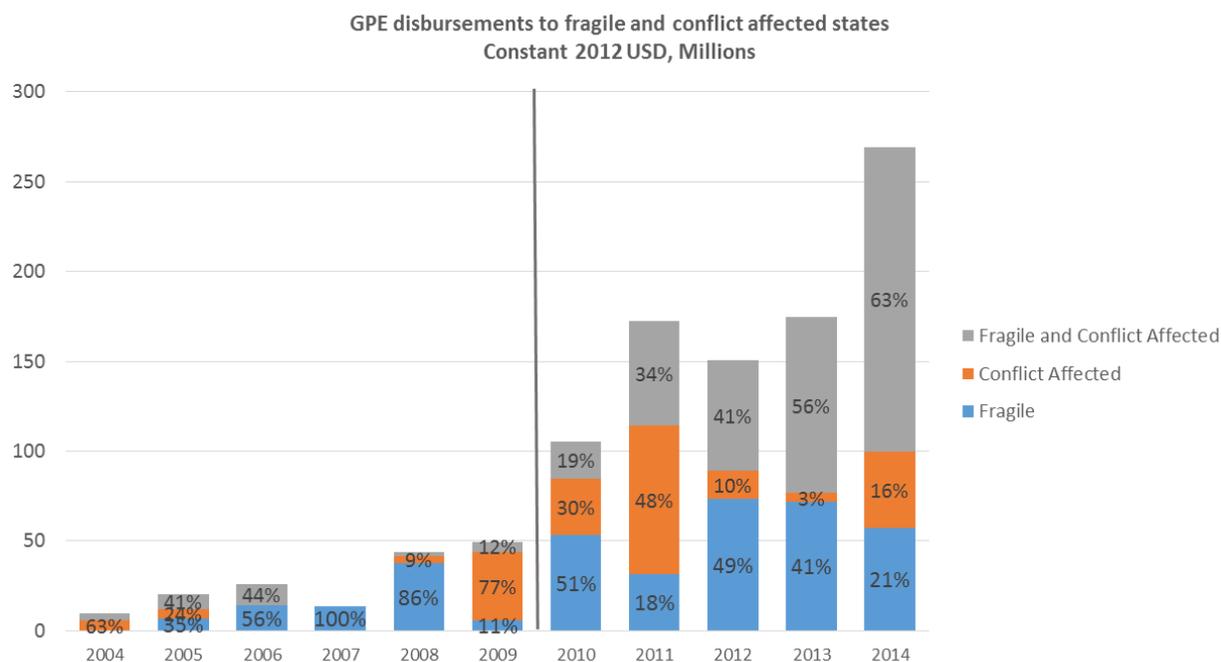
Exhibit 7.1 GPE Disbursements to FCAS and non-FCAS members

Source: GPE disbursement data

Since 2010, GPE has approved larger individual grants to FCAS. Between 2010 and 2013, the largest PIGs were approved to Ethiopia (US\$ 197 million), Madagascar (US\$ 134 million), and Uganda, Pakistan, and the DRC (US\$ 100 million each). The size of these grants are considerably larger than the pre-2010 period, where the top recipients - Nepal, Madagascar, and Ethiopia - were allocated US\$120 million, US\$ 75 million, and US\$ 69.5 million respectively.

The considerable increase in GPE's engagement and support to FCAS may, however, be somewhat inflated as the Partnership's categorization of FCAS combines the World Bank's fragile context list 2013/14 and UNESCO's conflict-affected list 2002-2013. The combined list contains more countries (categorized as either fragile, conflict-affected, or both) than either of the WB and UNESCO lists. Moreover, as shown in Exhibit 7.2, in 2010 and 2012, the largest share of funding within the broadly defined FCAS category has gone to fragile states, which encompass a fairly diverse set of countries, including some with seemingly low levels of political fragility. This raises an important question as to whether the countries in greatest need (i.e. conflict-affected) are receiving an adequate share of GPE resources. In 2010, 2012, 2013, 2014 for example, conflict-affected states received 30%, 10%, 3%, and 16% of total FCAS aid respectively (though countries categorized as both fragile and conflict-affected received significant shares in both years).

Exhibit 7.2

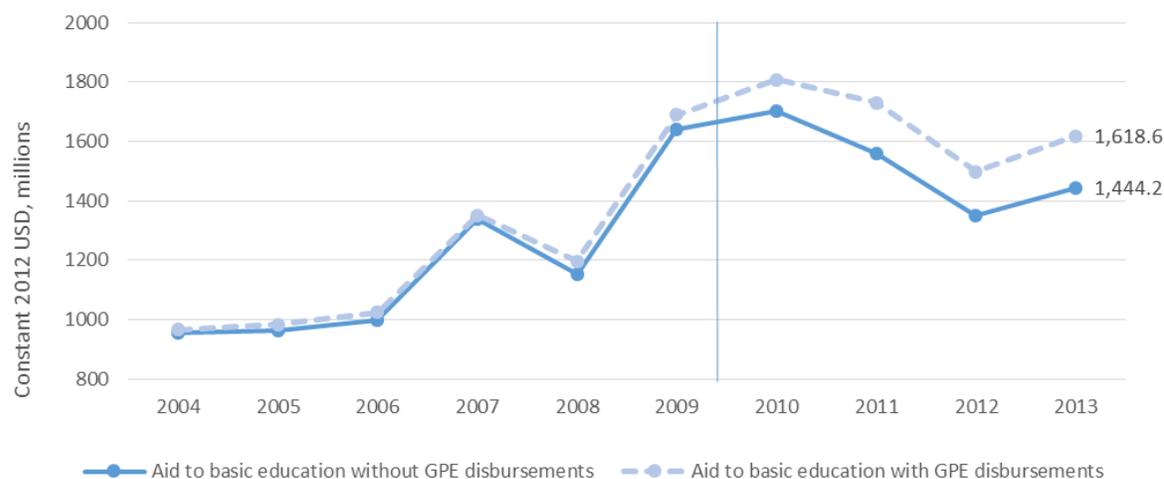


Aid to education from other donors

From 2010 to 2013, aid to basic education in GPE-supported FCAS countries decreased by 15% from US\$ 1.7 billion to US\$ 1.4 billion. The decrease in aid to basic education has been more pronounced in GPE fragile countries, with aid falling by 22% (US\$ 69 million) between 2010 and 2013. In comparison, aid to conflict affected countries decreased by 3% (US\$ 15 million) during the same period. Aid to basic education among non-FCAS GPE members decreased by only 5%, revealing a faster rate of decline for GPE FCAS than non-FCAS GPE countries. Exhibit 7.3 shows GPE disbursements to FCAS partners represent a significant part of total donor support for basic education in these countries.⁷² In 2013, GPE accounted for 11% of total aid (23% in fragile states and 1% in conflict-affected countries) in these settings.

⁷² Most donors report their contributions to GPE under regional or bilateral unspecified lines. As with previous country level analyses, it is assumed that little or no GPE flows are captured at country level. Under this assumption, including GPE disbursements into total aid figures would require adding GPE disbursements to DAC reported data on basic education at the country level.

Exhibit 7.3



Source: OECD-DAC CRS

Efficiency of funding process

There are no noticeable differences between FCAS and non-FCAS countries with respect to the efficiency of the processes needed to acquire funding (see Exhibit 7.4 & 7.5). Since 2010, the average time between approvals to first disbursement decreased in both categories of country. Within FCAS, there is considerable variance in disbursement times, with cases such as Yemen and Sierra Leone -- which had delays of 37 and 24 months between approval and first disbursement -- and others like Timor-Leste, which received its first disbursement 4 months after approval. According to the GPE 2014 Portfolio Review, the primary reason for post-2010 delays (for both FCAS and non-FCAS) in the time for program development is a more robust GPE quality assurance process, which is meant to ensure program relevance and alignment to GPE priorities and national education strategies.⁷³

Exhibit 7.4.

Average time for FCAS to develop a GPE program, get Board approval, and obtain first disbursement, in months										
	2006	2007	2008	2009	2010	2011	2012	2013	2014	Pre-2010 Post-2010
Development to approval	5.8	5.4	4.9	7.0	7.2	4.5	10.0	10.4	16.8	5.8 9.8
Approval to first disbursement	38.0	23.5	17.9	17.6	14.1	12.9	11.7	9.8	10.3	24.3 11.8

Source: Adapted from GPE Portfolio Review 2014

⁷³ GPE Portfolio Review 2014

Exhibit 7.5

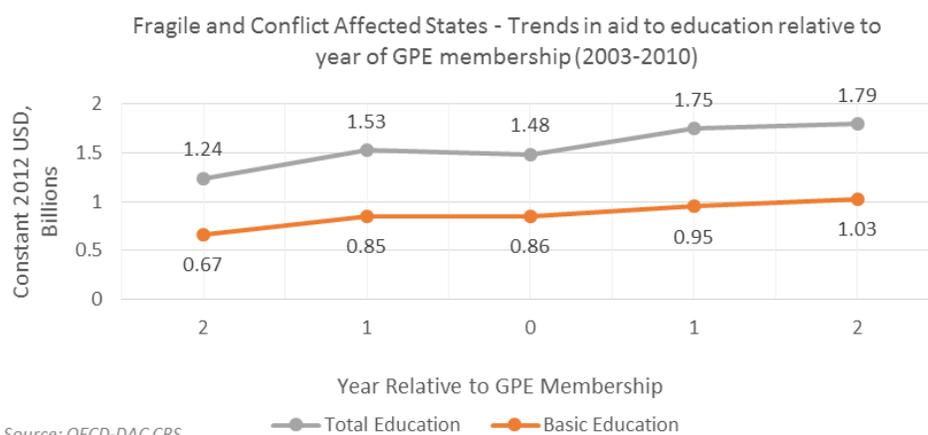
Average time for Non-FCAS to develop a GPE program, get Board approval, and obtain first disbursement, in months											
	2006	2007	2008	2009	2010	2011	2012	2013	2014	Pre-2010	Post-2010
Development to approval	7.2	7.2	9.1	7.7	5.9	8.3	8.8	9.2	16.7	7.8	9.8
Approval to first disbursement	17.6	21.6	22.6	20.3	19.6	19.3	9.6	9.3	9.9	20.5	13.5

Source: Adapted from GPE Portfolio Review 2014

Impact of GPE membership on aid flows

GPE membership does not appear to have significantly influenced the trends in aid to education among FCAS DCPs. Aid to education increased from US\$1.48 billion to US\$1.8 billion after two years of GPE membership (see Exhibit 7.6).

Exhibit 7.6



IDA disbursements

IDA disbursements to basic education in GPE FCAS decreased from 2009 to 2011. This decline has coincided with an increase in GPE disbursements to FCAS in the same time period (see Exhibit 7.7). However, the total amount of IDA and GPE disbursements to FCAS has collectively increased since 2004 (see Exhibit 7.8), an indication that GPE may have offset the reduction of IDA disbursements to basic education. It is unlikely that this increase represents net additional level of financing, as IDA disbursements have been decreasing from 2004 to 2011. However, it is possible that the growth in IDA and financing to FCAS between 2011 to 2013 has been “additional.”

Exhibit 7.7

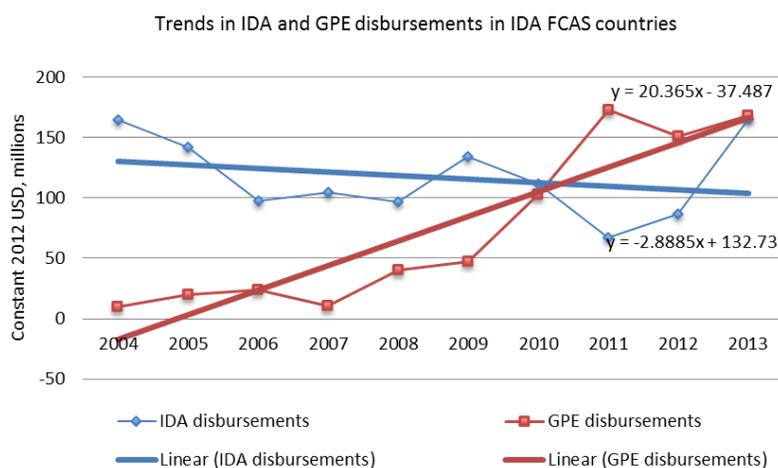
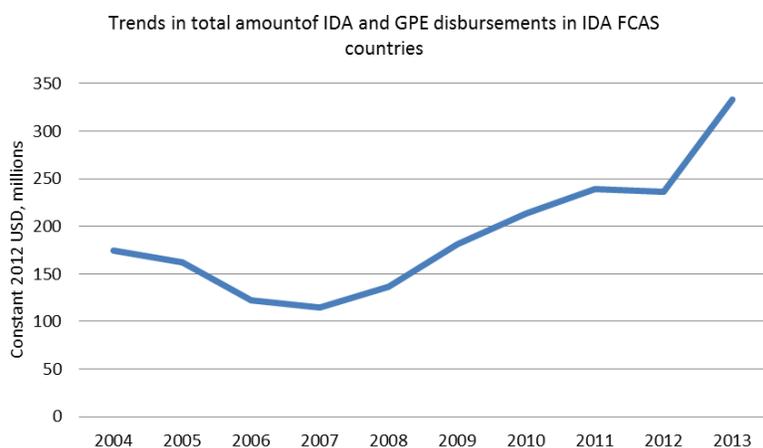


Exhibit 7.8



Domestic Financing for Total and Basic Education

Global public spending on education as a percentage of GNP in low income countries has increased since 1999, from 3.2% to 4% in 2012. Similarly, public education spending as a percent of GNP in lower-middle income countries increased from 4.4% to 4.9% in 2012. Public spending on education as a percent of government expenditure has also increased among low and lower-middle income countries. However, in South and West Asia, public spending on education as a percent of government expenditure decreased from 16.6% to 12.6%.

Exhibit 8.1

Public education spending					
	% of GNP		% of government expenditure on education		Per capita (primary education)
	1999	2012	1999	2012	2012
Low income	3.2	4	14.7	14.9	100
Lower middle income	4.4	4.9	15	15.6	467
Upper middle income	5	5.1	14.8	14.9	...
High income	4.9	5.4	12.4	12.3	6,085
Sub-Saharan Africa	3.9	4.9	14.8	18.4	136
Arab States	5.3	...	16.9
Central Asia	4	3.4	...	13	...
East Asia and the Pacific	5.1	3.4	13.8	17.5	...
South and West Asia	3.6	3.9	16.6	12.6	240
Latin America and the Caribbean	4.5	4.9	14.8	...	1,187
Central and Eastern Europe	4.4	4.9	12.7	11.7	4,478
North America and Western Europe	5.2	6	12.3	12.5	7,943

Source: UNESCO GMR

This section presents analysis of GPE's impact on domestic financing for education. It is organized in two sections. The first describes changes in DCPs' spending on education before and after GPE membership. The second section presents analysis of DCP's pledges and explores whether those pledges may represent "additional" funding.

Impact of GPE membership on government spending on education

Government spending on education as a percent of GDP

A comparison of government spending on education as a percent of GDP before and after GPE membership reveals that that, on average, DCPs increased education spending as a percent of GDP by 0.5 percentage points after joining the GPE, as seen in Exhibit 8.2.⁷⁴ Government spending on education as a percent of GDP increased the most after GPE membership in Sao Tome and Principe, Tajikistan, Gambia, and Senegal.

⁷⁴ The sample only includes countries with at least two observation years before and after joining GPE. The sample includes 28 countries with data available between 2000 and 2012. List of countries not included in the sample are: Afghanistan, Burkina Faso, Burundi, Central African Republic, Chad, Comoros, DR Congo, Cote d'Ivoire, Djibouti, Eritrea, Guinea-Bissau, Haiti, Honduras, Liberia, Moldova, Mozambique, Nepal, Nigeria, Pakistan, Papua New Guinea, Somalia, South Sudan, Sudan, Tanzania, Timor-Leste, Togo, Uganda, Uzbekistan, Vietnam, Yemen, Zambia and Zimbabwe.

