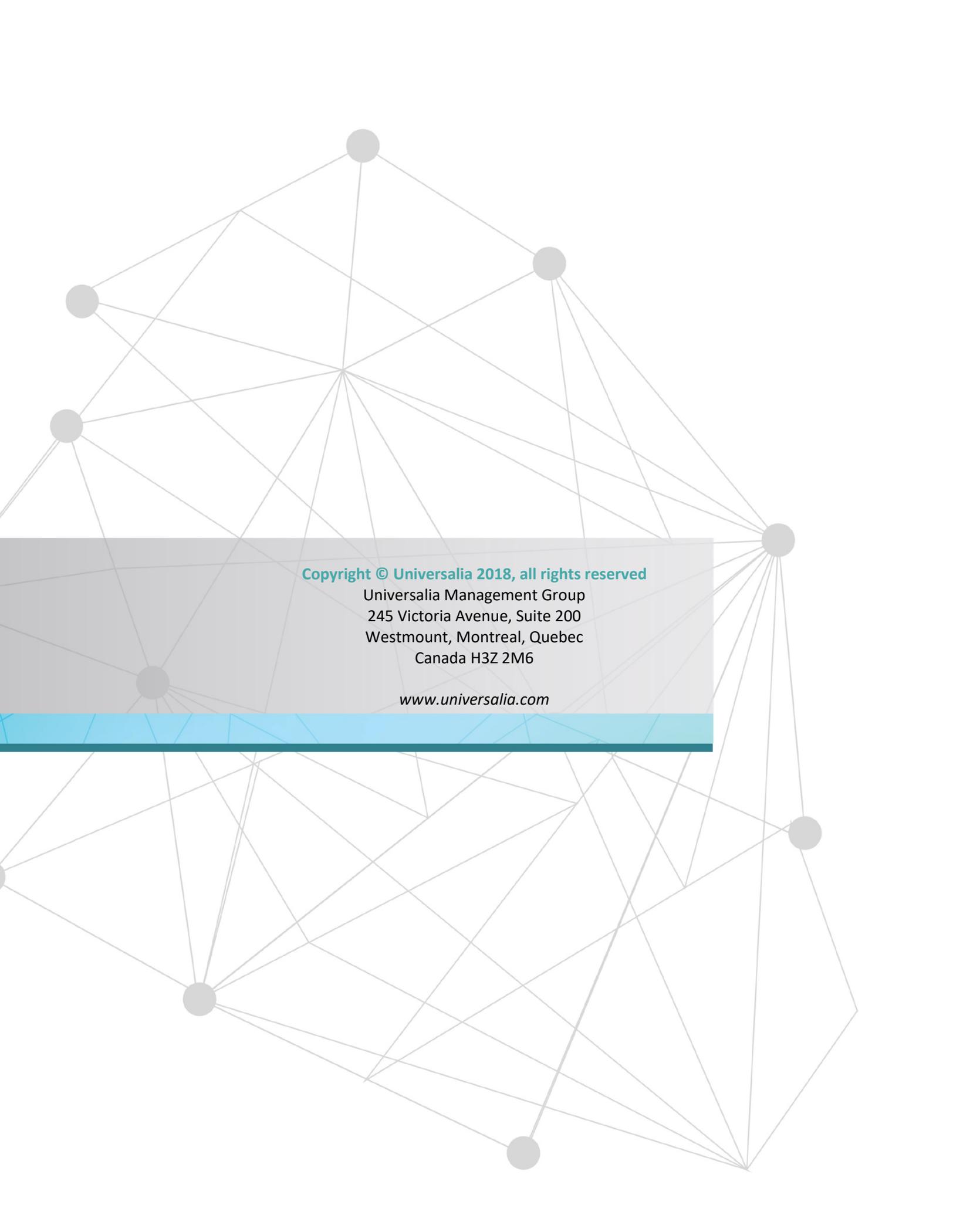


Design and Implementation of an Evaluation of the GPE's Support to Sector Plan Development

Including through Education Sector Plan Development
Grants (ESPDG) in the context of GPE 2020

FINAL INCEPTION REPORT | SEPTEMBER 2018



Copyright © Universalia 2018, all rights reserved

Universalia Management Group
245 Victoria Avenue, Suite 200
Westmount, Montreal, Quebec
Canada H3Z 2M6

www.universalia.com

Acronyms

ADB	Asian Development Bank
BOD	Board of Directors
CA	Coordinating Agency
CLE	Country Level Evaluations
DFID	Department for International Development
DRC	Democratic Republic of Congo
EFA FTI	Education for All Fast-Track Initiative
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grants
FCAC	Fragile and Conflict-Affected Countries
FFF	Financing and Funding Framework
FM	Funding Model
FTI	Fast Track Initiative
GA	Grant Agent
GPE	Global Partnership for Education
IIEP	International Institute for Educational Planning
IR	Inception Report
ITRP	Independent Technical Review Panel
KII	Key Informant Interviews
LAC	Latin America and the Caribbean
LEG	Local Education Groups

MCA	Maximum Country Allocation
QAR	Quality Assurance Review
RF	Results Framework
SDG	Sustainable Development Goal
SIDA	Swedish International Development Agency
TA	Technical Assistance
TEP	Transitional Education Plan
TOR	Terms of Reference
UMG	Universal Management Group
UNESCO	United Nations Education Science And Culture Organization
UNICEF	United Nations Children’s Fund
US	United States

Contents

1	INTRODUCTION	1
1.1	Assignment features	1
1.2	Context	2
1.2.1	GPE internal context.....	2
1.2.2	GPE external context: Education sector planning.....	6
2	METHODOLOGY	8
2.1	Methodological approach.....	8
2.1.1	Overall approach	8
2.1.2	Theory of Change for GPE support to sector plan development	8
2.1.3	Scope of the assignment	12
2.2	Data collection	15
2.2.1	Evaluation matrix	15
2.2.2	Sampling strategy.....	18
2.2.3	Data sources and methods of data collection.....	23
2.3	Data analysis and data quality assurance.....	27
2.3.1	Data analysis.....	27
2.3.2	Data quality assurance	28
3	DELIVERABLES AND WORK PLAN	30
3.1	Timeline for main deliverables	30
3.2	Level of effort	31
3.3	Deliverables	32
4	ASSIGNMENT MANAGEMENT	34
4.1	Team organization and staffing	34
4.2	Quality assurance	35
4.3	Stakeholder engagement and communication	35
4.4	Risk management	35

Figures

Figure 1.1	GPE at country and global levels	3
Figure 2.1	Draft theory of change of GPE's support to sector planning	10

Tables

Table 2.1	Key underlying assumptions.....	11
Table 2.2	Foci, data sources and deliverables of the two assignment phases	13
Table 2.3	Key evaluation questions and lines of enquiry.....	15
Table 2.4	Proposed sample of countries.....	20
Table 2.5	Characteristics of population and desk study sample based on selection criteria	22
Table 2.6	Key types of documents	24
Table 2.7	Data analysis.....	27
Table 3.1	Main deliverables and proposed timeline.....	30
Table 3.2	Level of Effort – Desk study phase	31
Table 3.3	Level of Effort –Country consultation phase.....	31
Table 3.4	Report outline: Desk Study Report.....	32
Table 3.5	Report outline: Evaluation Report.....	33
Table 4.1	Team organization and staffing.....	34
Table 4.2	Risks and mitigation strategies.....	35

Appendices

Appendix I	Evaluation Terms of Reference	37
Appendix II	List of Consulted Individuals.....	45
Appendix III	List of Reviewed Documents	46
Appendix IV	Evaluation Matrix.....	48
Appendix V	Evaluation QA Advisors	58

1 Introduction

1.1 Assignment features

Background¹

1. Established in 2002, the Global Partnership for Education ("Global Partnership," or GPE), formerly the Education for All Fast-Track Initiative (EFA FTI), is a multi-stakeholder partnership focused on supporting and financing basic education in developing countries. It provides its developing country partners support to build and implement sound education plans.² The Global Partnership aims to achieve quality learning outcomes for all children by efficiently promote coordination, harmonization and alignment of international development support to countries' education policies, strategies and priorities.
2. In December 2015, the GPE Board of Directors adopted a new strategic plan, GPE 2020, which sets out the goals and objectives for the partnership between 2016 and 2020. In June 2016, the Global Partnership for Education (GPE) adopted a monitoring and evaluation (M&E) strategy to cover its 2016-20 Strategic Plan period. The strategy includes a results framework for monitoring progress across the three goals and five strategic objectives in GPE's theory of change. The strategy also calls for a linked set of evaluation studies that explore how well GPE outputs and activities contribute to outcomes and impact at the country-level. Instead of applying a single summative evaluation at the end of GPE's five-year plan, the strategy calls for programmatic, thematic and country-level evaluations to be conducted between 2017 and 2020, which will feed into a summative evaluation envisaged for 2020.
3. Given the central role of robust education sector plans in achieving Sustainable Development Goal (SDG) 4 at the country level, and thus their central role in GPE's overall theory of change, the GPE Board mandated the Secretariat to pursue a programmatic evaluation of GPE's support to sector plan development, including through Education Sector Plan Development Grants (ESPDG) and other modalities.