Exhibit 8.2

Spending on education before and after joining the GPE						
<i>Government expenditure on education as % of GDP</i>						
Country	Year Joined GPE	Before	After	Change		
				p.p	%	
Guinea	2002	2.3	2.7	0.3	13.6%	
Guyana	2002	8.5	4.8	-3.7	-43.7%	
Mauritania	2002	2.6	3.3	0.7	25.6%	
Nicaragua	2002	3.0	3.5	0.5	18.1%	
Niger	2002	3.1	3.8	0.7	22.5%	
Gambia	2003	1.4	2.6	1.2	85.3%	
Ethiopia	2004	3.8	5.2	1.4	37.0%	
Ghana	2004	4.7	6.1	1.4	29.7%	
Kenya	2005	5.9	6.9	1.0	17.0%	
Lesotho	2005	12.9	13.4	0.6	4.4%	
Madagascar	2005	3.0	3.0	0.0	1.5%	
Tajikistan	2005	2.5	3.8	1.3	53.0%	
Albania	2006	3.2	3.3	0.1	2.4%	
Cambodia	2006	1.6	2.1	0.5	34.9%	
Cameroon	2006	2.9	3.3	0.4	14.7%	
Kyrgyzstan	2006	4.3	6.2	2.0	46.4%	
Mali	2006	3.7	4.3	0.6	16.4%	
Mongolia	2006	5.6	5.2	-0.4	-6.9%	
Rwanda	2006	4.8	4.6	-0.2	-4.8%	
Senegal	2006	3.6	5.4	1.8	48.1%	
Benin	2007	3.5	4.7	1.2	33.9%	
Georgia	2007	2.4	2.7	0.3	12.9%	
Sao Tome and Principe	2007	4.0	8.5	4.4	110.0%	
Sierra Leone	2007	3.5	2.7	-0.9	-24.8%	
Central African Republic	2008	1.5	1.2	-0.3	-19.4%	
Bhutan	2009	5.9	4.3	-1.6	-26.5%	
Lao People's Democratic Republic	2009	2.3	2.8	0.5	22.1%	
Malawi	2009	4.7	4.9	0.1	2.4%	
Average in GPE Developing country partners		4.0	4.5	0.5	12.6%	

Source: UIS

Education expenditure as percent of total government spending

Analyses suggest that GPE membership has had a marginal effect on increasing education expenditure as a percent of government spending. Following membership, education expenditure as a percent of government spending increased on average by 1%.⁷⁵ Changes in education expenditures as a percent of government expenditures for these countries are presented in table form in Exhibit 8.3 and as a graph in Exhibit 8.4.

⁷⁵ Only countries with data for at least two years before and after they joined the GPE were included in the sample.

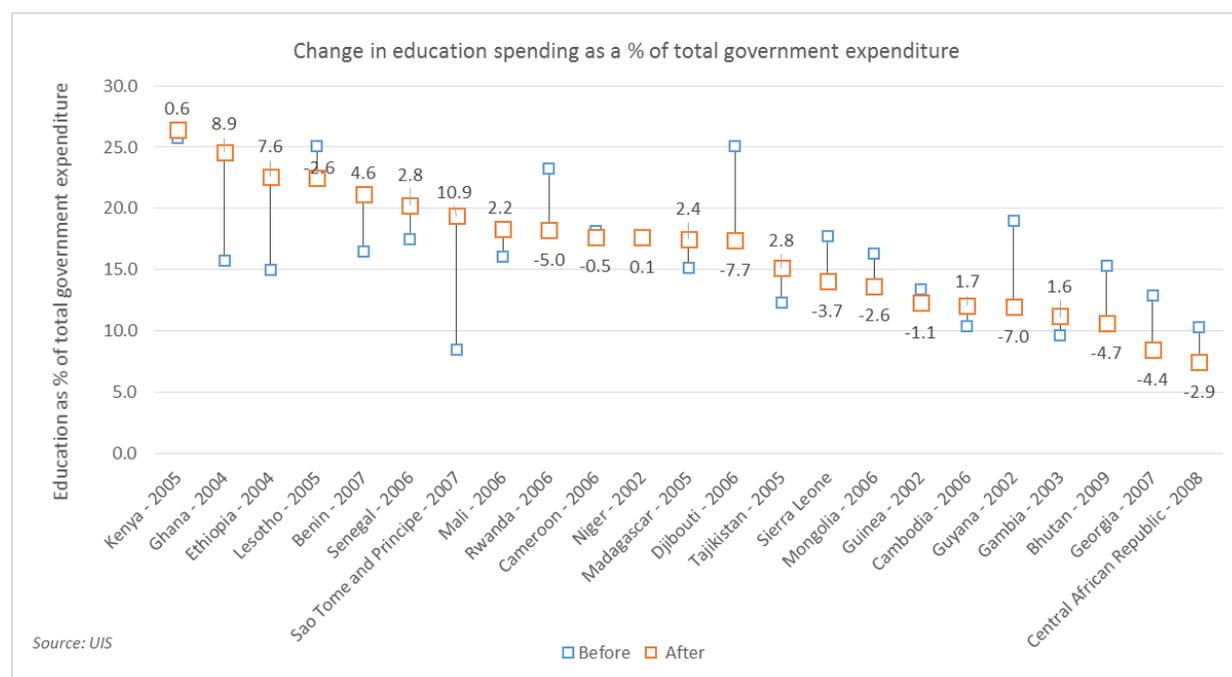
Exhibit 8.3

Spending on education before and after joining the GPE
Expenditure on education as % of total government expenditure

Country	Year Joined	Before	After	Change	
				p.p	%
Guinea	2002	13.4	12.3	-1.1	-8%
Guyana	2002	19.0	12.0	-7.0	-37%
Niger	2002	17.5	17.7	0.1	1%
Gambia	2003	9.6	11.2	1.6	16%
Ethiopia	2004	15.0	22.6	7.6	51%
Ghana	2004	15.7	24.6	8.9	56%
Kenya	2005	25.8	26.4	0.6	2%
Lesotho	2005	25.1	22.5	-2.6	-10%
Madagascar	2005	15.1	17.5	2.4	16%
Tajikistan	2005	12.3	15.1	2.8	23%
Cambodia	2006	10.4	12.1	1.7	16%
Cameroon	2006	18.2	17.7	-0.5	-3%
Djibouti	2006	25.1	17.4	-7.7	-31%
Mali	2006	16.1	18.3	2.2	14%
Mongolia	2006	16.3	13.7	-2.6	-16%
Rwanda	2006	23.2	18.2	-5.0	-22%
Senegal	2006	17.5	20.3	2.8	16%
Benin	2007	16.5	21.1	4.6	28%
Georgia	2007	12.9	8.5	-4.4	-34%
Sao Tome and Principe	2007	8.4	19.4	10.9	130%
Sierra Leone	2007	17.7	14.0	-3.7	-21%
Central African Republic	2008	10.3	7.5	-2.9	-28%
Bhutan	2009	15.3	10.7	-4.7	-30%
Average in GPE Developing country		16.37	16.55	0.2	1%

Source: UIS

Exhibit 8.4



A linear regression was also run to explore the effects of GPE funding on education expenditure.

The regression analysis used UIS data for education expenditure as a percentage of total government expenditure as well as GPE disbursements data from the GPE Secretariat. The sample includes 84 low and lower middle income countries including 59 GPE countries. The panel dataset includes a time series data from 2000-2013. The estimation equation is:

$$\frac{\text{Education expenditure}}{\text{Total govnt expenditure}_{it}} * 100\% = \beta_0 + \beta_1 \text{Funding} + \beta_2 \text{GDP}_{it} + \varepsilon_{it}$$

where $\frac{\text{Education expenditure}}{\text{Total govnt expenditure}_{it}}$ represents the share of education expenditure to total government expenditure of country i in year t ; Funding is a dummy variable that takes the value of 1 if a country receives GPE funding and 0 if not; GDP is the value of Gross Domestic Product in country i in year t ; β_0 represents the constant and ε_{it} is the error term.⁷⁶

Results show that education spending as a percent of total government expenditure in countries that receive GPE funding is on average 0.24% higher than in countries that do not. This suggests a positive correlation between GPE funding and domestic education expenditure among DCPs.

Government expenditure on primary education as a percent of government expenditure on education

The same accounting exercise was conducted to compare the impact of GPE membership on government spending on primary education as a percent of government expenditure on education. Results show that spending on primary education as a percent of government expenditure on education decreased on average by 0.8 percentage points after countries joined the GPE (see Exhibit 8.5). However, the results were skewed heavily by two countries: Malawi and Lesotho. If the two countries are removed from the sample, expenditure on primary as a percent of government expenditure on education increased in DCPs after GPE membership.

Exhibit 8.5

Spending on primary education before and after joining the GPE					
<i>Expenditure on primary as % of government expenditure on education</i>					
Country	Year Joined	Before	After	Change	
				p.p	Percent
Gambia	2003	57.2	62.1	5.0	8.7%
Lesotho	2005	50.5	38.1	-12.4	-24.6%
Madagascar	2005	44.0	52.3	8.3	18.9%
Benin	2007	52.0	55.6	3.6	7.0%
Central African Republic	2008	50.2	50.9	0.6	1.3%
Bhutan	2009	21.7	30.7	9.0	41.7%
Malawi	2009	54.6	34.7	-19.9	-36.4%
Average		47.1	46.3	-0.8	-1.7%

Source: UIS

⁷⁶ Interpretation of the regression analysis should be interpreted with caution as the model could include additional control variables and a larger sample size among other improvements.

Government spending on education among fragile and conflict-affected states

GPE membership appears to have had the greatest influence on government spending for education among DCPs considered as FCAS. Using the same accounting methodology described previously, government expenditure on education as a percent of GDP increased on average by 0.24 percentage points after GPE membership as seen in Exhibit 8.6.⁷⁷

Exhibit 8.6

Fragile States - Spending on education before and after joining the GPE

Government expenditure on education as % of GDP

Country	Year Joined GPE	Before	After	Change	
				p.p	%
Niger	2002	3.10	3.79	0.69	22.5%
Ethiopia	2004	3.79	5.20	1.40	37.0%
Madagascar	2005	2.99	3.04	0.05	1.5%
Mali	2006	3.72	4.33	0.61	16.4%
Sierra Leone	2007	3.55	2.67	-0.88	-24.8%
Central African Republic	2008	1.54	1.24	-0.30	-19.4%
Malawi	2009	4.74	4.85	0.11	2.4%
Average		3.35	3.59	0.24	7.2%

Source: UIS

DCP pledges and trends in government spending on education

In the second GPE replenishment conference, DCPs pledged an estimated US\$26 billion to finance basic education. Such a public commitment has been praised by many as a significant success in GPE's efforts to mobilize domestic resources for education.

However, analysis of DCP budget allocations to education following GPE's first pledging conference in 2011 presents a mixed picture. According to the GMR 2015, Mozambique and Zimbabwe managed to increase domestic resources available for education since 2011. However, Afghanistan, Bhutan, Lesotho, and Mali actually decreased government spending between 2011 and 2013 after having pledged to increase domestic resources to education⁷⁸.

To measure the potential influence of DCP pledges, simple linear analysis was conducted to identify the trend in the growth in public financing to education and to forecast education expenditure⁷⁹.

This analysis reveals that pledges positively alter the slope of 18 out of 22 country trend lines – meaning that such commitments surpass the forecasted level of growth in domestic financing for education (see Exhibit 9.1). However, these figures represent *pledges*; they will need to be carefully monitored to gauge whether GPE has truly influenced what is allocated to basic education.

⁷⁷ Due to data limitations, public expenditure on education as a % of GDP was the only indicator used in the analysis domestic financing trends among FCAS.

⁷⁸ Development Finance International, 2014

⁷⁹ A first linear regression was conducted to identify the coefficient of DCP's domestic financing. The second linear regression included pledge data from the 2014 GPE replenishment report to assess the change in coefficient. The two sets of slope coefficients are compared to identify the scale in which GPE pledges has the potential to change government spending in education. If the coefficient of second linear regression is greater than the first one, it can be assumed that DCP pledges, if adhered to, would be greater than the previously forecasted growth rate in government spending on education.

Moreover, the intended sub-sectors are not evident for all pledges, nor is it clear whether certain pledges would represent new resources. Lastly, some pledges – such as that of Pakistan, which committed to increasing its spending on education from 2% of GDP to 4% -- appear unrealistic.

Exhibit 9.1

Country	Original Slope	With GPE pledge	Change in Slope
Zambia	-0.3925	0.7716	1.1641
Sudan	0.0288	1.0971	1.0683
Burkina Faso	-0.7296	0.0464	0.776
Cambodia	0.175	0.7564	0.5814
Togo	-0.8811	-0.3727	0.5084
Chad	-0.4186	0.0783	0.4969
Tajikistan	0.2664	0.5566	0.2902
Niger	0.2262	0.5028	0.2766
Guinea	-0.0359	0.2109	0.2468
Madagascar	0.2635	0.4997	0.2362
Mali	0.3547	0.5029	0.1482
Cameroon	0.0462	0.1682	0.122
Benin	0.7865	0.8819	0.0954
Uganda	-0.1998	-0.1092	0.0906
Sierra Leone	-0.5031	-0.4167	0.0864
Kenya	0.0877	0.12	0.0323
Senegal	0.4653	0.4813	0.016
Côte d'Ivoire	-0.0881	-0.0803	0.0078
Tanzania	0.0446	0.01	-0.0346
Ethiopia	1.0172	0.8592	-0.158
Ghana	0.9345	0.6156	-0.3189
Nepal	0.2192	-0.3187	-0.5379

Data Source: UIS and 2014 GPE replenishment conference report

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Appendix 3. Review of the Global and Regional Activities Program

Background

In November 2010, the then-FTI Board of Directors approved the concept for the Global and Regional Activities (GRA) Program. According to the presentation made at the Madrid Board Meeting, the purpose of the GRA was to “leverage the value added of the FTI Partnership by expanding and sharing education sector knowledge⁸⁰.” The GRA Program was designed to support research, capacity development and sharing of best practices at three levels: globally, regionally, and in countries. The predecessor to the GRA Program was the Education Program Development Fund (EPDF), a fund which, in addition to supporting the development of education sector plans, provided some support “for priority studies, capacity building, national outreach and stakeholder consultations.”^{81,82}

Implicit in the motivation for establishing the GRA was that, by leveraging the analytical abilities of its partners, GPE could help fill existing knowledge gaps that other actors have not been able to fill. Three such areas were identified: learning outcomes and quality, out-of-school children (OOSC), and financing and systems building. Within each of these areas, the Secretariat identified specific areas that the program could address, as detailed in technical working papers developed by the GPE Secretariat, in consultation with partners. For example, the learning outcomes/quality paper placed a considerable emphasis on the dissemination of existing knowledge rather than simply the production of new knowledge, whereas the OOSC paper identified gaps in country data, policy and management, with attendant strategies for addressing such gaps through the GRA).

After identification of the three areas where GRA support could add particular value, the GPE Secretariat developed an operations manual detailing the policies and procedures for developing, implementing and monitoring of the program. The Operations Manual, which was approved in October 2012 after significant Board feedback, outlined six categories of eligible activities for funding: technical workshops, peer learning events, and conferences; development of innovative partnerships and networks; study tours; technical assistance; research and dissemination; and pilot interventions to address specific issues. Furthermore, the Operations Manual highlighted the need for the GRA grants to align with the objectives articulated in GPE’s strategic plan, released in June 2012, as well as complement partners’ ongoing country activities. The original allocation for the GRA program was \$60 million.

In 2013, the Board of Directors approved funding for 16 GRA concept notes. The first batch, approved in February, elicited 12 proposals, with eight chosen. This batch had a focus on GPE Strategic Goal 3 – learning outcomes – and Strategic Goal 5 – education financing, and totaled more than \$13 million, with most grants targeting Francophone Africa. The second batch, approved in July, placed a particular emphasis on priorities and goals not addressed in the first batch -- namely teachers, out-of-school children, and girls education – and broadened the geographic reach of the program, with regional foci in East Asia and the Pacific, Western and Central Africa, and Central Asia. Eight notes were funded at a total of \$19.6 million. The total amount approved from these 16

⁸⁰ <http://www.globalpartnership.org/event/madrid-2010>

⁸¹ *FTI Framework*, 2004 https://commdev.org/userfiles/file_FrameworkNOV04_0.pdf

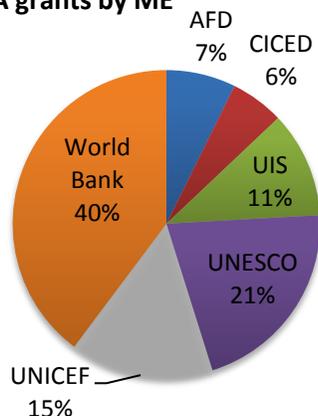
⁸² The EPDF and Catalytic Fund were streamlined into the GPE Fund in 2011

proposals was \$33.1 million⁸³, with the largest grant totaling \$8.5 million to improve school readiness and early grade reading in Papua New Guinea and Pacific Island countries⁸⁴. Following approval of the concept notes, which were refined multiple times based on feedback from the Secretariat, full technical proposals were developed.

Six different Managing Entities were chosen for the grants: AFD, CICED, UIS, UNICEF, UNESCO, and the World Bank.⁸⁵ As seen in the graph below, the World Bank manages nearly half of all GRA

funding, in the form of the three projects where it is Managing Entity.⁸⁶

Share of GRA grants by ME



At the July 2013 audio Board Meeting, it was decided by the Board that the second batch of GRA funding would be last one, as the GRA program was deemed to no longer “fit for purpose.” Three reasons were cited:

- It was unclear whether the decisions rendered possessed reasonable objectivity;
- Whether they reflected additional priorities requested by the Board;
- Whether they represented value for money

Methodology

Findings for this component of the evaluation were informed by two main methods of inquiry:

- **Document review** which included relevant Board documents, decisions and presentations, internal status updates, thematic papers, operational manual, grantee presentations and GRA-supported products. All documents reviewed are listed in the References section.
- **Interviews** with representatives of 11 of 15 GRA recipients, current and former staff, GPE board members, stakeholders in each of the 18 focus countries, and global education leaders. The areas of focus for each category of interviewee differed. GRA recipients were queried about the efficiency of the selection process, the extent to which the GRA built capacity and permitted additional activities, policy impact of emerging products, linkages with other GPE-supported activities etc. In-country actors were asked about awareness of the Global and Regional Activities and their desire for investment in regional and global public goods (GPGs), whereas global stakeholders were queried about GPE’s comparative advantage in supporting the production of GPGs.

⁸³ This amount represents less than 1% of the total of all GPE grants since 2003

⁸⁴ As of December 2014, \$4.8 million has been reported to have been spent by MEs

⁸⁵ In February 2015, the Country Grants and Performance Committee proposed that the grant entitled “Learning Outcomes – Students’ Reasoning Skills,” which was approved in July 2013 in the amount of \$1,850,919, be nullified, due to delays in establishing CICED, a government agency, as the SE in the grant. The Board will respond to this recommendation at its next meeting in May 2015.

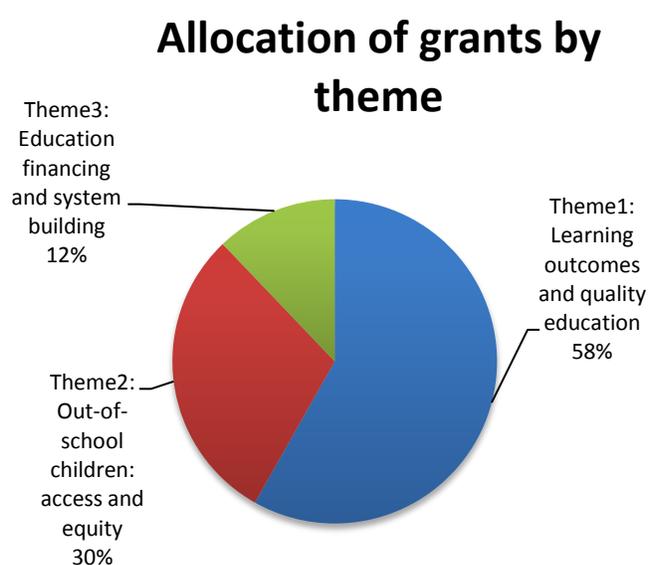
⁸⁶ It should be noted that for one of the grants in which the World Bank serves as Managing Entity, the project entitled *Out-of-School Children: Addressing the Out-of-School Children Data and Policy Gaps*.

What follows are a number of *emerging findings* regarding the relevance, effectiveness and efficiency of the GRA program. Given that all but four projects have closing dates in 2016 or 2017, it is important to note that these are observations based on the initial stages of implementation, and do not represent a comprehensive assessment of the program.

Relevance

Finding 1: The GRA proposals reflect the strategic priorities of GPE and largely align with the priorities of national partners

A review of the proposals funded to-date reveals a high degree of relevance to the three areas of GRA focus: education financing, learning, and out-of-school children, with all projects funded fitting squarely under these areas. Among the three objectives, the greatest investment has been in Theme 1: learning outcomes and quality of education, which is the focus of 8 of the 16 projects and 58% of total funding. Projects focused on out-of-school children receive 30% of funding, with the remainder allocated to projects focused on systems building and financing.



More broadly, the chosen support GPE's five strategic objectives as articulated in the 2012-2015 Strategic Plan, with the greatest investment in Strategic Objectives 3 (learning) and 4 (teaching).

According to in-country interviewees, the chosen priority areas are not simply GPE ones, but also areas of interest at the national level (particularly around learning). National stakeholder consultation was prerequisite for funding – and importantly, where there was a lack of national interest, such countries weren't involved. One such example is seen in the *Improving equity through school grants* project, in which there was pre-proposal dialogue with the Ministry of Education in Nicaragua to serve as a case

study, but after careful deliberation, insufficient demand. As such, the proposed list of countries was reduced by one. Conversely, for the project entitled *Significant Reduction of Out-of-School Children* project, several countries expressed interest in being part of this second wave of research (the GRA funding allowed for geographic expansion of an earlier, non-GPE funded project).

Finding 2: Despite a professed desire for more knowledge on emerging best practices and new knowledge, most country stakeholders possess low levels of awareness and understanding of the GRA program

Across the eighteen focus countries, as well as across different stakeholder categories (e.g. ministry of education, ministry of finance, civil society, donors), there was considerable appetite for practical research, emerging best practices and new knowledge. As mentioned above, national consultation was a requirement for GRA project funding, translating to some level of national buy-in, at least in the initial stages and by some actors.

At the same time, interviews with country stakeholders reveal inadequate level of awareness of the existence of the GRA program. Many of the interviewed Supervising and Managing Entities of Program Implementation Grants (PIGs) in partner countries were not aware of the GRA program, despite overlap between countries supported by GRA research and the evaluation case studies. This

low level of knowledge suggests the need for further communication efforts between research organizations and country stakeholders, particularly as more products are finalized.

Furthermore, the linkages between those activities supported under the GRA grant and those funded under the Program Implementation Grant were not evident to those queried. As such, there seems to be scope for further sensitization of country partners and LEG members on the synergies that exist between GRA activities and those funding by the PIGs. Both external stakeholders and GPE members cited the need for GRA activities to reinforce and support the activities under the PIGs, rather than serving as standalone research program. Such alignment would reinforce the notion of GPE as a partnership, with a robust internal knowledge-sharing component.

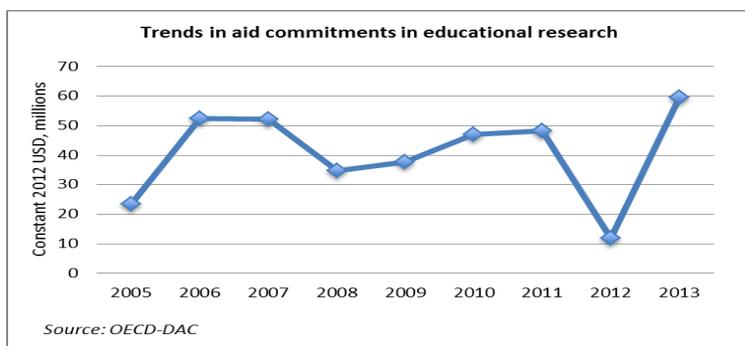
In those few instances where outreach to local education groups (LEGs) has been present, it has paid dividends. For example, the World Bank, which serves as ME for a project to promote school based health interventions to improve learning outcomes and access to education, has made concerted effort to liaise with GPE focal points and LEGs in relevant countries. The results have been positive, resulting in LEG members attending project workshops and significant dialogue regarding the inclusion of school based interventions in the education sector plans.

Other examples are seen in the *District/School Profiles: Information feedback systems and tools for increasing accountability* project, in which equity indicators were developed as stretch indicators for the next GPE grant in Nepal, and in Madagascar where training was provided to school committees for participation in the selection and administration of school construction projects, which are funded by GPE.

However, such involvement with country stakeholders, in particular those part of Local Education Groups, these have proven to be the exception rather than the norm.

Finding 3: International financing for the production of global public goods is limited. This strongly implies the additionality of GRA financing.

Seven of the GRA grantees communicated that sources of funding for regional and global public goods are minimal, with support for such work declining as donors attempt to show quick returns on investment. This notion was reinforced though a scan of other entities that have traditionally conducted the sort of work that GRA partners are currently carrying out: the World Bank Development Grant Facility's is to close down, The World Bank Institute has already stopped covering education, and UNESCO continues to struggle to mobilize adequate financing to meet its priorities⁸⁷.



There is empirical backing for this view as well. Aid to global education research activities, an imperfect but useful proxy for support to global public goods shows that such aid constitutes less than 0.5% of total aid commitments to education. Total aid for education research, as reported by OECD-DAC, fluctuated between \$11.8million and \$59.6 million over the past decade.⁸⁸

⁸⁷ It should be noted that one grantee and one global stakeholder disagreed, asserting that donor are increasingly likely to fund this sort of work

⁸⁸ ⁸⁸ OECD-DAC education for years 2005-2013

Even assuming that these numbers underestimate the level of global financial support for GPGs, aid levels remains quite low. In this regard, the money that has been provided by GPE to support the GRA program appears to be additional and not displacing potential other donor funding – a sentiment affirmed by interviewees. Moreover, there is good reason to believe that the financing has been catalytic, as 10 of the 16 GRA projects receive co-funding.

Effectiveness

Finding 4: International financing for the production of global public goods is limited. This strongly implies the additionality of GRA financing.

Given the delays associated with the awarding of the grants, it is yet too early to fully understand the impact of the GRA program. Nevertheless, there is emerging evidence that that products deriving from the program or may have important impacts on policy development or the enhancement of current practices.

Examples include:

- In Senegal, preliminary findings from efforts to improve national reporting of financial flow have been employed to redefine the criteria of school grant allocation for 2015. The Ministry of Education also requested a first draft of the study report to be presented at a sector review in March 2015.
- In Madagascar, GRA activities have been a catalyst for streamlining and consolidation of school monitoring tools into one, nationally-owned one.
- An innovative pilot to improve teaching performance in Burkina Faso has engendered discussions with the national education quality group and led to sharing of results within the region.

While encouraging, it is important to note that such examples are anecdotal, and do not provide an overall sense of “value for money” of the program nor, importantly, the extent to which results have been shared by stakeholders in other countries.

Finding 5: Underinvestment in oversight and administration of the program has hampered its potential effectiveness. Further work could be done to encourage collaboration among existing grantees in order to optimize the impact of the work.

All grantees consulted communicated that there has been little technical support provided by the Secretariat since implementation, despite extensive Secretariat involvement during the application phase. This has largely been attributable to the quantity of staff available to provide such support.

While most grantees do not view the Secretariat’s hands-off approach as in and of itself problematic, two interviewees expressed some desire for further technical guidance in the three topical areas. In this vein, most viewed the movement of the GRA program to the Chief Technical Office as a positive development.

More so than a call for technical expertise, grantees cited lost opportunities for coordination and intra-GRA learning. Two stakeholders identified a desire to better understand the statuses of other GRA projects in order to learn from their challenges and successes. More specifically, it was suggested that the Secretariat play a more hands-on role in facilitating communication and collaboration among those projects occurring in the same regions or countries – or tackling similar topics. While some South-to-South learning has occurred through regional workshops and conferences, this element of the program has not been optimized.

With regards monitoring and reporting, grantees are required to report on a twice-annual basis, using a standard template. A review of these reports reveal varying quality and depth of reporting. Moreover, grantees report that very little feedback is given on these reports, other than an acknowledgement of receipt. This stands in contrast to the language in the Operations Manual, which asserts that “The Board will use these reports to ensure rigorous management of the Grants⁸⁹”

Efficiency

Finding 6: The inefficient process for selecting GRA recipients involved high transaction costs from all actors involved. This lengthy process eroded confidence of the Board and served as a contributing factor to the decision to not fully fund the GRA program.

Nearly all stakeholders – Secretariat, Board of Directors, grantees -- lamented the inefficiency of the lengthy selection process. Among the various complaints:

- **Transparency on the steps needed to attain the grant** When the process began, some grantees weren't clear about the steps necessary for attaining grants nor amount of available financing, suggesting that additional review. Two grantees indicated that there were asymmetries of information, with certain grantees better informed by the Secretariat than others.
- **Length** From the initial call for proposal to the actual awarding of the grant, the process took over one year. Much of this length was attributable to the back-and-forth between the secretariat and grantees to refine proposals, as well as considerable disagreement between the Board and Secretariat, in an attempt to ensure quality control and a fair process. In some instances, the protracted nature of the process strained relationships with national partners, as timelines for initiating the project were consistently revised.
- **Conflict of interest** Several Board and Secretariat Members, as well as two grantees noted that the Board of Directors were approving grants that were awarded to the same organizations that were represented on the Board, thus calling into question the objectivity of the selection process.

More positively, the Secretariat was praised for the collaborative process of developing the position papers and operational manual and their willingness to respond to questions as they arose.

Future Considerations

It is notable that the review of the EPDF in the 2010 Evaluation asserted that:

awareness of the EPDF amongst stakeholders, especially governments, was not widespread. The EPPF has not engendered a broader process of consultation and inclusion...problems relate to processes or modalities, whilst the successes relate to the actual products of the activities funded⁹⁰.

Much of the same can be said of the GRA fund today. Despite the onerous and lengthy, application process, as well as having not fully realized opportunities to connect GRA work with that of the local education group, quality, policy relevant products appear to be emerging.

⁸⁹ P.19 GRA Operations Manual

⁹⁰ P.19, Annex 3, 2010 Mid-Term Evaluation

More fundamentally, evaluation interviews revealed that there are differing views regarding whether GPE should support the production of global public goods (GPGs). At the risk of not fully capturing the nuances of stakeholders' views, this diversity of opinions can be broadly categorized into two views: GPE should invest in the production of GPGs or GPE should not directly support their production⁹¹. Of the twenty global stakeholders and Board Members who expressed a view, 60% believed that GPE should play a role in supporting the production of global public goods, believing that it was an underfunded area in which GPE could add value. The 40% who did not support the idea of GPE financing the production of GPGs largely believed that it was the domain of other actors, such as UNESCO and UNICEF.

While consensus on the extent to which GPE should fund a similar program (or an Innovation Fund, as has been discussed) does not exist, Board Members and global education stakeholders who favored continued support in this area communicated that these activities **should constitute a minority of GPE's total granting volume (which is the case currently)** and that **administration – including more streamlined selection of future grantees, enhanced efforts to link grantees with each other and with in-country work, and more active monitoring – be improved.**

Ultimately GPE's role in this regard will ultimately be linked to its new theory of change and new strategic plan and will be informed by the extent to which GPE sees itself as possessing a comparative advantage in supporting global and regional public goods.

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⁹¹ There was consensus among those interviewed that GPE should play some role in disseminating existing research

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Appendix 4. Review of the Civil Society Education Fund (CSEF)

Introduction

The review of the Civil Society Education fund (CSEF) conducted as part of the interim evaluation of the GPE focused on whether and how the CSEF contributes to the relevance, effectiveness and efficiency of the GPE, especially in view of the GPE's intention to foster and strengthen civil society participation in education policy processes.

The evaluation team reviewed available CSEF documents (see Volume III, Appendix 6), consulted CSEF grantees in 11 countries, and conducted telephone interviews with representatives of the Global Campaign for Education (GCE), UNESCO, and the GPE Secretariat who work closely with or are aware of issues concerning the CSEF.

Interview protocols were developed and used in interviews with CSEF grantees in 11 countries (Tanzania, Uganda, Ethiopia, DRC, Rwanda, Senegal, Vietnam, Zimbabwe, Cambodia, Ghana, and Nicaragua). Many of the interviewees represented National Education Coalitions (NECs) which in turn represent a broad range of CSOs united under a common interest in the education sector.

A comprehensive evaluation of the CSEF is planned for later this year (2015).

CSEF Relevance and Design

CSEF Relevance

CSEF financial contributions to National Education Coalitions (NECs) are significant in light of the very limited overall global resources available for strengthening CSO participation in education processes. NECs can bring experience and expertise to the table that no one else can and therefore GPE financial support is considered crucial to ensure that sector dialogue concerning the development of education sector plans and programmes is fully representative and includes civil society perspectives. UNESCO is one of the key actors in promoting and strengthening CSO participation, but most of its support is not financial; it provides technical assistance and advocates for CSO participation.

The **CSEF provides highly needed and otherwise unavailable financial resources to build CSO capacity** in order to allow coalitions to fill emerging spaces for their participation in meaningful ways. The CSEF has provided the means for CSO networks to organize themselves, structure their representation, collaborate on activities, and develop common positions in order to effectively participate in policy dialogue.

Interviewed CSEF grantees in all countries commented on the importance of CSEF grants for the functioning, development and advocacy work of CSOs in their countries. For example, representatives of the Vietnam Coalition on Education for All (VCEFA) said that CSEF funds allow the coalition to rent offices for their work, hire staff, and implement activities that encourage government recognition of the role and importance of CSOs in education.

CSEF Design

An evaluation of the CSEF Phase I (2009 -2013) led to a number of **changes**, including the **reformulation of objectives for Phase II (2013 – 2015)**. While the objectives of CSEF Phase I broadly focused on strengthening civil society coalitions, the Phase II objectives emphasize the need for coalitions to have clearly defined development results, in particular for enhancing civil

society policy engagement and other activities such as advocacy and research. This also better aligned CSEF objectives with the GPE's overall strategic goals and objectives as formulated in its 2012-2015 Strategic Plan. All of the 46 coalitions currently implementing CSEF-supported activities have identified specific policy objectives and activities that respond to their national contexts, and that reflect core GPE themes, particularly around access and reaching every child (27 of 46 coalitions); quality of education (22 coalitions); and education financing and governance (21 coalitions).