Objectives

4. The objective of this assignment is to design and implement an evaluation study to assess the relevance, efficiency and effectiveness of GPE's support to sector planning, and provide recommendations for improvement. In doing so, the evaluation will complement ongoing monitoring of GPE results framework indicators 16 a-d³ through the Secretariat.

¹ As per assignment Terms of Reference (TOR).

² This includes providing support for effective, inclusive and participatory sector dialogue and monitoring, and for more and better education sector financing.

³ These indicators measure the proportion of endorsed education sector plans (ESP)/transitional education plans (TEP) (a) that meet quality standards; (b) that have a teaching and learning strategy meeting quality standards; (c) with a strategy to respond to marginalized groups that meets quality standards; and (d) with a strategy to improve efficiency that meets quality standards. Source: GPE 2020, p.23.

5. The terms of reference (ToR) for the overall assignment are included as Appendix I.

Evaluation scope and intended users

6. The study will examine GPE's support to sector planning through ESPDGs and other modalities since the first ESPDG grant was approved in 2012, and up until the time of this evaluation i.e. mid-2018.
7. The evaluation assignment will include two phases with different tasks and deliverables:
 - A desk-study phase (Desk Study Report and accompanying slide presentation) to explore the relevance, effectiveness and efficiency of GPE modalities of support to sector planning, especially through the ESPDG funding mechanism;⁴
 - A country consultation phase (Evaluation Report and accompanying slide presentation) that brings additional country-level data to the Desk Review to assess the relevance, effectiveness and efficiency of the ESPDG and other GPE modalities of support to sector planning in the context of GPE's country level evaluation portfolio.
8. The intended users of the evaluation are the Secretariat, as well as members of the Global Partnership for Education, including developing country partner governments, development partners, and other members of local education groups (LEG). Secondary intended users include the wider education community at global and country levels.

Purpose and structure of the inception report

9. The Inception Report (IR) is a working document until approved, after which time it will form the agreement between the Secretariat and the evaluation team on the operational plan for the overall assignment. It builds on the ToR and has been informed by a small number of interviews with the GPE Secretariat (see Appendix II) and a review of documents (Appendix III) and data sets available for this evaluation. The IR describes the methodology and organization of the evaluation and serves as a handbook for members of the evaluation team. It has been shared with the ESPDG Independent Technical Review Panel (ITRP) as part of the consultative approach to the evaluation. Once approved by the GPE Secretariat, the inception report guides the subsequent evaluation and reporting phases.
10. Following this introduction, section 1.2 reflects on key contextual factors relevant to this assignment. Section 2 describes our evaluation methodology. Section 3 gives an overview of the evaluation workplan, while the final section 4 discusses assignment management including team organization and staffing.

1.2 Context

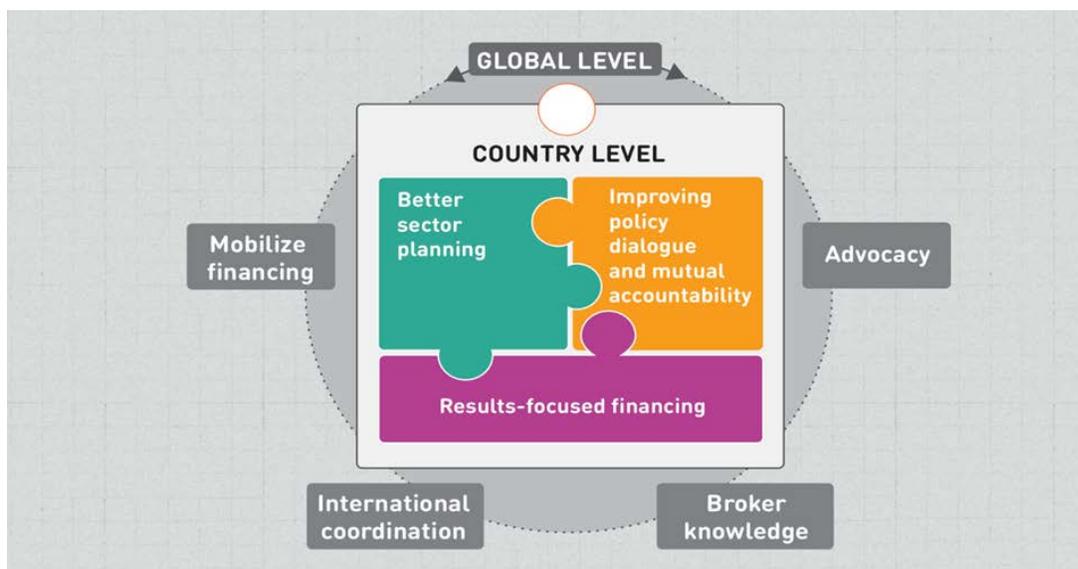
1.2.1 GPE internal context

11. As stated in the GPE (overall) theory of change, and as illustrated in Figure 1.1, sector planning is one of three core levers of the GPE operational model. For this model to work optimally, the core levers of

⁴ Understood as the 'package' of funding, procedures, guidelines, capacity building and technical services.

(i) national sector planning cycles, (ii) education sector coordinating mechanisms and (iii) financial support have to work together in ways appropriate and adapted to the respective context. GPE seeks to impact country-level processes in all three of these areas through levers that influence development cooperation and financing, and through its financial support. Global level efforts related to mobilizing financing, advocacy, international coordination and knowledge brokering aim to support and facilitate country-level processes.⁵

Figure 1.1 GPE at country and global levels⁶



12. The GPE internal context has evolved since the first ESPDG grant was approved in 2012. Key developments that are relevant in view of GPE’s support for sector planning processes include the following:

- In 2014, the GPE Board – as part of introducing a new funding model (GPE FM) – decided to require countries to submit a credible and endorsed ESP as part of their application for education program implementation grants (ESPIG) to ensure that education aid, including from the GPE (i) is based on a solid, nationally owned analysis of the challenges of delivering quality basic education to all boys and girls, including those from marginalized groups, and (ii) builds institutional capacity to deliver education services equitably and efficiently.”⁷ Submitting quality sector plans became the requirement for countries to access the fixed portion of the Maximum Country Allocation (MCA). To access the variable, performance-based share of the MCA, countries must achieve agreed-upon

⁵ Sources: GPE (undated): GPE 2020. Power Point Presentation. GPE. *Country-level Process Guide. An overview*. GPE, 2017. The specific nature and envisaged effects of different types of GPE support to sector planning are discussed in section 2.1.2 (theory of change for sector planning).

⁶ Adapted from: Global Partnership for Education. *GPE 2020. Improving learning and equity through stronger education systems*. Power Point Presentation. GPE 2017.

⁷ Global Partnership for Education (2014). Report of the Country Grants and Performance Committee Part 1: Operational Framework for Requirements and Incentives in the Funding Model of Global Partnership for Education and Results (BOD/2014/05-DOC 03), Meeting of the Board of Directors, May 28, 2014.

results linked to their learning, equity, and efficiency strategies as outlined in their ESP/TEP.⁸ As part of this decision, the ESPDG can now be used to finance Education Sector Analysis (ESA) up to \$250,000, so that since 2014 the total funding available for each ESPDG increased from \$250,000 to \$500,000.

- To operationalize the FM, the Secretariat developed or co-developed knowledge products and tools, including Education Sector Analysis Methodological Guidelines⁹; Education Sector Plan Preparation Guidelines that clarify standards and requirements for improving the quality of ESPs and its strategies¹⁰; and Education Sector Plan Appraisal Guidelines.¹¹ In 2016, GPE and IIEP rolled out a new training module for appraisers, based on the new guidelines. These guidelines were incorporated into the GPE Secretariat's new QA process, which was fully implemented in 2017.
- In 2015, GPE adopted a new strategic plan (GPE 2020), and in 2016 a monitoring and evaluation strategy and a result framework. The result framework comprises 37 indicators, 12 of which have been identified as 'core indicators.' Of these, indicators 16-a-d measure the proportion of endorsed ESP or TEP (Transitional Education Plan)¹³ that meet various GPE quality standards.¹⁴
- In 2015, GPE also adopted a new country level process guide, which reflected changes in relation to sector planning. See Box 1.
- In 2016, GPE adopted new guidelines for countries preparing transitional education plans (TEPs).
- In 2016, GPE revised its approach to ESPDGs. Related new guidance materials and tools outlined a comprehensive roadmap for developing a well-sequenced and evidence-based education plan,

Box 1: Change in Guidelines for Education Sector Plan Appraisal

The new country level process guide (2015) stated that a country's local education group's endorsement of a sector plan is conditional on the final plan having addressed recommendations that have emerged during the appraisal process. In contrast, the earlier (2012) Guidelines for Education Sector Plan Preparation and Appraisal¹² had not elaborated on when and how the appraisal process was to be completed relative to the act of ESP endorsement.

⁸ GPE (2016): Monitoring Sheet for Global Partnership for Education (GPE) Indicators – Indicator 16.

⁹ United Nations Educational, Scientific and Cultural Organization, United Nations Children's Fund, World Bank & Global Partnership for Education (2014). Education sector analysis methodological guidelines.

¹⁰ Global Partnership for Education & International Institute for Educational Planning-UNESCO (2015a). Guidelines for Education Sector Plan Preparation. Paris: IIEP-UNESCO. Available at: <http://unesdoc.unesco.org/images/0023/002337/233767e.pdf>.

¹¹ Global Partnership for Education & International Institute for Educational Planning-UNESCO (2015b). Guidelines for Education Sector Plan Appraisal. Paris: IIEP-UNESCO. Available at: <http://unesdoc.unesco.org/images/0023/002337/233768e.pdf>

¹² As well as the 2010 FTI Country Level Process Guide.

¹³ TEPs are medium-term plans supporting education systems in countries coming out of conflict or crises.

¹⁴ GPE (July 2017). GPE Monitoring and evaluation strategy.

including optional financing for studies to diagnose the education system from a Public Finance Management lens.¹⁵

- In February 2017, the Board adopted another new funding and financing framework (FFF), which, amongst other things, introduced (i) a knowledge and innovation exchange (KIX) fund, which allows investing in important global public goods such as tools for innovation and sharing knowledge, which were previously not supported by GPE and can be relevant for sector analysis and plan development; and (ii) a new dedicated advocacy and social accountability (ASA) fund to promote political commitment to education, civil society engagement in education policy dialogue (including in relation to sector planning) and achievement of GPE 2020.¹⁶
- The FFF further signaled GPE's intention to increasingly focus on helping countries to build 'Education Sector Investment Cases' to attract traditional and non-traditional financing in support of their education sector plans.¹⁷
- In May 2018, a Secretariat-commissioned study explored key actors' perceptions of roles in the GPE country-level operational model towards GPE 2020 delivery.¹⁸ The report notes several areas where the boundaries and specific responsibilities of these actors are either not clearly defined, or where they may be well defined on

Box 2: 'Capacity development' in the GPE context and implications for this evaluation

The 2018 examination of GPE key actors' roles noted that within the GPE operational model the concept of capacity development is insufficiently defined and that there is an ambiguity about what is meant by and expected of capacity development in the GPE model (p. 64).

As noted in the TOR for this assignment, the evaluation team is expected to explore 'capacity development' as one among other modalities of GPE support to sector planning. The noted 'fuzziness' of this concept within GPE means, however, that doing so will have to largely depend on capturing what different actors (those consulted in the course of the assignment, and those who were consulted for other studies that the evaluation will review) *perceive* as instances of capacity development for education sector planning.

The 2018 examination further notes that respondents felt "*technical assistance is best when tailored to support development of national staff capacities*" (p. 70). This observation is important for framing this evaluation's approach to assessing GPE technical assistance (TA) for education sector planning: Is TA utilized and perceived as a stand-alone service (doing *for* national stakeholders) or is used as a means to strengthen national planning capacities (doing *with* national stakeholders)?

¹⁵ GPE (2016). Roadmap for education sector plan development grants. Available at <https://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants> as well as GPE (2017). Overview report of the strategic financing working group. Meeting of the Board of Directors. March 1, 2017. Washington, D.C. BOD/2017/03 DOC 03, p. 8f.

¹⁶ The new framework also introduces the GPE Multiplier as part of a new scalable approach to raising greater and more diverse finance. Through the Multiplier, GPE will offer extra grant funds where governments show additionality and co-financing from external sources of at least US\$3 for every US\$1 of GPE grant funds. See: Global Partnership for Education. *Fund Education. Shape the Future. GPE Case for Investment*. GPE, 2017, p. 15ff.

¹⁷ See, for example: GPE (2017). Overview report of the strategic financing working group. Meeting of the Board of Directors. March 1, 2017. Washington, D.C. BOD/2017/03 DOC 03, p.4.

¹⁸ Nicola Ruddle, Kelly Casey, Gabi Elte, Anaïs Loizillon (2018): "Examination of key actors' roles in GPE's country-level operational model towards GPE 2020 delivery". Oxford Policy Management, May 2018. The key actors whose roles the study examines are Local Education Group (LEG), Coordinating Agency (CA), Grant Agent (GA) and the Secretariat.

paper but lack clarity on the ground. One of the areas noted to lack clear description of GPE's expectations is that of capacity development. As discussed in Box 2, this has implications for this evaluation.

1.2.2 GPE external context: Education sector planning

13. The GPE's support to education sector planning responds to evolving emphases in the field. The modern phase of education planning dates from the early 1960s, when economists began to recognize that "human capital," the accumulated knowledge of the population, was an investment which could impact positively on economic growth. Until then planning was usually short range, fragmentary, and static. The UNESCO International Institute for Education Planning (IIEP) was established in 1963 in response to these changes. Initially, education planning was mainly a simple quantitative process focused on future enrollments, teachers, and costs. Targets were initially set based on "manpower projections of how many doctors, engineers, technicians, etc. would be needed to meet economic targets. The initial emphasis was on secondary education. It was soon found that economies were too dynamic to be able to make reliable occupational projections.

14. The main focuses then and even now were on allocation and efficiency (e.g., flows, completion rates, costs per graduate, and funding priorities for different levels of education). With a few exceptions¹⁹, there was little discussion of learning or quality. Little attention was paid to the idea of participation of civil society, which was a concept that was little understood. Developing country governments prepared plans, often as a prerequisite for external funding, and aided by experts who were usually expatriates. This is still the case in many countries. In the 1990s external support also included "SWAPs" (sector-wide approaches). In SWAPs, a sector or sub-sector program is developed, a common expenditure framework agreed, all partners participate, there are harmonized implementation mechanisms, and there is an increased use of Government systems and procedures.

15. Beginning in 1990, with the World Conference in Jomtien, developing countries began to move from comprehensive sectoral planning to a more targeted emphasis on "basic" education, initially defined as grades 1 to 6 but later including grades 7-9. Planning has now moved on to find ways of meeting the very ambitious targets of SDG 4, with an increased emphasis on learning and on equity. Meeting the SDG targets, as well as the EFA goals lead to a risk that plans become overly "aspirational" rather than realistic. Under EFA support was provided to simulate projections against available financing to encourage more realistic plans. Some countries identified large financing gaps which could not be met in the foreseeable future.

16. The traditional planning elements of enrollment projections, completion rates, teacher requirements, development of pedagogical materials, and infrastructure requirements gaged against available education financing, continue. There is an increasing focus on learning. Time lags and lack of technical skills make it difficult to incorporate learning gains into education plans. Learning assessments in developing countries face not only a lack of qualified personnel but also a poor understanding how to use learning assessments to improve the quality of teaching.