For the period 2015 onwards, the Global Campaign for Education (GCE), as the coordinator of the CSEF, has proposed a similar set of five overall objectives for the CSEF that build upon the current objectives.

Effectiveness

Country level

Achievements to date noted in CSEF reports compiled by the GCE include:

- Efforts to influence education policy, e.g. through oral or written submissions to government
- Engagement in Local Education Groups (LEGs): According to CSEF progress reports, CSEF support has contributed to more frequent and more meaningful NEC participation and contributions to LEGs. At the same time, reports also note persistent challenges in several countries in ensuring that national governments act upon their commitments to include NECs after GPE grants have been approved.
- Social mobilization, activities to raise public awareness of education issues.
- Policy analysis and research: Several NECs have been and are conducting research and monitoring of education sector activities and budgets.

Overall, available data deriving from stakeholder consultations and review of CSEF documents provide evidence of the Fund's contributions at the activity/output level, but little evidence of outcome/impact level results (e.g. the effects of NEC advocacy and research on government policy decisions). This is not surprising given the short timeframe of CSEF grants, as well as the difficulty in attributing the results of advocacy/lobbying work to the contributions of specific actors. However, the issue of how to effectively track longer term effects of the CSEF has been flagged by UNESCO, the Supervising Entity for the CSEF Phase II, and is likely to be addressed in the upcoming CSEF evaluation. This issue is relevant in view of the fact that the (implicit) GPE Theory of Change for the period under review included strong assumptions about the benefits of civil society participation in processes related to policy development and implementation.

Examples of CSEF grantee activities and achievements as provided by interviewed grantees and other stakeholders at the country level are provided below.

- Cambodia: The NGO Education Partnership (NEP), recipient of CSEF support, was actively involved in the development of Cambodia's application for a GPE Program Implementation Grant, in particular in view of providing suggestions related to inclusive education and access to education for children living with disabilities.
- Ethiopia: The CSEF grantee requested permission from the MoE to join the Education Technical Working Group (ETWG) in 2014. An agreement was made with the previous MoE co-chair that they could join, however the co-chair left the MoE shortly after and there has been no follow up regarding the grantee's ETWG membership.

- Ghana: According to consulted NEC representatives, civil society presence in Ghana was already strong before they received CSEF funding. However, NEC representatives noted that in their view CSEF support and its participation in the GPE grant steering committee have given the Coalition a more recognized space in sector policy dialogue.
- Nicaragua: Given that Nicaragua does not have a LEG, but rather a Donor Education Group (DEG), the CSEF grantee Nicaraguan Forum for Education and Human Development (FEDH-IPN) is excluded from this group and has not been able to influence the development of education sector plans and programs. Since the government does not share information with the public, the FEDH-IPN has not been able to monitor progress on the ESP.
- Senegal: The creation of the LEG and funding from CSEF has contributed to enhancing CSO dialogue with the Senegalese government. Indeed, CSEF funding enabled CSOs to play a role in monitoring and providing essential information to the national government with a view to defining sound educational policies.
- Tanzania: The Tanzania Education Network/Mtandao wa Elimu Tanzania (TEN/MET) has been exclusively funded by the CSEF. This funding has played an important role in ensuring that TEN/MET was able to actively engage in dialogue structures, and to have a say in preparations for the GPE-funded LANES program. Although implementation of the GPE-funded LANES program had not yet begun at the time of the interview with the CSEF grantee, it was expected that the CSOs represented by TEN/MET will be involved in implementation through the establishment of 500 satellite schools in remote areas and of literacy clubs.
- Zimbabwe: CSEF funding has allowed the Education Coalition of Zimbabwe (ECOZI) to expand activities and enhance their voice. According to several interviewees, the GPE's emphasis on inclusion of education stakeholders, as well as the enhanced legitimacy conferred by CSEF funding, led to an invitation to ECOZI to observe the LEG meeting. Stakeholders agreed that this constituted progress compared to previous practice.

To date, there has been little visible progress in inter-country learning and networking among CSEF-supported NECs. However, the Global Campaign for Education is in process of collecting and sharing lessons/examples deriving from various CSEF experiences in different regions and countries.

Global level

CSEF-supported NECs have provided some input to global discussions and in relation to the post-2015 education agenda debate.

- In the context of the 2014 GPE replenishment, NECs lobbied their own governments to commit domestic resources for education.
- While it is difficult to say what specific effects NEC efforts have had in Africa, two stakeholders noted that the mere fact that NECs have become active constitutes an important change.
- In the Asia and LAC regions, CSO contributions visibly influenced position papers on the 2015 debate that have been coming out of these regions.

The Global Campaign for Education, with CSEF funding, has provided some support to GPE Board members representing CSO constituencies. Documents and interviews indicate, however, that these constituencies require further support to allow them to organize more frequent and effective consultations.

GPE Secretariat support to CSEF/NECs

Interview data suggest that GPE Secretariat country leads have made recent increasing efforts to meet with CSO/NEC representatives during country visits. However, this is not always easy, especially in contexts where the respective government is not supportive of CSO engagement.

The GPE Secretariat is also exploring how to ensure that country leads use the same/similar approaches to NEC engagement in all countries, and that they do so systematically.

Limited information was gathered about GPE Secretariat support to the national coalitions. CSO stakeholders in Vietnam mentioned that the Secretariat is very supportive.

CSEF Governance and Management

Following the 2012 evaluation of the CSEF, a number of **meaningful changes were made to CSEF governance and management**, including the introduction of the CSEF Global Oversight Committee, and creation of the CSEF International Partners Group (IPG). CSEF financial and grant management procedures were also revised and updated to include budgets for national support that are more detailed and that link activities to objectives.

Overall, as noted in UNESCO reports and confirmed by consulted stakeholders, CSEF governance and management have been **strengthened**.

In CSEF Phase II, UNESCO was appointed the CSEF Supervising Entity, replacing the World Bank. This led to a number of initial delays due to two factors: a lack of clarity and explicit guidance about expectations related to this role, given that the SE role for CSEF is different from the SE role for GPE grants at the country level; UNESCO did not have internal procedures and guidelines for this type of role.

Apart from these delays, stakeholder consultations and available reports indicate that UNESCO has fulfilled its role effectively and has added value by drawing upon its expertise and networks deriving from its existing work with and for civil society in the context of education. Different from the World Bank, UNESCO provided inputs to both the programmatic side of the CSEF (e.g. related to developing its Learning, Monitoring and Evaluation system), as well as on the financial side, e.g. by conducting an in-depth risk assessment. The agency has also made efforts to link the CSEF with UNESCO's other ongoing efforts around CSO involvement.

Efficiency

CSEF Structure

The CSEF management structure is complex as it involves a global Secretariat, currently the GCE, as well as regional secretariats and

“CSEF is not just about punctual policy impact – that could just as well be done through influence from northern CSOs or others. We want sustainable informed citizen engagement.” (GCE staff)

financial management entities in each region. However, three of five consulted stakeholders at the global level felt that the structure was appropriate in view of the intended coalition (or partnership) model of the CSEF and the capacities of the entities involved. In their view, having one central CSEF management entity would lose the benefits deriving from geographic proximity and contextual knowledge currently provided by the different actors involved in CSEF management at the regional level. One global interviewee also noted that the partnership model used in both the GPE and the CSEF may be slower in achieving short term results than other, more ‘top down’ models. However, it is hoped that this approach will lead to sustainable change at the national level.

Only one consulted CSEF grantee from the Latin America and Caribbean region responded to the question about the strengths and weaknesses of the CSEF management structure by noting that in experience of this NEC most communication and exchange has occurred between them and the global CSEF Secretariat (GCE), while there has been hardly any interaction with the regional secretariat. In addition, there has been next to now exchange with the overall GPE Secretariat, which, at some point was even unaware of the fact that the organization had any relationship with the GPE.

Supervising Entity

GPE Board members have raised some concerns about whether the fees charged by UNESCO for its role as Supervising Entity of the CSEF continue to be justified. At the December 2014 Board meeting it was decided that UNESCO will be invited to continue as SE during the temporary program extension until the end of 2015. However, the longer term plan is for GCE to become accredited as Managing/Supervising Entity. To our knowledge, there is no costed proposal that compares the actual costs of this model (which is likely to include some sort of external body to supervise the work of the GCE) with the cost of the current structure.

One consulted stakeholder expressed some concerns regarding the GCE's (current) ability to fulfill the roles of both CSEF Secretariat and ME/SE, especially in terms of financial management.

Sustainability/Future

At present, the Global Campaign for Education as well as the NECs currently supported by the CSEF strongly rely on or are completely dependent on CSEF resources made available by the GPE. Some NECs have raised very limited funds from other sources. During CSEF Phase I, \$256,800 was raised by different NECs internally. Compared to the \$17.6 million provided through the CSEF during that phase, the amount is almost negligible.

- Two CSEF grantees noted that without CSEF funding the education networks would not have been able to function during the past few years, and would not have been able to contribute to sector dialogue. In Nicaragua, a number of funding sources have disappeared, as Oxfam Intermon (a stable source of CSO funding for 8 years) had stopped funding civil society activities in the education sector. GPE support is therefore much appreciated by the NEC. In Zimbabwe, ECOZI's existence fully depends on the CSEF, which is its only main funder and covers all of its administrative costs.
- A former CSEF grantee noted that his organization had not even applied for a grant under the current CSEF phase, as it did not need money for the areas that the CSEF supports (building structures or capacity) as their network was already strong; what they needed was core funding.

NEC reliance on the CSEF can be seen as a reason for concern in terms of sustainability of efforts. At the same time, as noted by one interviewee, the question is whether alternative funding sources exist or are likely to exist other than donor funding (channeled through the GPE/CSEF or other paths). In other words, does it even make sense to ask about sustainability of funding for CSO/NEC participation in national education processes, or is this an area that can only be advanced, at least in the foreseeable future, if donors continue to provide financial assistance as well as technical/advocacy support?

Two interviewees suggested that one possibility to ensure predictable and continued funding for NEC work could be to **link funding for NEC participation to GPE allocations for different countries**, i.e. consider introducing a mandatory share for CS engagement as part of all GPE grants.

This share could either be directly disbursed to CSOs, or be handled by the Supervising Entity in order to avoid CSOs being dependent on the government.

Implications for the upcoming evaluation of the CSEF

The CSEF appears to be a relevant and effective tool to operationalize the GPE objective of meaningful engagement of all relevant stakeholders in the education planning and policy process. The GPE civil society review (2014) noted the importance of the GPE in furthering the institutionalization of spaces into which NECs can direct their participation in the design of public policy. The CSEF's role is to ensure that the spaces created can be filled meaningfully.

The upcoming evaluation of the CSEF could provide additional insights into:

- Existing challenges for NEC participation/contributions (e.g. question whether NEC participation becomes more limited once GPE grants are approved), as well as in view of positive developments that have emerged from GPE-related CSO involvement.
- NEC interest and capacity to engage in and inform global debates on education, and their awareness of related opportunities.

Appendix 5. Review of GPE Documents and Grants

Objectives and Methodology

Using all available GPE documentation, this appendix provides an overview of salient trends between the years 2010-2014, where possible comparing such trends to pre-2010 ones. The principal purpose of this analysis is to better understand where GPE support has been directed, the efficiency of the disbursement process and the extent to which changes in the GPE strategic objectives have been reflected in allocation decisions. This appendix focuses on the three grants dedicated to country level support: the Education Plan Development Grant (EPDG), Program Development Grant (PDG), and the Program Implementation Grant (PIG). These grants, which are intended to finance the development and implementation of specific components of a country's education sector plan, represent 98.9 % of the total amount allocated through GPE grant modalities to-date.⁹² This appendix does not include analysis of the Education Program Development Fund, Global and Regional Activities, or Civil Society Education Fund grants.⁹³

Table 1.

Overview of GPE grants (2003 to September 30, 2014)				
Type of GPE grant	Number of grants	Number share (%)	Grant amount (US\$)	Amount share (%)
Education Program Development Fund (closed)*	60	24.5%	112,200,000	2.8%
Education Plan Development Grant**	30	12.2%	6,553,054	0.2%
Program Development Grant**	29	11.8%	5,615,243	0.1%
Program Implementation Grant	110	44.9%	3,860,170,308	95.8%
Civil Society Education Fund	1	0.4%	14,500,000	0.4%
Global and Regional Activities	15	6.1%	29,748,797	0.7%
Grand total	245	100.0%	4,028,787,402	100.0%

Source: Documents provided by GPE Secretariat and figures from Results for Learning Report 2014/15

* Note: the Education Program Development Fund amount includes the first round of the Civil Society Education Fund, corresponding to one grant and US\$17.6 million.

** As of October 7, 2014

Methodology

A document review tool was developed and systematically applied to all 59 countries.⁹⁴ Section I of the tool elicited information on all three grant types, across several dimensions, including

⁹² Given the similar aims of the Catalytic Fund (CIF) and Program Implementation Grant, CF grants are grouped with PIGs to allow for comparison across years.

⁹³ The EPDF, which closed in 2011, used to fund education sector plan development and various global and regional level grants. Although the current Education Plan Development Grant EPDG has evolved from the EPDF, this analysis considers the two as separate financial mechanisms because of the difficulty in disentangling EPDF country and regional activities. Analyses of the GRA and CSEF are found in separate appendices.

⁹⁴ Additional countries have joined GPE since the time of this analysis.

application and approval dates, key stakeholders involved in the grant, targeted beneficiaries, and sub-sectors supported. This section generated raw data, which was then analyzed and synthesized by the evaluation team.

Part II, which was applied to the 18 countries selected for field and virtual visits, elicited more qualitative responses, including questions regarding the country context, partnership, as well as the relevance, effectiveness, and nature of technical assistance from GPE for this set of countries.⁹⁵ In addition to providing information on why some of the trends described above were present (e.g. common reasons from implementation delays), it also provided background information for the country visits.

Two primary sets of documents were reviewed in this analysis. The first set consists of country documents for all 59 GPE members, including grant applications, GPE endorsement documents, implementation completion and status reports, documentation related to any extensions and restructuring of grants/budgets, quality assurance reports, annual progress reports for WB-supervised projects, as well as joint sector reviews. Notably, there were considerable gaps in information, as described in the limitations section below.

The second set was comprised of GPE-produced summary reports, including the GPE Portfolio Review Report, GPE Results for Learning Report, quarterly financial reports, and financial documents that track commitments and disbursements. In addition, the 2010 Mid-Term Evaluation of the EFA Fast Track Initiative was used to draw comparisons between the 2010-2014 and pre-2010 time frames.

Limitations

There were several limitations to this review process. As a pure document review, the analysis was restricted by the quality and range of available documentation. Inconsistent and evolving reporting formats, which differ according to the requirements of the particular supervising and managing entities, the lack of a common results framework, and inconsistent level of documentation for country grants (e.g. 43 documents for Afghanistan and one for Bhutan) limited the ability to perform cross-country comparisons.

Furthermore, a document review of this nature does not permit robust analysis on more qualitative elements such as the quality of technical assistance from GPE Secretariat or the extent to which GPE affected policy and planning processes. These dimensions were analyzed through interviews as part of the 18 GPE country visits.

Findings

The section below outlines the salient trends that have emerged through this document review. These trends are grouped according to four areas: (a) the growth of GPE; (b) target countries and populations; (c) funding direction, modality and disbursement; and (d) in-country management.

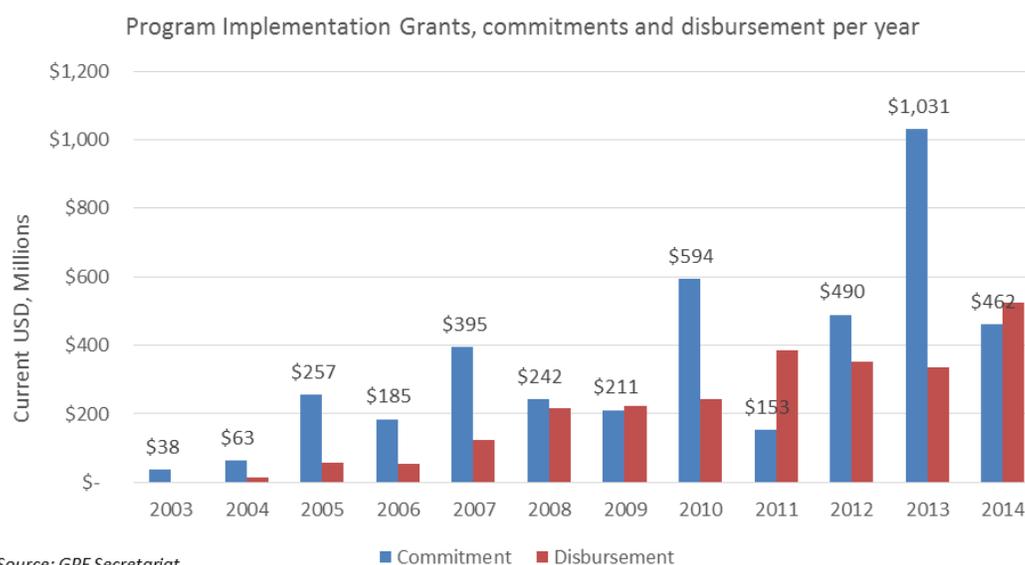
⁹⁵ These 18 countries are Afghanistan, Burundi, Cambodia, Democratic Republic of Congo, Ethiopia, Ghana, Honduras, Madagascar, Malawi, Moldova, Nicaragua, Rwanda, Senegal, Tanzania, Uganda, Vietnam, Yemen, and Zimbabwe.