17. Over time, the participation of civil society, including, business leaders, teacher associations, local NGOs, politicians, etc. has been increasingly emphasized, but real participation varies greatly from country to country. This process has the advantages of consensus building but exposes planning to the complexities

¹⁹ Such as Clarence Beeby, *The Quality of Education in Developing Countries*, 1966.

of political processes. There is an increasing recognition that sector data are often unreliable or out of date,²⁰ especially as related to the private sector and to costs. Plans have increasingly focused on institutional development—building technically qualified assessment agencies, specialized curriculum development units, stronger planning units, and Education Management Information Systems.

18. The quality of sector plans has been recognized as a central element for the development of education systems since 2000, when at the World Education Forum in Dakar, Senegal, Governments and international organizations agreed that any country with a quality Education Sector Plan should be able to have access to funding to implement its sector strategies.²¹

19. During the course of the evaluation, and particularly in the formulation of any suggestions for the future, we will take into account emerging educational issues which will impact on education sector planning. Demands will increase for secondary level expansion. Education planners now need to find way to link education with the complex technological changes impacting on society. The poor are the ones with the least access to technology tools. As students increasingly remain longer in the school system, there will be an increasing focus on secondary and higher education, even though basic education in the poorest countries is inadequate. The private sector is playing an increasing role in education. Future planning approaches will also need to consider the changing nature of work. Tomorrow's citizens will need to be more flexible and creative and education will increasingly be lifelong. External pressures from demographic change, economic growth or its lack, and political uncertainty will need to be more explicitly incorporated into the education planning process.

Box 3: Literature review in the context of the evaluation

The report will include a limited overview of background information related to the following questions:

How has education planning in developing countries evolved over the past decades? What were the emphases in the beginning? Today's emphases? How can or should education planning evolve over the next decades?

What issues arise about the relationship of external funding agencies with countries receiving grants?

What does the literature say about implementation and country ownership of plans, including participation of civil society? How do political issues impact on plan goals? What factors influence achievement of plan goals.

What are the critical data problems faced in education planning? How can data collection, analysis, and utilization be improved so as to be more certain that baselines are correct, and that achievement of goals can be measured? What are the risks of using achievement of numerical goals as a proxy for release of funds ("Results Based Financing")?

How can country capacities for sector planning, implementation, and evaluation be developed and strengthened over time? What would be the best role for GPE?

²⁰ Inadequate in that they either do not exist or provide insufficient level of detail.

²¹ GPE (2016): Monitoring Sheet for Global Partnership for Education (GPE) Indicators.

2 Methodology

2.1 Methodological approach

2.1.1 Overall approach

20. **The overall approach to the evaluation is formative** in that the study aims to assist GPE in taking stock of achievements made to date and– if and as required – further improving its approach to supporting country level education sector planning processes.

21. The guiding framework for the evaluation is the evaluation matrix presented in section 2.2.1 and the draft constructed theory of change for GPE support to sector planning presented in section 2.1.2. The evaluation team’s approach to answering the evaluation questions will be theory-based, which involves developing a theory of change for GPE’s support to sector plan development (section 2.1.2) and testing the assumptions that lie behind it, many of which relate to factors in the context where the ESP is developed. In theory-based evaluation, assumptions are examined in sequence along the causal pathway(s) and a determination through evidence is made regarding whether each hold or does not hold, and where breakdowns in the ToC’s internal logic appear to have occurred.²²

2.1.2 Theory of Change for GPE support to sector plan development

22. As per its 2020 strategic plan (strategic objective 1a), GPE aims to support countries in developing “*evidence-based, nationally owned sector plans focused on equity, efficiency and learning.*” To achieve this objective, GPE offers multi-pronged types of support to sector planning processes that (currently) encompass:²⁴

- **Financing** of sector planning processes through ESPDG. ESPDG,

Box 4: ESPDGs

During the fiscal year 2016, the overall portfolio of active GPE ESPDGs included 27 grants to 29 DCPs for a total of nearly US\$9,000,000. Out of these 29 countries with an active ESPDG in fiscal year 2016, 13 were affected by conflict or fragility. Since the inception of ESPDGs in 2012, GPE has allocated US\$22.6 million to 78 ESPDGs.²³

²² See, for example: Sue C. Funnell & Patricia J. Rogers. 2011. *Purposeful Programme Theory: Effective Use of Theories of Change and Logic Models* (San Francisco, CA: Jossey-Bass).

²³ Global Partnership for Education (2016). Portfolio Review 2016. World Bank Group / IBRD: Washington DC; cited in evaluation TOR.

²⁴ Sources: 1. Evaluation TOR; 2. GPE (2016). Roadmap for education sector plan development grants. Available at <https://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants>, 3. GPE (2017). How GPE works in partner countries. Available at <https://www.globalpartnership.org/content/how-gpe-works-partner-countries>.

as one key component of GPE support, provide funding of up to US\$ 500,000 to support Developing Country Partners during sector planning processes.²⁵ See Box 3. Eligible activities that can be funded through ESPDG are (i) the conduct of sector analyses and other targeted studies; (ii) support for the preparation (development or revision) and finalization of quality sector plans²⁶ including through technical assistance, capacity development and policy dialogue and consultations; and (iii) independent plan appraisal.²⁷

- **Direct technical assistance** to partner countries through the grant agent, the coordinating agency, and/or other development partners and other sources;
- **A set of guidelines and processes** used up until plan appraisal. In addition to Secretariat advice provided at a distance, these include:
 - **Guidance documents** on sector plan preparation that outline quality criteria both on the process of plan development and on content characteristics of ‘good’ ESP/TEP; and
 - **Quality assurance mechanisms for sector plan development, which includes four phases**²⁸: (i) sharing of tools, resources and guidelines during initial consultation; (ii) providing initial comments on the draft ESP/TEP from the Secretariat; (iii) the obligation (since 2015) to have the draft ESP/TEP appraised by an external, IIEP-trained reviewer based on GPE/IIEP quality standards; followed by an Appraisal Check during which the Secretariat reviews the Appraisal Report against expected standards and provides feedback to the LEG. The LEG then prepares an Appraisal Memo that identifies how appraisal findings and recommendations will be considered during the next phase of ESP/TEP development; before (iv) GPE, through the Coordinating Agency, provides support to the country during ESP/TEP finalization to ensure that the LEG endorses the sector plan.

23. Figure 2.1 below provides a visual representation of the (partly implicit) theory of change that underlies GPE’s support to sector planning at the country level. The figure is based on the evaluation team’s preliminary understanding of this pathway of change based on a review of relevant GPE documents.²⁹

²⁵ The maximum funding allocation of US\$500,000 is of two separate components: US\$250,000 is intended to fund the Education Sector Analysis (ESA) and other that will inform the development of the sector plan, while up to US\$250,000 is intended to fund planning activities as well as the independent appraisal of the plan.

²⁶ Be it Education Sector Plans (ESP) or Transitional Education Sector Plans (TEPs) in the context of conflict and/or fragility.

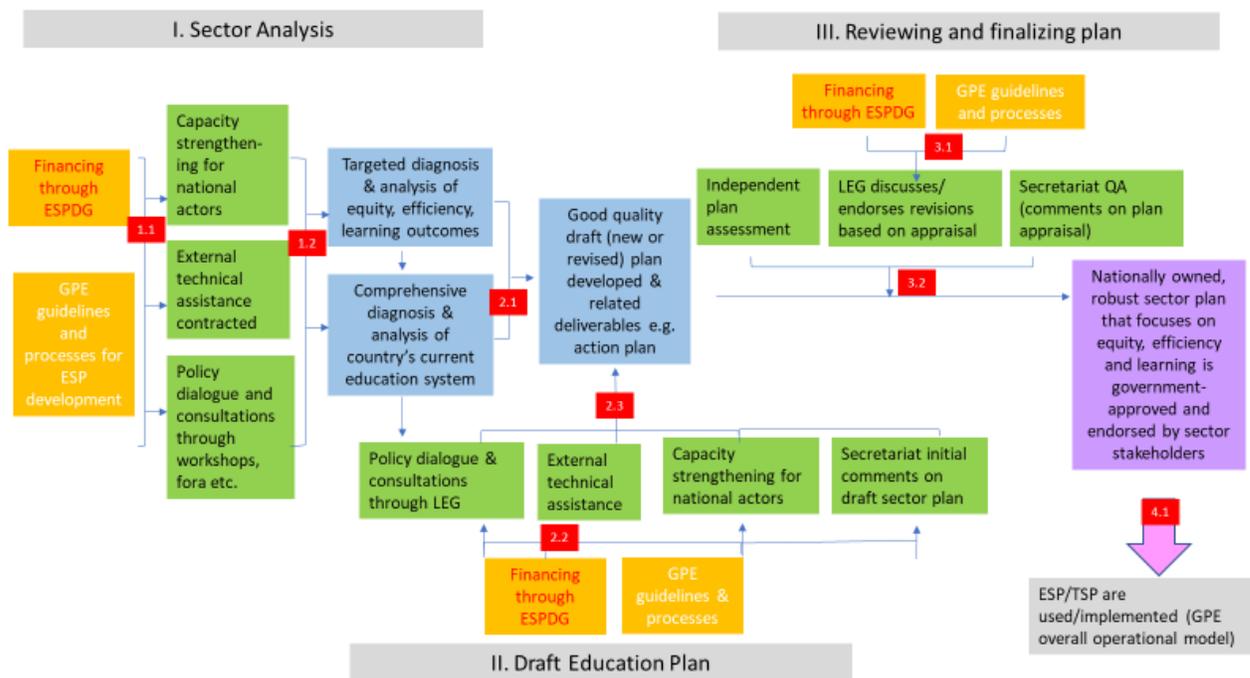
²⁷ Additionally, a few ESPDGs were used to finance the preparation and organization of Joint Sector Reviews (JSRs), for instance in Djibouti for instance.

²⁸ The evaluation will analyze these phases in greater detail.

²⁹ Including the GPE strategic plan 2020; the 2017 GPE country level process guide (*How GPE works in partner countries*); and the 2016 *Roadmap for education sector plan development grants*.

24. The visual representation of the ToC in Figure 2.1 distinguishes between GPE financial inputs (amber box/red font) and non-financial inputs (amber/black font), direct GPE contributions deriving from these inputs (green boxes), intermediate results (blue boxes) as well as the overall objective (purple boxes). The numbered red boxes (from 1.1 to 4.1) indicate key logical linkages (assumptions) that connect different elements of the theory of change to one another (*'IF x, THEN y happens'*). These are elaborated on in Table 2.1 below. The numbering of these boxes is aligned with the anticipated sequencing of achievements (1. Sector analysis, 2. Development of draft sector plan, 3. Review and finalization of sector plan, and 4.1 link to the broader GPE operational model that anticipates use/implementation of the ESP/TEP and, ultimately, contributions to strengthening the respective education system, learning outcomes, equity and gender equality). The evaluation will continue to refine this ToC as required during the Desk Study phase.

Figure 2.1 Draft theory of change of GPE's support to sector planning



25. Table 2.1 outlines some (largely implicit) logical assumptions that – based on the evaluation team's understanding – underlie the depicted change processes.

Table 2.1 Key underlying assumptions

TOC (THIS OCCURS ...)	ELEMENT	LOGICALLY (...IF THESE CONDITIONS ARE IN PLACE)	IMPLIED	ASSUMPTIONS
A) GPE financial and non-financial inputs contribute to comprehensive and targeted sector analysis and related studies (1.1. and 1.2)		<ul style="list-style-type: none"> GPE financial and non-financial inputs are relevant (e.g. based on reasonable criteria, appropriate in the specific country context, timely) Country-level stakeholders³⁰ and (where applicable) external consultants have adequate <i>capabilities</i> (knowledge, skills, experience) to conduct quality and comprehensive sector analyses/targeted studies.³¹ Country-level stakeholders have sufficient <i>motivation</i> (right types/number of incentives, political will) to conduct quality and comprehensive sector analyses/studies. Country-level stakeholders have sufficient <i>opportunities</i> (adequate amounts and types of funding, time) for carrying out relevant and comprehensive sector analyses/studies AND existing opportunities are not negatively affected by external factors (e.g. political, macro-economic, social contexts, timing of ESPIG funding) 		
B) GPE financial and non-financial inputs, together with comprehensive and targeted sector analysis, contribute to the development of a quality draft sector plan that meets GPE quality criteria related to sector planning processes and plan content. (2.1 – 2.3)		<ul style="list-style-type: none"> GPE financial and non-financial inputs, including recommended processes for ESP development, are relevant (e.g. based on reasonable criteria, appropriate in the specific country context, timely) Country-level stakeholders and (where applicable) external consultants have adequate <i>capabilities</i> (knowledge, skills, experience) for developing a draft plan drawing upon data deriving from recent sector analysis Country-level stakeholders have sufficient <i>motivation</i> (right types/number of incentives, political will) to develop an evidence-based plan using participatory and inclusive processes and drawing upon sector analysis findings. This includes the assumption that national stakeholders consider GPE guidelines and quality standards for ESP development as relevant and not just a requirement for receiving an ESPIG. Country-level stakeholders have adequate <i>opportunities</i> (adequate amounts and types of funding, time) for developing a quality draft plan that meets GPE quality standards AND existing opportunities are not negatively affected by external factors (e.g. political, macro-economic, social contexts, timing of ESPIG funding) 		

³⁰ Developing country government and LEG members, in particular.

³¹ Mayne (2017) suggests analyzing changes in individual or organizational 'capacity', as the foundation of behavioral and practice change, by exploring the three interrelated dimensions of *capabilities* (knowledge, skills), *motivation* (incentives, political will), and *opportunity* (funding, conducive external context). See: Mayne, John. *The COM-B Theory of Change Model*. Working paper. February 2017

TOC (THIS OCCURS ...)	ELEMENT	LOGICALLY (...IF THESE CONDITIONS ARE IN PLACE)	IMPLIED	ASSUMPTIONS
C) GPE financial and non-financial inputs, together with a good quality draft plan, contribute to the approval and endorsement of a nationally owned evidence-based plan that meets GPE quality standards. (3.1-3.2)		<ul style="list-style-type: none"> Country-level stakeholders (government, LEG) have adequate <i>capabilities</i> (knowledge, skills, experience) for revising and improving the draft plan to meet GPE quality standards. This includes the assumption that recommendations deriving from Secretariat quality assurance and external plan review technically sound, relevant to the country context, realistic to be addressed at this stage of the planning process, and clearly formulated. Country-level stakeholders have the <i>motivation</i> (right types/number of incentives, desire/conviction) to revise and improve the draft plan to meet quality standards. This includes the assumptions that stakeholders consider recommendations deriving from Secretariat quality assurance and external plan review as legitimate, relevant and realistic. Country-level stakeholders have adequate <i>opportunities</i> (adequate amounts and types of funding, time) for revising and finalizing the plan to incorporate recommendations AND existing opportunities are not negatively affected by external factors. 		
D) Country-level stakeholders use the final sector plan to guide implementation of programs/projects, and regularly review and update the plan by means of participatory and inclusive sector monitoring and ongoing policy dialogue. (4.1).		<ul style="list-style-type: none"> Country-level stakeholders (government, LEG) have adequate <i>capabilities</i> (knowledge, skills, experience, data and monitoring systems) to use the sector plan, monitor its implementation and regularly review its continued relevance. Country-level stakeholders have the <i>motivation</i> (right types/number of incentives, political will) to use, monitor implementation, and review continued relevance of the sector plan. Country-level stakeholders have adequate <i>opportunities</i> (adequate amounts and types of funding, conducive external environment) to use, monitor, and review the sector plan. 		

26. Element 'D' in the table above goes beyond the issue of GPE support for sector planning. We have included it here nevertheless to emphasize that for GPE the development of sector plans is not a stand-alone final objective but a crucial element in the overall GPE theory of change and operational model that address the ongoing policy cycle. As such, sector planning is (or should be) a dynamic process rather than a one-off event. As is further described in section 2.1.3, the data collection at the country-level (to be conducted in 2019) will therefore explore (to the extent possible based on available data) the extent to which in-country stakeholders have actually used and dynamically adapted existing sector plans to meet the evolving needs of their respective contexts.