Growth of GPE

Finding 1: The number and size of GPE grants have steadily increased over the past four years.

The period of 2010-2014 saw a marked increase in the number of new program implementation grants approved. During this period, on average, 13.8 new grants were approved per year, as compared to 6.7 in the pre-2010 period. Between 2010 and 2014, 69 total program implementation grants were approved compared to 47 in the period prior to 2010. These numbers are buoyed by 2013 figures, in which 29 grants were approved. While this sharp increase is the product of several factors, including the presence of second or third rounds of funding for older GPE partner countries, it most certainly reflects the inclusion of the 18 new countries that have received grants since 2010.⁹⁶ In addition, this increase in new grants is likely a function of the increased available financing – in part attributable to the first pledging campaign and conference, held in November 2011.⁹⁷

Figure 1.



The average grant amount has increased since 2010. In line with the increase in the number of member countries and total number of grants, there has been an increase in the total volume of disbursements. The years 2002-2009 totaled \$690 million in disbursements, whereas the period 2010-2014 topped \$1.8 billion, as seen in Figure 2 below. The average size of a PIG has increased from \$29.5 million pre 2010 to \$39.5 million since 2010. There are several possible causes for this, including greater available resources, the publishing of reformed indicative allocations, and more ambitious ESPs that require larger amounts of financing.

⁹⁶ Countries that have received three rounds of funding are: Djibouti, Ethiopia, Gambia, Ghana, Kyrgyz Republic, Madagascar, Mauritania, Nicaragua, Niger, Rwanda, Tajikistan, Timor-Leste, and Yemen. The 18 new countries include Afghanistan, Burundi, Chad, Comoros, Cote d'Ivoire, DRC, Eritrea, Guinea-Bissau, Pakistan, Papua New Guinea, Somalia, South Sudan, Sudan, Tanzania, Togo, Uganda, Uzbekistan, and Zimbabwe. (Nigeria is still pending in its program implementation grant application).

⁹⁷ The first GPE Replenishment covered 2011-2014 and generated pledges of \$1.5 billion from 52 countries to the Global Partnership for Education Fund.

Figure 2.

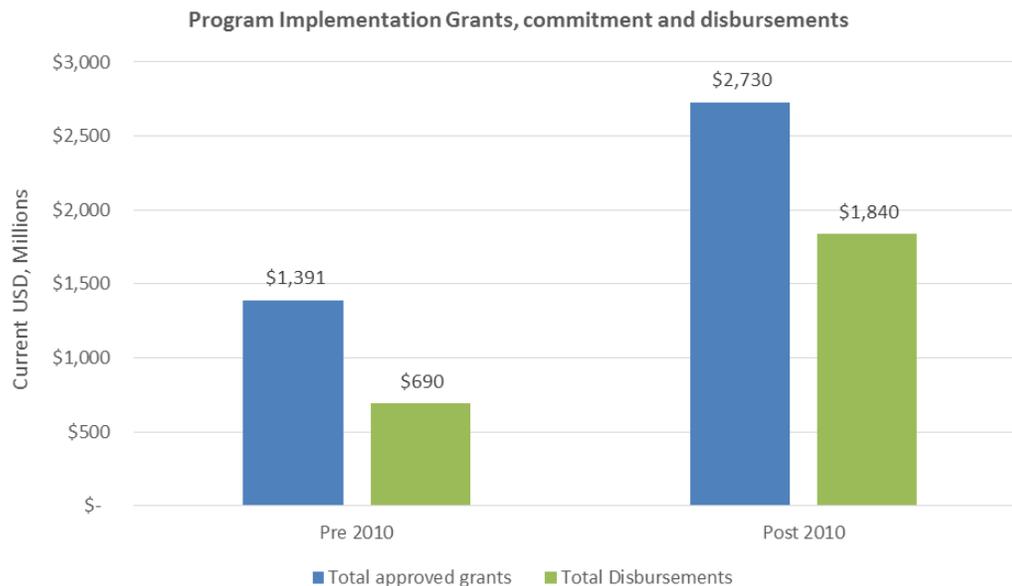
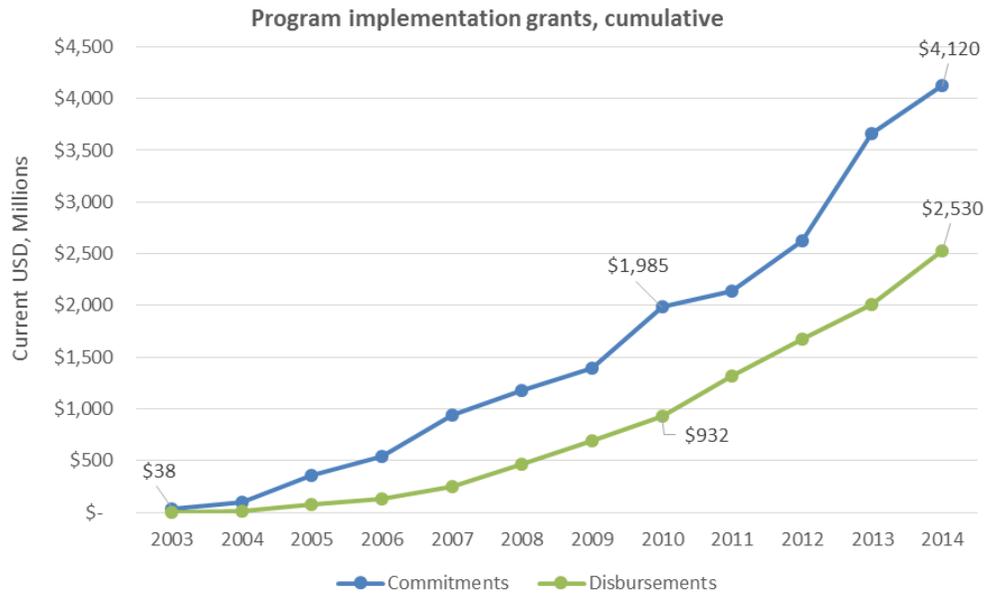


Figure 3 illustrates the yearly growth of GPE as a financing agent -- a growth that has established GPE as the sixth largest education donor in 2013.⁹⁸ At the time of the 2010 evaluation, GPE was the 11th largest donor.⁹⁹ From 2004 to 2010, GPE committed approximately \$1.9 billion to basic education. This figure tripled in 2014, reaching nearly \$4.1 billion. Unsurprisingly, total GPE disbursements have also increased from \$932 million in 2010 to \$2.5 billion in 2014.

⁹⁸ Further analysis can be found in the additionality section.

⁹⁹ Analysis conducted by the evaluation team.

Figure 3.

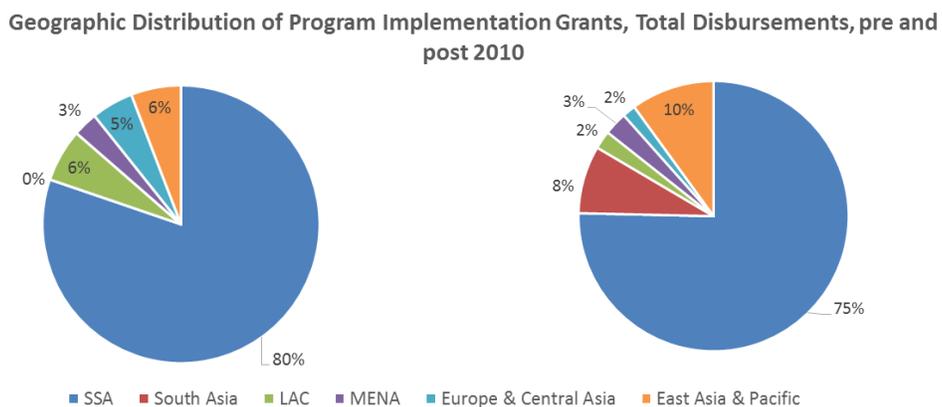


Source: GPE Secretariat

Finding 2: Although GPE is predominately focused in Sub-Saharan Africa, its reach has expanded considerably – primarily to South Asia and East Asia and the Pacific.

GPE funding is still directly primarily towards Sub-Saharan Africa. Much like the pre 2010 phase, Sub-Saharan Africa (SSA) received the greatest share of GPE funding between 2010 and 2014. The region received 80% of total GPE funding pre 2010. Since then, 75% of all PIG funds have been directed to SSA (see figure 4.)¹⁰⁰.

Figure 4.



¹⁰⁰ The post-2010 period is from 2010 to October, 2014.

Despite the fact that SSA countries receive the vast majority of GPE funding, total GPE financing has increased in South Asia and East Asia and the Pacific. While GPE only disbursed its first implementation grant to South Asia in 2010, disbursements as of 2014 have already totaled \$149 million, establishing it as the third largest regional recipient. This redistribution is largely a product of the number of new country partners that joined GPE, with Afghanistan and Nepal joining as member countries in 2009 and 2011. The relative share directed to this region is likely to increase, with Pakistan joining GPE in 2014 and Bangladesh having joined in January, 2015.

Similarly, disbursements to the East Asia and Pacific region increased four-fold in the two periods examined – from \$40.3million between the years 2004-2009 to \$184 million from the years 2010-2014. Total disbursements decreased in Latin America and the Caribbean (LAC) and Europe and Central Asia (See Table 2).

Table 2.

Program Implementation Grants, disbursements							
Region	2004	2005	2006	2007	2008	2009	2004-2009
SSA	8,500,000	45,700,000	30,800,000	99,477,447	187,221,290	181,738,320	553,437,058
East Asia & Pacific	-	-	1,500,000	10,800,000	14,002,937	14,002,504	40,305,441
Europe and Central Asia	-	-	3,383,501	7,880,947	12,943,051	9,673,973	33,881,473
LAC	3,730,000	6,188,176	7,085,049	6,833,509	2,238,000	16,438,056	42,512,790
MENA	3,000,000	7,000,000	9,777,701	-	-	-	19,777,701
South Asia	-	-	-	-	-	-	-
Total	15,230,000	58,888,176	52,546,251	124,991,904	216,405,279	221,852,853	689,914,463

Region	2010	2011	2012	2013	2014	2010-2014
SSA	190,896,493	304,618,671	258,565,223	223,800,615	408,425,304	1,386,306,306
East Asia & Pacific	22,240,074	28,893,920	27,771,570	49,024,183	56,111,181	184,040,928
Europe and Central Asia	3,277,219	5,671,483	8,421,229	5,448,698	6,246,393	29,065,023
LAC	17,670,035	5,267,025	11,209,265	1,600,000	4,342,615	40,088,939
MENA	8,432,860	10,621,240	945,900	10,000,000	20,989,071	50,989,071
South Asia	-	30,015,982	47,000,000	44,608,326	27,636,095	149,260,403
Total	242,516,681	385,088,321	353,913,187	334,481,823	523,750,659	1,839,750,670

Source: GPE Secretariat

The Education Plan Development Grant¹⁰¹

Finding 3: While the number of annual Education Plan Development Grants has modestly declined, a lack of documentation prevents assessment of their effectiveness.

The Education Plan Development Grant (EPDG), established in 2012, is designed to support multilateral or bilateral partners to “contract goods and services on behalf of the government to support analytical work, consultations, and strategy development for developing or revising an Education Sector Plan or Transitional Education Plan” (GPE Country Level Process). EPDGs are approved for a maximum of 15 months.

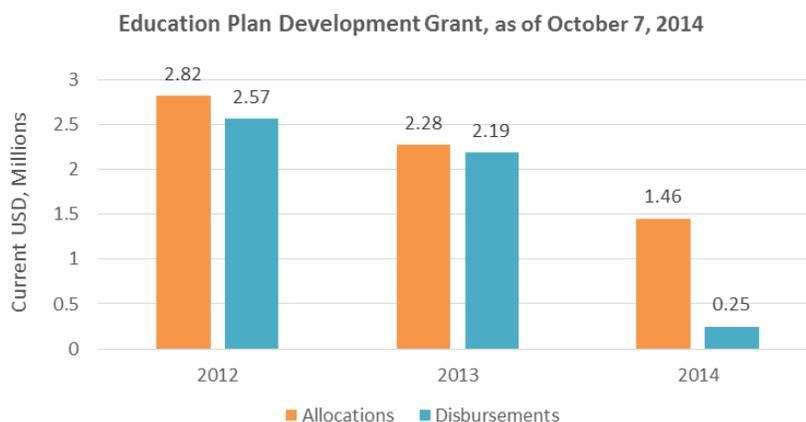
Notably, in 2014 the maximum allocation of an EPDG increased. The EPDG has traditionally been capped at \$ 250,000 to all eligible countries interested in joining GPE or DCPs interested in revising their education sector plans. Since the approval of the New Funding Model, the maximum amount has increased to \$ 500,000.¹⁰² Of the total grant, \$ 250,000 may be used to carry out analysis of the education sector, and the other half may be used for additional analytic work as well as the process of developing the sector plan.

¹⁰¹ Data on EPDGs are only available for 2012, 2013, and until October, 2014.

¹⁰² GPE Education Sector Plan Development Grant Guidelines. Revised October 8, 2014.

Since 2012, the GPE has allocated 30 EPDGs worth \$ 6.5 million and disbursed \$ 5 million - a disbursement rate of 76%.¹⁰³

Figure 5.

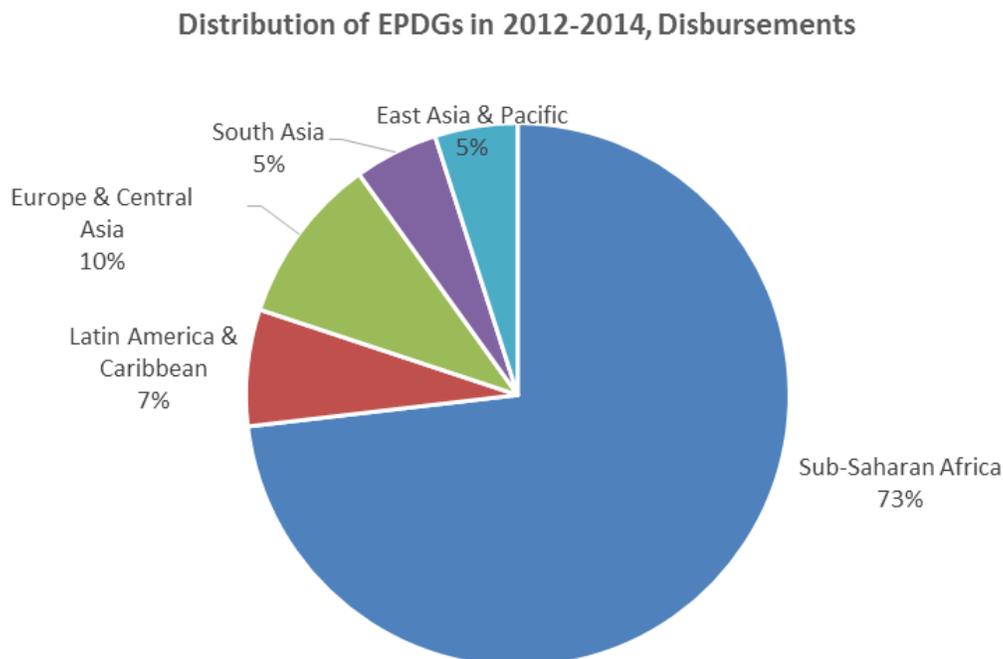


Since 2012, EPDG disbursements and allocations have steadily decreased. In 2012, 13 EPDGs totaling \$2.8 million were approved. The total annual approved amount has decreased since, with 2013 seeing 10 EPDGs worth \$2.28 million. As of October, 7 EPDGs worth \$1.46 million have been approved in 2014. The average EPDG is \$216,000 and 11 of the 30 countries who received an EPDG applied for a total amount less than the maximum allocated \$250,000. Somalia received an EPDG for \$370,000 – the only country to receive an EPDG over the maximum allocated amount. However, the decrease in EPDG disbursement cannot necessarily be interpreted as a sign of its decreased relevance, as EPDGs are tied to education sector plans, which typically cover 3-5 years.

The majority of EPDGs are directed to Sub-Saharan Africa and fragile and conflict-affected states. 73% of EPDGs have been disbursed to Sub-Saharan Africa and 53% to fragile and conflict affected states. One EPDG, worth \$ 250,000 has been disbursed to the Republic of Congo, the only non GPE member. The expectation is the Republic of Congo is developing its ESP and is preparing its membership application to the GPE.

¹⁰³ Note that data in 2014 include blank years (allocations that are not associated to a particular year). The disbursement rate improves to 90% when blank years are disregarded. Figures as of Oct, 2014.