2.1.3 Scope of the assignment

27. This assignment encompasses two phases: a **desk study phase** that will focus on assessing the relevance, effectiveness and efficiency of the ESPDG instrument and the relevance and effectiveness of the QAR process, and on identifying key hypotheses related to GPE support for sector planning, and a second **country consultation phase** that tests these hypotheses by gathering data at the country level. The desk

study phase will draw upon its own set of documents to review (see section 2.2.3), while the country consultation phase will gather data from two primary sources: (a) by conducting interviews with country-level stakeholders in selected countries, and (b) by extracting data from the final evaluation reports from the GPE summative country level evaluations (CLE) completed by July 2019.

28. These two phases are **mutually complementary** in that the country phase will **focus on collecting country level data** to test preliminary findings and hypotheses deriving from the Desk Study Report. It will gather additional country-level data on strengths and weaknesses of GPE's support to sector plan development.

29. The deliverable of the first phase will be a Desk Study Report with preliminary findings on the questions in the evaluation matrix, with a focus on the appropriateness of GPE criteria for assessing sector plan quality; strengths and (potential) weaknesses of the ESPDG instrument; and working hypotheses that will be further explored and tested in the country consultation phase. The deliverable of the second phase will be an Evaluation Report that summarizes findings, conclusions and recommendations deriving from the Desk Study Report and the country consultation phase.

30. Table 2.2 summarizes (in broad terms) the proposed foci, data sources and deliverables of the two phases on GPE's contribution to sector plan development.

Table 2.2 *Foci, data sources and deliverables of the two assignment phases*

PHASE	DESK STUDY PHASE	COUNTRY CONSULTATION PHASE
Foci	<ul style="list-style-type: none"> • ESPDG funding mechanism and other planning support processes/instruments (such as the quality assurance process (QAR)) 	<ul style="list-style-type: none"> • Full evaluation study on sector planning which discusses the ESPDG funding mechanism (and other planning support processes) and draws on country-level examples.

PHASE	DESK STUDY PHASE	COUNTRY CONSULTATION PHASE
Main data sources and methods of data collection	<ul style="list-style-type: none"> Review of corporate documents relevant to the ESPDG instrument, including internal documents on the approval of the ESPDGs Review of corporate documents related to QAR mechanism Review of ESPs, ESA reports, and related quality assurance documents, JSRs from the sample of countries. Interviews with selected staff at global level (current and former Secretariat staff, consultants who have been trained in and have conducted ESP/TEP appraisals) A high-level review of emerging findings on ESPDG/QAR process deriving from summative CLEs conducted before September 2018³² 	<ul style="list-style-type: none"> Consultations with up to 2 stakeholders in each of the countries in the sample.³³ Review of any additional country-related documents suggested by consulted stakeholders Findings on ESPDG and QAR process deriving from 5 ‘summative plus’ and 1 prospective CLE conducted in the selected sample of countries since the end of the desk study phase.³⁴
Deliverable	<p>Desk Study Report, with preliminary findings and conclusions on:</p> <ul style="list-style-type: none"> The appropriateness of GPE support to sector plan development (ESP/TEP) Strengths and (potential) weaknesses of the ESPDG instrument Working hypotheses and/or strategic questions that will be further explored and tested in the country consultation phase as well as in future CLEs. 	<p>Evaluation Report, with findings, conclusions and recommendations on:</p> <ul style="list-style-type: none"> The appropriateness of GPE support to sector plan development (ESP/TEP) Strengths and (potential) weaknesses of the ESPDG instrument and other types of GPE support to sector planning Final reflections on hypotheses and strategic questions raised in the desk study

31. We envisage three mutually beneficial synergies between this study on GPE support to sector planning and the CLE.

- 1) The desk study phase will inform future data collection of prospective and summative evaluations in the CLE study.
- 2) Data from prospective and summative CLEs conducted to date will inform the desk study phase.
- 3) Both this study on GPE support to sector plan development, as well as prospective and summative CLEs, will feed into the annual and final synthesis reports which are part of the CLE assignment.

32. Details on the specific methods of data collection and data sources are described in section 2.2.

³² i.e., Burkina Faso, Cote d’Ivoire, Gambia, Liberia, and Sierra Leone.

³³ Stakeholders in the Burkina Faso, Cote d’Ivoire, Gambia, Liberia and Sierra Leone (where a summative CLE was conducted before September 2018) and in Uzbekistan and Lesotho will be interviewed by phone/Skype. Stakeholders in the 6 selected countries where a “summative plus” (Rwanda, Guinea, Tajikistan, Cambodia, South Sudan) or a prospective evaluation mission (DRC) will be conducted after November 2018 will be interviewed during the in-country mission. Stakeholders in Chad, Comoros and Eritrea will not be interviewed.

³⁴ i.e. Cambodia, Rwanda, Tajikistan, Guinea, South Sudan, Congo (DRC).

2.2 Data collection

2.2.1 Evaluation matrix

33. The evaluation team has drawn upon the evaluation questions outlined in the assignment Terms of Reference, on the constructed theory of change for GPE support to sector planning (section 2.1.2) and on a preliminary review of GPE documents to develop a **full evaluation matrix**, presented in Appendix IV. The full matrix elaborates on specific types of analysis, triangulation of data sources and judgment criteria, as well as on the main sources of information for each (sub) question. Table 2.3 below lists the key questions that the evaluation team will aim to answer, as well as the corresponding lines of enquiry used to collect data for each question.

Table 2.3 Key evaluation questions and lines of enquiry

MAIN EVALUATION QUESTIONS	LINES OF ENQUIRY				ASSIGNMENT REPORT
	DOCUMENT REVIEW	STAKEHOLDER CONSULTATIONS	DESK REPORT	STUDY	EVALUATION REPORT
Key question 1: Relevance and appropriateness of GPE support to sector planning					
EQ 1.1 How well does ESPDG’s purpose of “support[ing] effective and inclusive dialogue during [sector planning]” ³⁵ , via “a common vision and roadmap to guide the (...) process” match with the planning needs and priorities of DCPs?	✓	✓	✓ (partially)		✓
EQ 1.2 To what extent is ESPDG relevant for the partnership itself, considering its intended country support and strategies through GPE 2020?	✓	✓	✓ (partially)		✓
EQ 1.3 Does the GPE Secretariat employ an appropriate process to review/approve ESPDG applications?	✓	✓	✓		✓

³⁵ <http://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants>, page 6.

MAIN EVALUATION QUESTIONS	LINES OF ENQUIRY				ASSIGNMENT REPORT
	DOCUMENT REVIEW	STAKEHOLDER CONSULTATIONS	DESK REPORT	STUDY	EVALUATION REPORT
EQ 1.4 How well do other modalities of GPE support (see below) address the needs of partner countries with regards to sector planning?	✓	✓			✓
Key question 2: To what extent has GPE support led to the development of quality sector plans? Why? Why not?					
EQ 2.1 To what extent has ESPDG contributed to the development / revision of robust, credible sector plans (as per the GPE-IIEP guidelines)? If so, how? Are there better ways to support the development of quality sector planning through a grant mechanism?	✓	✓	✓ (partially)		✓
EQ 2.2 To what extent have other types of GPE sector planning modalities contributed to the development/revision of quality (as per the GPE-IIEP criteria) sector plans? To what extent are these modalities aligned with and complementary of ESPDG?	✓	✓	✓(partially)		✓
EQ 2.3 To what extent has the revised QAR process ³⁶ for education sector plans contributed to improve the quality of sector plans vis-à-vis the quality of the country-level process? Has the revised appraisal process ³⁷ contributed to improve the consistency and the quality of the appraisal of ESPs and TEPs? Has the appraisal process contributed to improve the quality of ESPs and TEPs? During QAR, does the application of GPE quality standards for sector plans (which draw on the joint GPE/IIEP guidelines) contribute to plans that are of quality, that are country owned, and tied to policy dialogue? Are there better quality assurance approaches to support sector planning?	✓	✓	✓ (partially)		✓

³⁶ i.e., ESP/TEP initial comments, independent appraisal, appraisal check, fixed part requirements matrix and two-pager, and QAR1

³⁷ i.e., training of consultants, creation of a roster of consultants, new guidelines, and new secretariat QA process

MAIN EVALUATION QUESTIONS	LINES OF ENQUIRY				ASSIGNMENT REPORT
	DOCUMENT REVIEW	STAKEHOLDER CONSULTATIONS	DESK REPORT	STUDY	EVALUATION REPORT
EQ 2.4 What is the balance between the level of technical assistance and capacity development provided through the ESPDG?	✓	✓	✓		✓
EQ 2.5 Has GPE support to sector planning, including through ESPDG, led to capacity development/ strengthening at national level (e.g., leadership, technical knowledge/skills). If so, how?	✓	✓			✓
Key question 3: How well has GPE managed its support to sector planning?					
EQ 3.1 To what extent do ESPDG and other modalities of GPE support to sector planning (per list above) use good-quality management ³⁸ to ensure that adequate stewardship of resources, successful partnering and desired results are achieved? How and how well does GPE ensure the efficient use of ESPDG funding?	✓	✓	✓		✓
EQ 3.2: How and how well does GPE monitor its ESPDG portfolio and other sector support modalities?	✓	✓	✓		✓

³⁸ i.e. (Secretariat, grant agent, coordination agency), relationship building and management, roles and responsibilities assignment, dialogue promotion and guidance / tools, etc.

2.2.2 Sampling strategy

34. Between 2012 and May 2018, a total of 78 ESPDGs³⁹ worth US\$ 22.6 million were granted to 66 different countries, federal states⁴⁰ and, in two cases, to regional groupings.⁴¹ These 66 DCPs constitute the core population from which the sample was taken. Among these, 14 countries received an ESPDG twice.⁴² Also, among these 66 DCPs, since 2016, 13 DCPs used the full, new quality assurance process (i.e., both the new QAR procedure and new appraiser training),⁴³ while 11 DCPs had a trained appraiser only (no new QAR procedure)⁴⁴ and two DCPs used the new QAR procedure only (no trained appraiser).⁴⁵

35. The evaluation team proposes a **multiphase purposeful sampling** approach to allow the evaluation to focus on Developing Country Partners (DCPs) that have certain characteristics that are relevant to answering the evaluation questions. The sampling process identified a set of countries with ESPs/TEPs (developed with the support of an ESPDG) based on the following two sampling phases and related key criteria.

- **Sampling phase 1 and related criteria** – One of the key tenets of this evaluation is to examine whether changes (positive and negative) in the ESPDG process over time have had an effect on the quality of sector planning and of the sector plans. Also, a positive feature of this evaluation is that it develops synergies with the country-level evaluation (CLE). Therefore, the primary selection criteria for this first sampling phase are **whether countries (a) have received more than one ESPDG, to allow for comparison over time; and/or (b) were included in the CLE sample, to allow for maximization of data collection efficiencies through maximum overlap between the countries included in this study and in the CLE.** This sampling phase 1 and related criteria seek to ensure an optimum coverage of both (a) and (b). Of note, the two criteria are not mutually exclusive, and a given DCP could be in the CLE group and have received more than one ESPDG.

This sampling phase 1 produced a stratum of 35 countries which either have had two ESPDGs or are in the CLE sample, and are then passed to sampling phase 2 below.

³⁹ Excluding an ESPDG to Liberia that was canceled in 2013.

⁴⁰ Sindh, Balochistan, Zanzibar (Tanzania) and the autonomous governments of Puntland and Somaliland in Somalia.

⁴¹ The Organization of Eastern Caribbean States and the Pacific islands.

⁴² Benin, Cambodia, Chad, CAR, Comoros, Djibouti, Eritrea, Gambia, Guinea, Lao PDR, Lesotho, Sierra Leone, Tajikistan, and Uzbekistan.

⁴³ Burkina Faso, Burundi, Comoros, Cote d'Ivoire, Eritrea, Ghana, Madagascar, Rwanda, Sierra Leone, Somalia Federal, South Sudan, The Gambia, and Zanzibar.

⁴⁴ Afghanistan, Cabo Verde, DRC, Guinea Bissau, Lesotho, Liberia, Myanmar, Nicaragua, PNG, Puntland, and Somaliland.

⁴⁵ Chad and Sudan.

- **Sampling phase 2 and related criteria** – Two key questions for the evaluation to address are (i) the extent to which the revised Quality Assurance and Review (QAR) process, related to the ESPDG cycle, has contributed to improving the quality of sector plans and of the sector planning process; and (ii) the extent to which the new appraisal process (related to the ESP appraisal) has contributed to improving the consistency and quality of the plans. In order to analyze the effect of the revised QAR/appraisal processes on ESP quality, the evaluation needs to compare sector plans developed after these processes were introduced, i.e. since 2016, with previous ESPs developed with the previous QAR and/or appraisal processes. Therefore, once the stratum of 35 DCPs that meet criteria noted above at phase 1 was established, the criteria applied for the second sampling phase helped select countries that: **(a) had two or more ESPDGs (to maximize coverage of before/after comparisons of planning grants); and/or (b) had one or more elements of the quality assurance process (i.e., the new QAR procedures, the new appraiser training, or both).**⁴⁶
- This sampling phase 2 produced a final sample of 16 countries.

36. Table 2.4 describes the resulting full sample for the evaluation, consisting of a total of **16 countries** that have developed ESP/TEPs with the support of ESPDGs (and received a total of 26 ESPDGs).

- **Desk study phase** - The full sample of 16 countries will be included in the desk study phase.
- **Country consultation phase** - Of these 16 countries, a subset composed of the 13 countries that are part of the CLE portfolio⁴⁷ will be used in the country consultation phase, drawing synergies with in-country consultations held as part of the country-level evaluation effort until 2019.⁴⁸

⁴⁶ Following this sampling approach implies that there are five countries that used the full new quality assurance process (i.e., both the new QAR procedures and new appraiser training) but will not be investigated through this evaluation: Burundi, Ghana, Madagascar, Somalia, and Zanzibar.

⁴⁷ Except for Lesotho and Uzbekistan.

⁴⁸ From the full 16-country sample, Chad, Comoros, and Eritrea *will not be part of the country consultation phase* for the present evaluation, as they are not included in the CLE sample.

Table 2.4 Proposed sample of countries

COUNTRY	SAMPLING PHASE 1 - COUNTRY: (A) MUST HAVE RECEIVED MORE THAN 1 ESPDGS; AND/OR (B) MUST BE IN THE CLE SAMPLE		SAMPLING PHASE 2 - UPON A COUNTRY MEETING CRITERIA IN PHASE #1, IT: (C) MUST HAVE USED AT LEAST ONE OF THE NEW QUALITY ASSURANCE PROCESSES (I.E., THE NEW APPRAISER TRAINING, THE NEW QA PROCEDURES, OR BOTH); AND/OR (D) MUST HAVE HAD AT LEAST TWO ESPDGS		INCLUSION IN DESK STUDY PHASE ONLY OR IN BOTH DESK STUDY PHASE AND FINAL EVALUATION PHASE?
	(A) NUMBER OF ESPDGS RECEIVED	(B) DCP IN CLE SAMPLE (CLE STATUS)	(C) DCP USED ONLY PART OF THE NEW QUALITY ASSURANCE PROCESS (I.E., EITHER THE NEW QA PROCEDURES OR THE NEW APPRAISER TRAINING)?	(D) HAVE HAD AT LEAST TWO ESPDGS	
Burkina Faso	1	summative (completed)	QA procedures + appraiser training	No	Desk study + final evaluation
Cambodia	2	summative plus		Yes	Desk study + final evaluation
Chad	2		QA procedures	Yes	Desk study
Comoros	2		QA procedures + appraiser training	Yes	Desk study
Congo DR	1	prospective	appraiser training	No	Desk study + final evaluation
Cote d'Ivoire	1	summative (completed)	QA procedures + appraiser training	No	Desk study + final evaluation
Eritrea	2		QA procedures + appraiser training	Yes	Desk study
Gambia	2	summative (completed)	QA procedures + appraiser training	Yes	Desk study + final evaluation
Guinea	2	summative plus		Yes	Desk study + final evaluation
Lesotho	2		appraiser training	Yes	Desk study + final evaluation
Liberia	1	summative (completed)	appraiser training	No	Desk study + final evaluation