Figure 6.

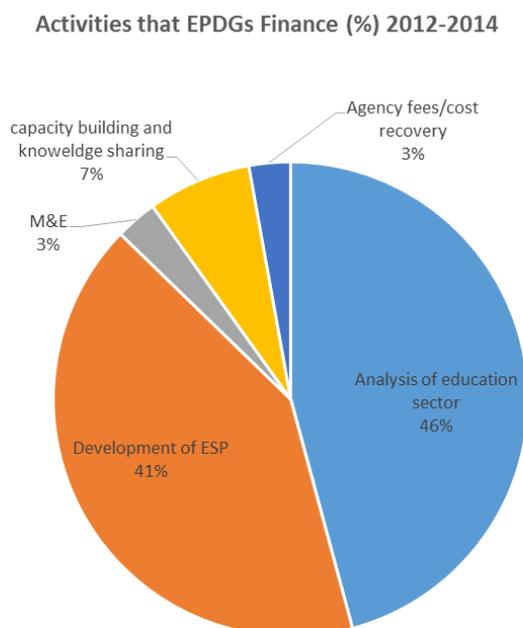


Source: GPE Secretariat Small Grants Database

The World Bank supervises the majority of EPDGs. The World Bank has served/is serving as the Supervising or Managing Entity for 16 EPDGs (53.3%), UNICEF for 13 (43.3%) and UNESCO the remaining grant.

Most EPDGs support education sector analysis. EPDGs fund a variety of activities that lead to the development and finalization, or revision, of an education sector plan. An analysis of 22 EPDGs shows that EPDG monies were spent primarily on education sector analyses or assessments (46%) or on the development of the ESPs (41%). Education sector analysis activities include undertaking education sector diagnostics, capacity gap analysis, and identifying causes of stagnation. These activities are mostly conducted by hiring international or national consultants, in partnership with national government. Other activities that the EPDGs finance are shown in the figure below.

Figure 7.



Source: GPE Secretariat Small Grants Database

There are no reporting requirements in place to assess the effectiveness of EPDGs. While EPDGs account for a relatively small percentage of GPE's funding portfolio, it is nevertheless notable that there is little documentation to monitor and track the implementation and performance of these grants. The GPE does not have specific requirements for Supervising or Managing Entities to report on how grants have been used. As such, there is a lack of documentation and evidence to assess how effective EPDGs have been in achieving their grant objectives.

Program Development Grant¹⁰⁴

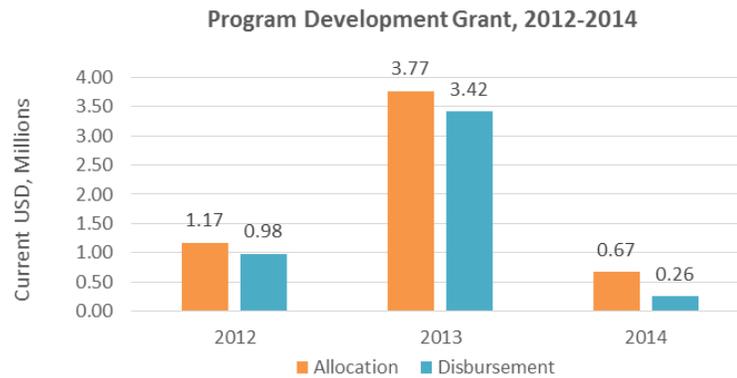
Established in 2012, the Program Development Grant (PDG) provides funding for costs associated with developing a GPE-financed implementation program. The PDG is intended to cover costs incurred by the SE or ME to develop the program document in preparation for the program implementation grant. PDGs are not transferred to the national government and all SEs or MEs nominated to support implementation of a program implementation grant are eligible to apply for a PDG.

Disbursement volumes of PDGs have fluctuated since inception. Since 2012, 29 PDGs have been approved for a total of \$ 4.6 million, 18 of which were approved in 2013. Apart from 2013, only \$ 980,000 was disbursed in 2012 and \$260,000 in 2014.¹⁰⁵

¹⁰⁴ PDG data are only available for 2012, 2013, and until October, 2014.

¹⁰⁵ Data for 2014 include blank years (PDGs that are not associated with a particular approval year). PDGs have a disbursement rate of 83%. If blank years are disregarded, the disbursement rate is 88%.

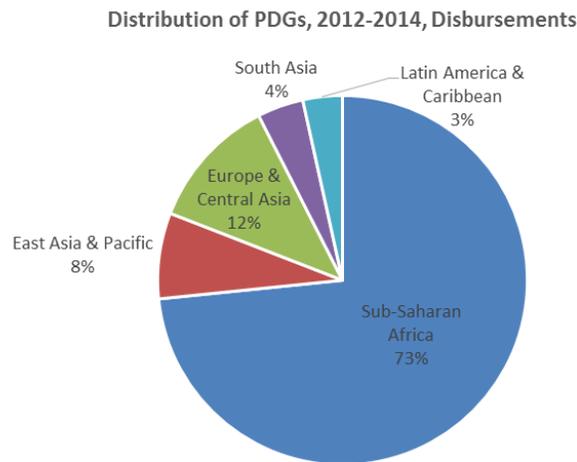
Figure 8.



Source: GPE Secretariat Small Grant Database

PDGs are mostly managed by the World Bank and used for program development in Sub-Saharan Africa. In 2012-2014, PDGs totaling \$ 3.1 million were disbursed in Sub-Saharan Africa, 73% of total disbursement during that period. \$ 2.3 million or 51% of total PDG funding was disbursed to fragile or conflict-affected states. 25 of the 29 PDGs were managed by the World Bank (86.2%), with 3 PDGs managed by UNICEF (10.3%) and one PDG managed by the Asian Development Bank (ADB).

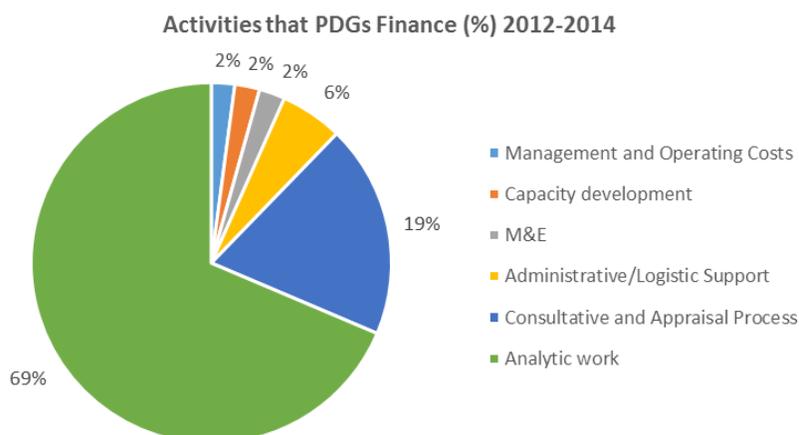
Figure 9.



Source: GPE Secretariat Small Grants Database

PDGs primarily finance analytical work. An analysis of 19 PDGs show that the majority of PDG monies finance analytical work such as fiduciary assessments, identification of program design options, risk and needs assessments, and data collection. Consultations with stakeholders and activities around the project appraisal process accounted for nearly 20% of total PDG financing in 2012-2014.

Figure 10.



Source: GPE Secretariat Small Grants Database

Of the 19 PDGs analyzed, none exceeded the standard allocation of \$200,000.

As with the EPDG, there is an absence of documentation to assess the effectiveness of the PDGs.

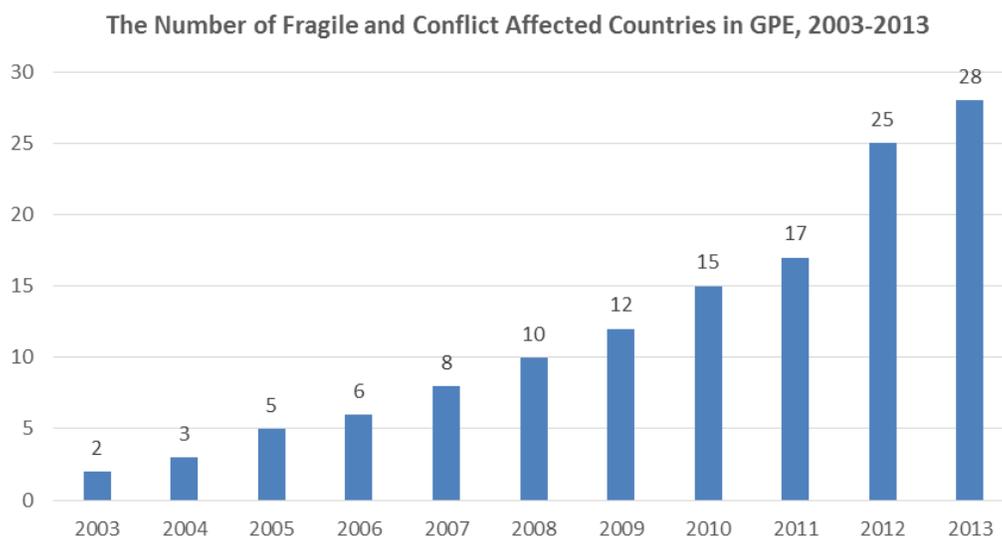
Target Countries and Populations

Finding 4: There has been a marked increase in GPE funding to fragile and conflict-affected states.

Disbursements to fragile and conflict affected states (FCAS) has doubled since 2011. In 2011, the GPE Board of Directors endorsed a directional shift on the part of GPE to provide additional support to fragile states. This decision has manifested itself in the inclusion of 16 additional FCAS as GPE member countries since the Board's decision.¹⁰⁶ Since 2010, the absolute amount of annual PIG funding directed to fragile states has steadily increased, from \$105 million in 2010 to \$269 million in 2014, as shown in figure 12 below (2012 constant US\$). In 2014, funding to FCAS exceed that of non FCAS countries. GPE was the fifth largest donor to FCAS in 2013.

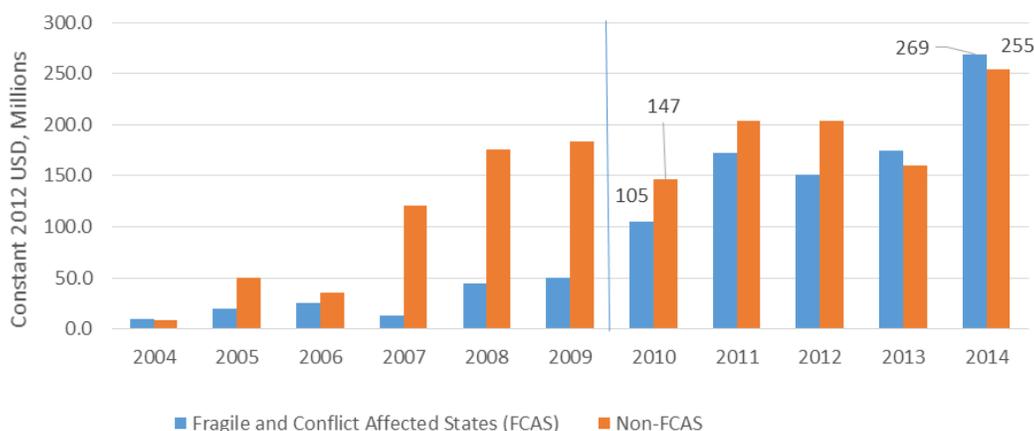
¹⁰⁶ The list of fragile states include Afghanistan, Burundi, Central Africa Republic, Chad, Comoros, Cote d'Ivoire, DRC, Eritrea, Guinea-Bissau, Haiti, Liberia, Madagascar, Malawi, Mali, Nepal, Niger, Nigeria, Pakistan, Sierra Leone, Somalia, South Sudan, Timor-Leste, Togo, Yemen, Zimbabwe.

Figure 11.



Source: GPE Secretariat

Figure 12. Annual GPE Disbursements to FCAS and non-FCAS members



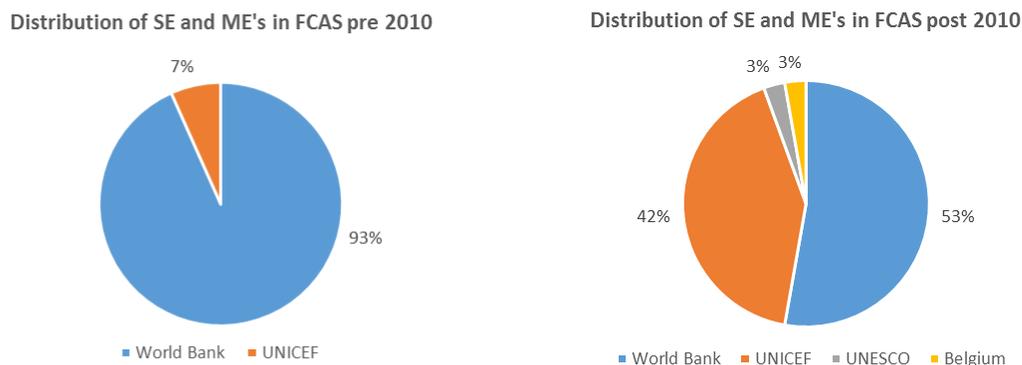
Source: GPE disbursement data

The average grant amount allocated to fragile states increased by 62% post 2010 as compared to pre-2010. In absolute, cumulative terms, this represents a \$16 million increase from \$26 million pre-2010 to \$42 million post-2010. Since 2010, the average program implementation grant for fragile states has surpassed those to non-fragile states (\$35.8 million).

The top recipients of GPE financing to FCAS were in SSA. In the post-2010 period, the top recipients of program implementation grants are Ethiopia (\$197 million), Madagascar (\$134 million), and Uganda, Pakistan, and the DRC (\$100 million each). The size of these grants is considerably larger than in the pre-2010 period, where the top recipients, Nepal, Madagascar, and Ethiopia were allocated \$120 million, \$75 million, and \$69.5 million respectively.

Since 2010, the distribution of Supervising or Managing Entities in FCAS has also diversified. Of the 15 grants approved before 2010, 14 were supervised by the World Bank, one by UNICEF. Since then, 36 program implementation grants have been approved. 19 are supervised by the World Bank, 14 by UNICEF, and the remainder by UNESCO and the Belgium Development Agency.

Figure 13.



Source: GPE Secretariat

In comparing FCAS and non-FCAS members post-2010, the World Bank has or is supervising 71% of program implementation grants in non-fragile members compared to 53% in fragile contexts. Within FCAS countries that use a ME, UNICEF plays that role for all but one FIG.

Finding 5: GPE funding is increasingly directed towards low income countries.

In 2012, nearly 81% of total GPE disbursements was directed to low income countries, which represents an increase from \$ 133 million in 2009. Moreover, funding to lower-middle income countries has decreased – both in proportional and absolute terms. In 2009, GPE disbursements to lower-middle income countries accounted for 40% of total spending as compared with 19% in 2012 (see tables 3 and 4)

Table 3.

GPE disbursement per OOSC and primary school aged child, 2009						
Income Category	Total disbursement (USD)	% of total disbursement	Mean disbursement per OOSC (USD)	Mean disbursement per school aged child (USD)	OOSC population	Primary school aged population
Low income	133,290,099	60%	6.61	1.17	20,155,948	113,486,893
Lower-middle income	88,562,754	40%	3.16	0.33	28,049,662	271,472,523
Total	221,852,853	100%	4.60	0.58	48,205,610	384,959,416

Table 4.

GPE disbursement per OOSC and primary school aged child, 2012						
Income Category	Total disbursement (USD)	% of total disbursement	Mean disbursement per OOSC (USD)	Mean disbursement per school aged child (USD)	OOSC population	Primary school aged population
Low income	285,340,167	81%	14.48	2.39	19,709,492	119,290,797
Lower-middle income	68,573,020	19%	2.51	0.25	27,369,956	278,373,503
Total	353,913,187	100%	7.52	0.89	47,079,448	397,664,300

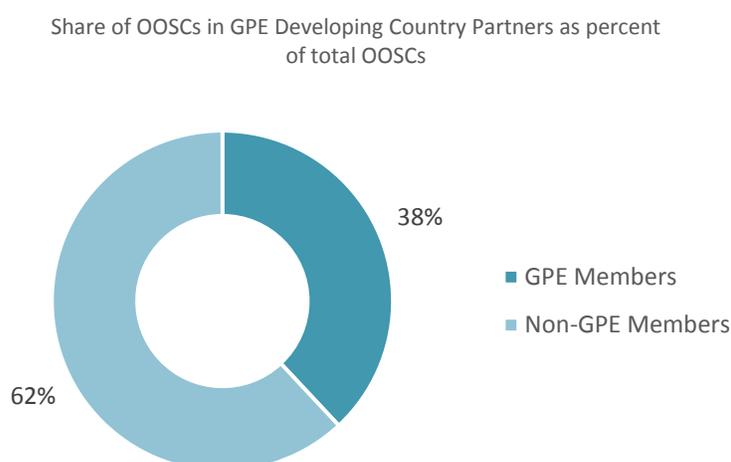
Finding 6: GPE developing country partners (DCPs) host an increasing share of both the school age and out-of-school child population.

The mean GPE disbursement per primary school aged child in low income countries has increased. The geographic expansion undergone by GPE has translated into an increase in the number of school age children found in GPE countries. The primary school age population of GPE countries increased from of 384 million in 2009 to 397 million in 2012.¹⁰⁷ Notably, the mean disbursement per primary school-aged child in low income counties increased from \$1.17 in 2009 to \$2.39 in 2012. This is attributable to increased size and volume of grants provided to low income countries.

The mean GPE disbursement per out of school child in low income countries has also increased. Part of GPE’s mission is to support its developing country partners in building, implementing, and monitoring national education strategies to reach out-of-school children (OOSC).¹⁰⁸ In 2012, low income countries contained 47 million out-of-school- children, or 34% of the total global out-of- school population. In 2012, the mean GPE disbursement per OOSC in low income countries increased from \$6.61 to \$14.48. However, mean GPE disbursement per OOSC decreased in lower-middle income countries from \$3.2 in 2009 to \$2.5 in 2012. In DCPs, there are an estimated 22 million OOSCs, representing 38% of total OOSC population (see figure 14).¹⁰⁹

Since 2010, new grant receiving member countries house 10 million, or an additional 17% of the world’s OOSC population.¹¹⁰

Figure 14.



¹⁰⁷ The school age population figures were drawn from 2013 UIS data.

¹⁰⁸ The findings in this section should be interpreted with caution as several DCPs lacked complete out of school children (OOSC) data and were dropped from the analysis.

¹⁰⁹ This does not imply that GPE spending on OOSC-focused activities has decreased.

¹¹⁰ Data drawn from the latest available data point since 2010, UIS.

Funding direction, modality and disbursement

Finding 7: GPE funding has been directed to countries that contribute a modest amount of domestic resources towards education.

Table 5 shows the relationship between amount of disbursed funds and domestic expenditure on education as a percentage of GDP. Nearly a quarter of GPE funds – \$522.2 million - have been disbursed to countries making a modest domestic financing commitment to education (less than 2% of public expenditure).¹¹¹ 85% of all GPE grants have been made to countries that commit less than 5%.

Table 5.

Distribution of PIG receiving countries and disbursement by level of public expenditure on education as % of GDP				
Expenditure category	Countries	% of total countries	Total PIG disbursement	% of total disbursement
2% and below	12	26%	522,231,691	23%
3-5 %	23	50%	1,422,491,448	62%
6 % and above	11	24%	350,785,840	15%
Total	46	100%	2,295,508,978	100% ¹¹²

Finding 8: The average time to develop a GPE program and gain approval has increased.

The average time to develop a GPE program has increased since 2009. On average, it took 8.7 months to develop a GPE program between 2010 and 2014.¹¹³ In comparison, the average time to develop a GPE program between 2006 and 2009 was 7.1 months. According to data from the GPE Secretariat, the average duration for program development exceeded 9 months for the first time in 2013, reaching 13.3 months in 2014. The primary reason for this increase is a more robust GPE quality assurance process, which is meant to ensure program relevance and alignment to GPE priorities and national education strategies.¹¹⁴

Table 6.

Average time to develop a GPE program, get Board approval, and obtain first disbursement, in months.											
	2006	2007	2008	2009	2010	2011	2012	2013	2014	Pre-2010	Post-2010
Development to approval	6.5	5.8	8	8.1	6	6.4	8.2	9.5	13.3	7.1	8.68
Approval to first disbursement	11.3	16.7	20.6	14.9	12.8	16.8	9.7	9.2	9.3	15.875	11.56

Source: Adapted from GPE Portfolio Review 2014

¹¹¹ These countries include Cambodia, Central African Republic, Chad, DRC, Eritrea, Guinea, Lao PDR, Liberia, Madagascar, Sierra Leone, Zambia, Zimbabwe

¹¹² The number of grant receiving countries since 2003 is only 46 because certain countries are dropped because of the lack of data on public expenditure.

¹¹³ Time spent developing the GPE program from conception to Board approval (GPE Portfolio Review 2014).

¹¹⁴ GPE Portfolio Review 2014

Delays between grant application and program start have decreased since 2010. Between 2003 and 2009, the average delay between grant application approval and program start was nine months and 19 days. This improved to five months and 17 days since 2010.

The average time between grant application approval and first disbursement has also improved since 2010. Between 2006 and 2009, first disbursements were provided approximately 16 months after grant approval. The average delay decreased to 11.6 months for the 2010-2014 period. Analysis from the GPE Secretariat indicates that time spent to sign the grant agreement after Board approval was the cause of many of the delays in disbursement.¹¹⁵

Global trends generally hold across regions, with few outliers. The average time between development and approval of a GPE program in SSA is almost identical to that of all other GPE countries. While the time between approval and disbursement is higher in SSA than in other regions, it has mirrored the broader trend by declining since 2010.

Average time for Sub-Saharan countries to develop a GPE program, get Board approval, and obtain first disbursement, in months											
	2006	2007	2008	2009	2010	2011	2012	2013	2014	Pre-2010	Post-2010
Development to approval	5.8	6.5	8.0	8.0	7.0	4.7	9.0	9.2	12.8	7.1	8.5
Approval to first disbursement	19.2	22.9	20.6	19.2	17.0	18.2	11.4	8.4	9.9	20.5	13.0

Source: Adapted from GPE Portfolio Review 2014

In East Asia, the second largest regional recipient of funding, delays have been comparatively shorter, although the time from development to approval and approval to first disbursement has actually increased since 2010.

Average time for East Asia countries to develop a GPE program, get Board approval, and obtain first disbursement, in months											
	2006	2007	2008	2009	2010	2011	2012	2013	2014	Pre-2010	Post-2010
Development to approval	7.2	7.2		7.6	6.6	6.4	9.2	9.9		7.3	8.0
Approval to first disbursement		14.3	9.2	4.0	11.7	12.0	10.3	12.2		9.2	11.5

Source: Adapted from GPE Portfolio Review 2014

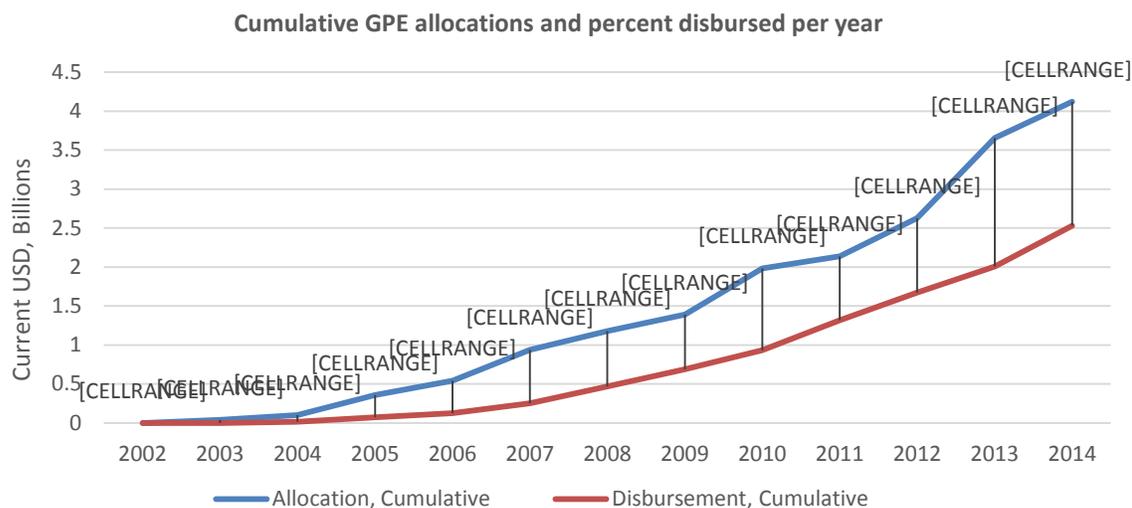
Importantly, there is considerable variance within regions. In SSA, while some countries, such as Mozambique, experienced relatively short lags between development and approval (3 months), others, such as Gambia, had much longer delays (over 13 months).

Finding 9: There is evidence to suggest that disbursement efficiency is increasing.

The cumulative disbursement rate per year has steadily increased over the period of 2010-2014. On average, the disbursement rate has reached above 50% since 2010, as compared to the prior period, which had a cumulative disbursement rate below 50%, suggesting that there have been improvements in GPE's efficiency in disbursing committed funds.

¹¹⁵ GPE Portfolio Review 2014

Figure 15.



Source: GPE Secretariat

Despite the improved disbursement rate, not all committed funds have been disbursed in a timely manner. Delayed disbursements have occurred for a variety of reasons – not all of which are caused by inefficiencies. In some instances exogenous factors such as political instability, security concerns, and seasonal weather patterns have all contributed to delayed disbursements. For example, Guinea-Bissau’s 2012 coup d’état led to a momentary suspension of all aid programs and GPE’s project period was subsequently shifted from 2012-2014 to 2013-2016. In Senegal, delays in 2013 were due to “security reasons and difficulties faced by building companies in accessing remote areas during the rainy season.”¹¹⁶

Endogenous factors have also contributed to delays, as with the case in Djibouti, in which weak governmental capacity and poor project design influenced implementation dates and the originally scheduled disbursement.

Finding 10: Most GPE funding continues to be channeled through project-specific modality.

GPE uses four primary means of channeling support to country recipients. The GPE Secretariat uses four different categories to classify these modalities: general budget support (financing disbursed once certain conditions, which may or may not be related to education, are met), sector budget support (funding channeled to the education sector – not tied to specific project), pooled funding (catch-all term to capture funding that is coordinated among many funding partners), and project funding (funding directed towards execution of specific projects).

More GPE grants in 2014 are channeled through a project modality than in 2008. The following table, drawn from the 2014 GPE portfolio review and the FTI Mid-term evaluation, compares the funding modality used by GPE in 2008 and 2014. Despite increased GPE emphasis on country ownership, the table reveals that the overwhelming majority of grants are still channeled through the project modality, in which countries’ own administrative (financial and procurement) systems are not used. Of a sample of 59 program implementation grants, 83% are channeled through the project modality, a 4 percentage point increase – meaning the share of pooled funding and sector budget support has decreased since 2008.

¹¹⁶ GPE Portfolio Review 2013, pg 32.

Table 7.

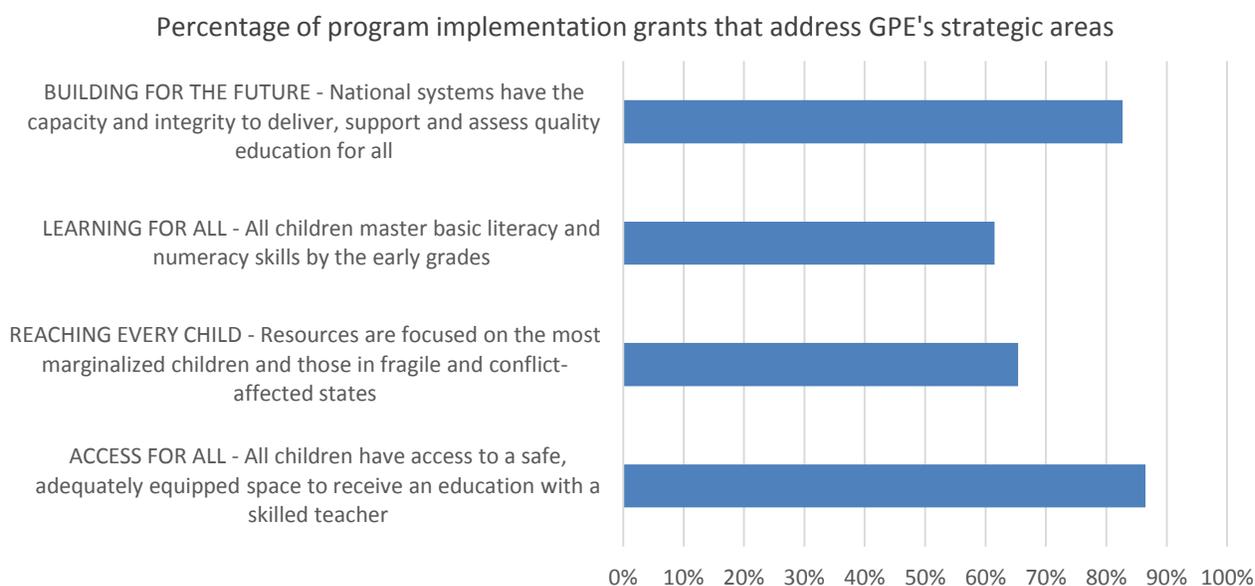
Comparison of Funding Modalities for Program Implementation Grants				
2008			2014	
Funding Modality	Number of Grants	Percent	Number of Grants	Percent
Project Mode	37	79%	49	83%
Pooled Funding	8	17%	8	14%
Sector Budget Support	2	4%	2	3%
Total	47	100%	59	100%

Source: Mid-term evaluation report 2010 & GPE Portfolio Review 2014

Finding 11: GPE funding is aligned with its strategic goals and directed towards an array of basic education activities.

A review of PIGs active during the years 2010-2014 suggests that most programs are aligned with the four strategic GPE goals of building for the future, learning for all, reaching every child, and access for all.¹¹⁷ The graph below, which shows the percentage of grants that aim to address each of these strategic areas, highlights this point and suggests that there has been a particular emphasis on capacity building and efforts to increase access to education.¹¹⁸

Figure 16.



¹¹⁷ Assigning shares of GPE financing to activity types presents a number of methodological challenges. As noted in the 2013 portfolio report, reporting formats (of different SEs and MEs) provide inconsistent information and there is considerable overlap across potential themes and activity types (e.g. a PIG-supported activity could support the themes of improved enrollment, equity, and capacity building simultaneously). Furthermore, assignment of activities to both GPE strategic objectives and themes required some judgment on the part of analysts. As such, the information presented below should only be regarded as illustrative, rather than a definitive analysis of the types of activities that GPE is supporting.

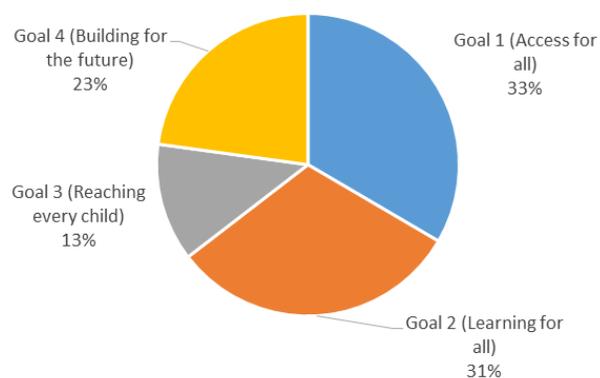
¹¹⁸ When grants contain activities that contribute to more than one goal, certain rules were applied. 1) When program components focus on two goals, the grant amount is split equally to each goal. 2) When activities contain themes of more than two goals, only the perceived major theme (goal) is captured. 3) General program management costs are divided by four and equally distributed to each goal.

This analysis employs GPE's definition of its goals. Activities that aim at broadening access to education, such as, school building and infrastructure, as well as teacher training are considered **Goal 1** (Access for All). Activities with a focus on quality of education, such as, teaching and learning materials, curriculum development and students' assessment are considered **Goal 2** (Learning for All). **Goal 3** (Reaching Every Child) includes activities that focus on equity, such as components that target at rural areas, girls or those disadvantaged, as well as inclusive education. Institutional or education system building activities, as well as decentralized activities were coded as **Goal 4** (Building for the Future).

In terms of total monetary amount, the majority of GPE funding is targeted towards Access for All and Learning for All goals. Nearly 64 % of GPE funds are allocated towards these goals, compared with 23 % for *Building for the Future* and 13 % for *Reach Every Child*. A comparison of grants pre-2010 could not be conducted due to the lack of data for the pre 2010 period.

Figure 17.

Share of Program Implementation Grants to GPE Strategic Goals in % of Total Amount



Source: PIG grant applications and program documents

In addition to supporting these broad objectives, GPE financing is distributed to an array of different activities, which are classified into eight categories: 1) Institutional capacity building, 2) School-based management, 3) Construction/Infrastructure development, 4) Targeted financing and school grants, 5) Learning materials, 6) Teacher training/development, 7) Program support, and 8) General.

The kinds of activities included in the main categories are described in the table below.¹¹⁹

¹¹⁹ As mentioned above, this analysis should be interpreted with caution as several GPE program components usually include more than one activity. In cases where components include three or more activities, the component is profiled as "general". In cases where a program component includes two distinct sets of categories, the component budget is split equally between the two categories. In all other cases, the program components are classified based on the overarching objective described in implementation grant applications or program documents.

Table 8.

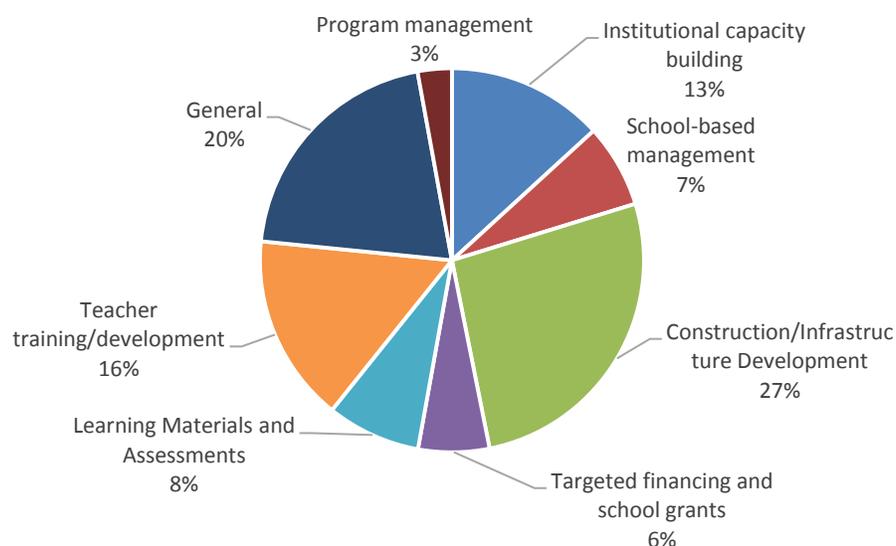
Category	Activities
1) Institutional capacity building	Technical assistance, workshops, and trainings that aim at improving sector wide management; capacity building to improve governance of ministry of education; strengthening of public financial management
2) School-based management	Technical assistance, workshops, and trainings that aim at building capacity at the school level; increasing capacity of school leadership, head teachers, and school management committees;
3) Construction/Infrastructure Development	Construction and rehabilitation of education facilities, latrines, classrooms,
4) Targeted financing and school grants	Direct financial support to disadvantaged students, scholarships, CCTs, school grants,
5) Learning Materials and Assessments	Provision of textbooks, classroom equipment, teaching materials, assessments, curriculum reviews
6) Teacher training/development	Teacher training, teacher professional development, teacher salary and incentives, pedagogical support
7) Program support	Operational activities such as program supervision, program M&E, and logistical costs
8) General	Components that include three or more distinct set of activities where costs cannot be approximated to one unique category.

GPE program implementation grants primarily support construction/infrastructure development related activities. An analysis of the 49 grants active during the period 2010-2014, reveals that GPE funding is most heavily concentrated into two buckets: construction/infrastructure development and institutional capacity building. These two categories constitute 40% of GPE-funded activities – a percentage that is likely higher as the “general” category includes blended activities (e.g. programs with multiple components).¹²⁰

¹²⁰ Care should be taken to ensure that frequency of activities is not conflated with amounts of funding directed for certain activities. For example, programs to improve teacher training and development were included in most grant applications. Nevertheless, financing for this component represents only 16% of total funding.

Figure 18.

Share of program implementation grants by activities as percentage of total amount, 2010-2014



Source: PIG grant application and program documents

Construction and infrastructure related activities dominate the share of total GPE funding in SSA and FCAs. In sub-Saharan Africa (SSA), construction and infrastructure development related activities account for 28 % of total GPE financing to the region. Teacher training received the second largest portion of GPE financing with 19 % of the total amount.

Similarly, 38 % of gross GPE financing were targeted towards construction and infrastructure development activities in fragile and conflict-affected states (FCAS). 16 % of total grant amounts in FCAS supported teacher training and development and 13 % to institutional capacity building.

Table 9.

Share of program implementation grants by activities as percentage of total amount, 2010-2014

Activity	SSA	FCAS	All DCPs
Institutional capacity building	14%	13%	13%
School-based management	6%	5%	7%
Construction/Infrastructure Development	28%	34%	27%
Targeted financing and school grants	6%	8%	6%
Learning Materials and Assessments	8%	8%	8%
Teacher training/development	19%	16%	16%
General	18%	13%	21%
Program management	2%	2%	3%

Source: GPE PIG application and program documents

Finding 12: GPE Programs have mostly achieved grant objectives, but lack of national capacity has, in some instances, affected implementation and achievement of outcomes.

Eighteen closed FTI/GPE projects supervised by the World Bank were analyzed using Implementation Completion Reports (ICRs).¹²¹ Prepared by the World Bank at the close of every IDA, IBRD, or programmatic policy operations, the ICRs are intended to provide a complete and systematic account of the performance and results of each operation (ICR Manual, World Bank IEG). These self-evaluation reports assess the extent to which projects achieve their relevant objectives, as measured by outcome ratings. As shown in Table 10 below, 61% of FTI/GPE projects supervised by the World Bank were rated as “moderately satisfactory” in achieving its project objectives. Five projects were rated as “satisfactory”, one as “moderately unsatisfactory”, and one as “unsatisfactory”.¹²²

Ghana’s unsatisfactory rating is because the MOE project implementation team did not follow the Bank procurement guidelines. Expenditure of the initial advance of \$8.6 million was considered ineligible because the MOE could not provide complete supporting documentation of spending. The initial advance had to be repaid and the project subsequently closed because of the lack of supporting documentation.

According to these reports, common factors affecting outcomes and delays were related to national government capacity and weak fiduciary systems.

Table 10.

FTI/GPE: Summary of World Bank Implementation Completion Report Outcome Ratings				
Country	Grant agreement and/or start date	Closing date	Grant amount	Outcome Rating
Benin	04/18/2008	06/15/2012	75,108,025	Moderately Satisfactory
Burkina Faso	06/29/2009	09/30/2012	102,000,000	Moderately Satisfactory
Cambodia	06/13/2008	12/31/2012	57,360,856	Moderately Satisfactory
Cameroon	06/06/2007	10/31/2008	24,800,000	Moderately Satisfactory
Djibouti	05/03/2006	09/20/2010	8,000,000	Moderately Satisfactory
Gambia, The	08/06/2009	09/30/2013	27,998,912	Moderately Satisfactory
Ghana	04/01/2009	06/30/2011	14,200,000	Unsatisfactory
Guyana	09/28/2004	12/31/2012	32,919,857	Moderately Satisfactory
Kyrgyz Republic	03/23/2011	12/31/2012	5,908,730	Satisfactory
Lao People's Democratic Rep	08/12/2010	08/31/2014	30,000,000	Moderately Satisfactory
Mauritania	04/08/2008	03/31/2012	13,998,039	Moderately Unsatisfactory
Mongolia	03/16/2007	12/31/2013	29,400,000	Moderately Satisfactory
Mozambique	08/21/2008	12/31/2010	79,000,000	Satisfactory
Niger	10/15/2009	05/31/2012	8,000,000	Moderately Satisfactory
Rwanda	10/22/2009	06/30/2010	35,000,000	Satisfactory
Sierra Leone	09/15/2008	09/30/2012	11,691,405	Moderately Satisfactory
Tajikistan	01/19/2010	06/30/2013	13,500,000	Satisfactory
Yemen, Republic of	09/30/2009	08/31/2013	19,989,071	Satisfactory

Source: World Bank, IEG, Implementation Completion Reports and GPE Secretariat

¹²¹ The 18 ICRs were collected through the World Bank’s website. Several more ICRs have been received from the GPE secretariat since the time of this analysis.

¹²² Outcome achievement rating scale is the following: Highly Satisfactory - There were no shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance; Satisfactory - There were minor shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance; Moderately Satisfactory - There were moderate shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance; Moderately Unsatisfactory - There were significant shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance; Unsatisfactory - There were major shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance; Highly Unsatisfactory - There were severe shortcomings in the operation’s achievement of its objectives, in its efficiency, or in its relevance.

Finding 13: Secretariat staff travel and support to sector monitoring have increased over the past year.

Since 2011, the number of country visits by secretariat staff increased from 9 in 2011 to 44 in 2013, with 80 country trips projected for 2014.¹²³ The expansion of the secretariat has partly led to the increase in the number country visits. The size of the secretariat has grown by 72% since 2012, from 36 to 62 staff. During the same period, country support staff has increased from 19 to 22. As a result, the average number of country visits per country support staff has increased since 2012, from 3 to 3.6.

Table 11.

Number of missions and share of travel objective					
Year	Number of visits	ESP development	GPE Grant Related	Sector monitoring	Other country support
2011	9	12.1	28.7	35.8	23.4
2012	56	15.2	68.6	5.3	10.9
2013	44	24.7	57.7	16.8	0.8
2014	80	23.8	23.4	37.9	14.8
Average	47	18.95	44.6	23.95	12.475

Source: Adapted from GPE 2014/15 Results for Learning Report pg 79

The objective of country visits has also evolved in recent years. In 2011, there was some parity across travel objectives. However, the primary objective of well over half of the country missions in 2012 and 2013 was GPE grant implementation support and monitoring. In 2014 secretariat staff made more visits to address broader sector monitoring and ESP development.

In-country management

Finding 14: There has been significant diversification of managing and supervising entities since 2010.

GPE has sought to diversify the list of organizations that serve as managing and supervising entities of their grants, striving to move away from the model that had the World Bank as the near-exclusive SE. These efforts have indeed yielded a rebalancing of managing and supervising entities. As reflected in Table 13, UNICEF has served as SE for 25% of program implementation grants approved since 2010, and five different entities (DFID, UNSECO, SIIDA, AFD, and BTC) have taken supervisory roles. Of the grants approved in 2013, 13 used non-World Bank SEs/MES.

Table 12.

Distribution of Supervising Entities of Grants Approved prior to 2010					
Entity	Number of Grants	Percentage	Total Amount	Percentage	
World Bank	45	96%	1,315,351,735	95%	
UNICEF	1	2%	15,000,000	1%	
Netherlands	1	2%	60,200,000	4%	
Total	47	100%	1,390,551,735	100%	

¹²³ Country visits are assumed to reflect only country support team travel.

Table 13.

Distribution of Supervising Entities of Grants Approved since 2010					
Entity	Number of Grants	Percentage	Total Amount	Percentage	
World Bank	40	63%	1,755,028,573	71%	
DFID	2	3%	105,200,000	4%	
UNICEF	16	25%	371,230,000	15%	
UNESCO	1	2%	7,060,000	0.3%	
Sida	2	3%	100,000,000	4%	
AFD	1	2%	78,200,000	3%	
Belgium	1	2%	52,900,000	2%	
Total	63	100%	2,469,618,573	100%	

Summary

The findings described above lend credence to the notion that GPE has evolved considerably since 2010. While this analysis highlights these change through a specific lens – namely through an examination of GPE documents – it provides evidence of GPE’s increasing geographic reach, concerted focus on fragile states, diversification of supervising and managing entities, etc. These findings also highlight certain areas that merit further consideration on the part of the Secretariat and Board, including around the effects of constant GPE change in grant guidelines and procedures and the need for more consistent results monitoring.

Annex 1: Summary of findings:

- 1) GPE is expanding its geographic reach and the number and size of its implementation grants.
- 2) The Education Plan Development Grants and Program Development Grants are small and potentially relevant financial instruments, but the effectiveness of these grants cannot be assessed because of a lack of documents.
- 3) GPE is directing more of its funding into countries with the greatest need, such as fragile and conflict affected states, low income countries, large out-of-school populations, and countries with low domestic financing for education.
- 4) GPE has greatly diversified those organizations that serve as supervising or managing entities.
- 5) Program implementation grants align with the GPE strategic priorities and most commonly finance construction/infrastructure development activities.
- 6) Efficiency in the GPE grant application process appears to have decreased but disbursement rates have increased.

Annex 2: Documents Consulted

GPE. (2014) Country Documents:

Afghanistan: 43 documents reviewed including ESP, JSR, PIG and Progress Report

Albania: 3 documents reviewed including ESP

Benin: 18 documents reviewed including ESP, JSR, EPDG and Program

Implementation Grant

Bhutan: Education Sector Strategy has been reviewed.

Burkina Faso: 16 documents reviewed including ESP, JSR, EPDG and Program Implementation Grant

Burundi: 12 documents reviewed including ESP, JSR, and Program Implementation Grant

Cambodia: 20 documents reviewed including ESP, JSR, EPDG, PDG and Program Implementation Grant

Cameroon: 22 documents reviewed including ESP, JSR, EPDG, PDG and Program Implementation Grant

Central African Republic: 31 documents reviewed including ESP, JSR, EPDG, PDG and Program Implementation Grant

Chad: 16 documents reviewed including ESP, PDG and Program Implementation Grant

Comoros: 16 documents reviewed including ESP, JSR, EPDG and Program Implementation Grant

Cote d'Ivoire: 12 documents reviewed including ESP and Program Implementation Grant

Democratic Republic of Congo: 14 documents reviewed including ESP and Program Implementation Grant

Djibouti: 19 documents reviewed including ESP and Program Implementation Grant (2010, 2013)

Eritrea: 21 documents reviewed including ESP, EPDG, PDG and Program Implementation Grant

Ethiopia: 19 documents reviewed including ESP, JSR and Program Implementation Grant (2010, 2013)

Gambia: 22 documents reviewed including ESP, JSR, EPDG, PDG and Program Implementation Grant

Georgia: 3 documents reviewed including ESP

Ghana: 24 documents reviewed including ESP, JSR, and Program Implementation Grant

Guinea: 28 documents including ESP, JSR, EPDG, PDG Program Implementation Grant 2010 and Program Implementation Grant 2014.

Guinea-Bissau: 10 documents including ESP, Program Implementation Grant

Guyana: 13 documents including ESP, EPDG, and PDG

Haiti: 30 documents including ESP, JSR, EPDG, PDG Program Implementation Grant 2010 and Program Implementation Grant 2014.

Honduras: 5 documents including ESP

Kenya: 11 documents including ESP, EPDG, PDG, Program Implementation Grant

Kyrgyz Republic: 13 documents including ESP, PDG, Program Implementation Grant

Lao PDR: 15 documents including ESP, JSR, EPDG, PDG Program Implementation Grant 2010 and Program Implementation Grant 2014

Lesotho: 10 documents including ESP, JSR, EPDG

Liberia: 14 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Madagascar: 20 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Malawi: 18 documents including ESP, JSR, EPDG, and Program Implementation Grant

Mali: 11 documents including ESP, PDG, and Program Implementation Grant

Mauritania: 12 documents including ESP, PDG, and Program Implementation Grant

Moldova: 9 documents including ESP and Program Implementation Grant

Mongolia: 12 documents including ESP, JSR, and Program Implementation Grant

Mozambique: 16 documents including ESP, JSR, and Program Implementation Grant

Nepal: 7 documents including ESP and JSR

Nicaragua: 8 documents including ESP, JSR, EPDG, and Program Implementation Grant

Niger: 23 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Nigeria: 11 documents including EPDG, PDG, and Program Implementation Grant

Pakistan – Baluchistan: 8 documents including ESP and Program Implementation Grant

Pakistan – Sindh: 14 documents including ESP, EPDG, PDG, and Program Implementation Grant

Papua New Guinea: 10 documents including ESP, JSR, and Program Implementation Grant

Rwanda: 15 documents including JSR and Program Implementation Grant

Sao Tome and Principe: 12 documents including ESP, PDG, and Program Implementation Grant

Senegal: 14 documents including ESP, JSR, PDG, and Program Implementation Grant

Sierra Leone: 21 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Somalia: 4 21 documents including ESP, EPDG, and Program Implementation Grant

Somalia - Centre South Zone: 8 documents including EPDG and PDG

Somalia – Puntland: 8 documents including ESP, JSR, and Program Implementation Grant

Somalia – Somaliland: 8 documents including ESP and Program Implementation Grant

South Sudan: 7 documents including ESP and Program Implementation Grant

Sudan: 6 documents including ESP and Program Implementation Grant

Tajikistan: 13 documents including ESP, EPDG, PDG, and Program Implementation Grant

Tanzania – Mainland: 12 documents including ESP, JSR, and Program Implementation Grant

Tanzania – Zanzibar: 6 documents including ESP and Program Implementation Grant

Timor-Leste: 7 documents including ESP, JSR, and Program Implementation Grant

Togo: 16 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Uganda: 17 documents including ESP, JSR, EPDG, PDG, and Program Implementation Grant

Uzbekistan: 15 documents including ESP, EPDG, PDG, and Program Implementation Grant

Vietnam: 7 documents including ESP and Program Implementation Grant

Yemen: 14 documents including ESP, JSR, and Program Implementation Grant

Zambia: 18 documents including ESP, JSR, and Program Implementation Grant

Zimbabwe: 17 documents including ESP, EPDG, PDG, and Program Implementation Grant

GPE. (2014) Grant Portfolio Review

GPE. (2013) Results for Learning Report 2013/14

GPE. (2014) Results for Learning Report 2014/15

GPE. (2014) Secretariat-provided financial documents on program implementation grant disbursements

GPE. (2014) Secretariat Small Grants Database of EPDGs and PDGs

OECD-DAC CRS data (accessed 2014).

UIS, Education Data on OOSC and School Aged Population