COUNTRY	SAMPLING PHASE 1 - COUNTRY: (A) MUST HAVE RECEIVED MORE THAN 1 ESPDG; AND/OR (B) MUST BE IN THE CLE SAMPLE		SAMPLING PHASE 2 - UPON A COUNTRY MEETING CRITERIA IN PHASE #1, IT: (C) MUST HAVE USED AT LEAST ONE OF THE NEW QUALITY ASSURANCE PROCESSES (I.E., THE NEW APPRAISER TRAINING, THE NEW QA PROCEDURES, OR BOTH); AND/OR (D) MUST HAVE HAD AT LEAST TWO ESPDGS		INCLUSION IN DESK STUDY PHASE ONLY OR IN BOTH DESK STUDY PHASE AND FINAL EVALUATION PHASE?
	(A) NUMBER OF ESPDGS RECEIVED	(B) DCP IN CLE SAMPLE (CLE STATUS)	(C) DCP USED ONLY PART OF THE NEW QUALITY ASSURANCE PROCESS (I.E., EITHER THE NEW QA PROCEDURES OR THE NEW APPRAISER TRAINING)?	(D) HAVE HAD AT LEAST TWO ESPDGS	
Rwanda	1	summative plus	QA procedures + appraiser training	No	Desk study + final evaluation
Sierra Leone	2	summative (completed)	QA procedures + appraiser training	Yes	Desk study + final evaluation
South Sudan	1	summative plus	QA procedures + appraiser training	No	Desk study + final evaluation
Tajikistan	2	summative plus		Yes	Desk study + final evaluation
Uzbekistan	2			Yes	Desk study + final evaluation

37. This two-phase sampling process yields an evaluation sample that allows for:
- 1) A pre-post comparison of the ESPDGs in countries with two ESPDGs with respect to one or more elements of the new quality assurance processes and their effects on the quality of sector planning and plans. The evaluation will compare sector plans developed after these processes were introduced, i.e. since 2016, with previous ESPs/TEPs developed with older QAR and/or appraisal processes. In the four countries that have not developed sector plans through the new quality assurance processes (Cambodia, Guinea, Tajikistan, and Uzbekistan), data collection on changes over time will nonetheless be done through the upcoming CLE studies (except for in Uzbekistan).
 - 2) In countries with only one ESPDG (without pre-post comparison), the sample allows for an assessment of the revised QAR/appraisal processes on the ESP/TEP quality, with data collected in country through the upcoming CLE studies.
 - 3) The two sub-samples together, nonetheless, will collectively provide information on the pre-post differences in the contribution of the quality assurance processes to the quality of education sector planning and of the education sector plans.
38. Table 2.5 below shows the breakdown of the overall population and sample based on the selection criteria used.

Table 2.5 *Characteristics of population and desk study sample based on selection criteria*

CRITERION	POPULATION	SAMPLE
Criteria	Population (78)	Sample countries (16)
Region	<ul style="list-style-type: none"> • Africa 1: 21 percent (16) • Africa 2: 33 percent (25) • Africa 3: 12 percent (9) • Africa total: 64 percent (50) • Asia-Pacific: 21 percent (16) • LAC: 6 percent (5) • EEMECA: 9 percent (7) 	<ul style="list-style-type: none"> • Africa 1: 18 percent (3) • Africa 2: 37 percent (6) • Africa 3: 25 percent (4) • Africa total: 81 percent (13) • Asia-Pacific: 6 percent (1) • LAC: 0 percent (0) • EEMECA: 13 percent (2)
FCAC	34 out of 78 (43.6 percent)	9 out of 16 (56 percent)
Criteria	Population (78)	Sample ESPDGs (26)
Average ESPDG grant size	US\$285,257	US\$387,990 ⁴⁹

⁴⁹ The total value of the 26 ESPDGs is US\$10,087,733

CRITERION	POPULATION	SAMPLE
ESPDG grant agent	<ul style="list-style-type: none"> • UNICEF: 42 percent (33) • World Bank: 39 percent (31) • UNESCO: 8 percent (6) • ADB: 4 percent (3) • Swiss Development Cooperation, SIDA, Save the Children, DFID: 5 percent (1 each, four in total) • Unknown: 3 percent (2) 	<ul style="list-style-type: none"> • UNICEF: 50 percent (13) • World Bank: 31 percent (8) • UNESCO: 15 percent (4) • DFID: 4 percent (1)

2.2.3 Data sources and methods of data collection

39. The main methods of data collection for both the desk study phase and the country consultation phase are document review, as well as selected stakeholder interviews.⁵⁰ The full evaluation matrix (Appendix IV) illustrates how the various lines of enquiry with their respective data collection methods will be used and triangulated to address the evaluation questions. Each of the noted methods of data collection and related data sources is further discussed below.

Document review

40. Both the Desk Study Report and the Evaluation Report will be based on a systematic review of relevant documents, data sets, and selected literature, albeit with complementary foci. Table 2.6 provides a preliminary overview of the main types of documents that will be reviewed as part of the two assignment phases.

⁵⁰ The assignment TOR had mentioned use of a survey as another possible means of data collection. The evaluation team considered but decided against the use of a survey as the questions to be explored with global and country-level stakeholders are complex. In our experience, interviews lend themselves better to addressing such issues as they allow for clarifying and nuancing responses.

Table 2.6 Key types of documents

TYPES OF DOCUMENTS	EXAMPLES	DESK STUDY REPORT	EVALUATION REPORT
Relevant background documents	<ul style="list-style-type: none"> GPE Strategy 2020; GPE Strategic Plan 2012-2015; GPE (2016) monitoring and evaluation strategy GPE 2020 result framework and related methodology Board meeting minutes, decisions, presentations relevant to GPE support to sector planning ESP and TEP initial comments templates Methodology of the ESP and TEP quality standards ESPDG guidelines and country-level process guide Other relevant FTI and GPE guidance/tools related to ESPDG and ESP development GPE portfolio reviews and results reports (sections relevant to sector planning) 2015 Independent Interim Evaluation of GPE 2018 Internal Review of the Strengthened Independent Assessment Mechanism 2018 Examination of key actors' roles in GPE's country-level operational model Other documents/reviews/reports suggested by the Secretariat or in-country stakeholders 	✓	✓
GPE Data sets	<ul style="list-style-type: none"> GPE RF indicator 16 (a, b, c, d) Secretariat Country Support Team ESPDG thematic coding exercise GPE portfolio data on ESPDG disbursements/allocations GPE coding exercise of roadmaps (i.e. budgets) from ESPDG applications Other documents pertinent to sampling (i.e. Review Meeting notes). 	✓	
Documents pertinent to the sampled countries	<ul style="list-style-type: none"> Countries' ESPDG applications and related documents (application reviews/approvals, ESPDG completion reports) 	✓	
	<ul style="list-style-type: none"> Education sector analyses and thematic studies 	✓	
	<ul style="list-style-type: none"> Education sector plans/transitional sector plans of sampled countries since 2012 and related documents (e.g. education sector analyses underlying the sector plan) 	✓	
	<ul style="list-style-type: none"> Quality Assurance documents (initial Secretariat comments, Appraisal Report, Secretariat Appraisal Check, LEG Appraisal Memo) 	✓	
	<ul style="list-style-type: none"> Documents related to Secretariat quality assurance of draft plans; LEG appraisal and endorsement; and external plan reviews. 	✓	

TYPES OF DOCUMENTS	EXAMPLES	DESK STUDY REPORT	EVALUATION REPORT
	<ul style="list-style-type: none"> JSR reports and GPE Secretariat assessments of JSRs (Indicator #18) 	✓	
	<ul style="list-style-type: none"> Other documents suggested by the Secretariat or in-country stakeholders, including relevant mission reports 	✓	
Evaluative documents and research/studies ⁵¹	<ul style="list-style-type: none"> Selected literature illustrating developments in the global discourse and research on the relevance and nature of 'good' sector planning; 	✓	
	<ul style="list-style-type: none"> Recent reports or studies on education sector planning commissioned by other development partners 	✓	
	<ul style="list-style-type: none"> Data from GPE summative and prospective country level evaluation reports (completed in 2018 and early 2019) 	✓	✓

41. All identified documents and articles will be systematically analyzed to address the questions in the evaluation matrix.

- The desk study will encompass a study of the noted background documents and selected literature. In addition, it will involve a high-level review of sector planning documents related to the 16 sample countries to capture **descriptive characteristics** (such as country income levels, FCAC/non-FCAC, ESPDG amounts received, types of quality assurance that ESPs/TEPs have undergone). The specific criteria will be developed based on the approved evaluation matrix, but will include aspects such as:
 - Consistency in usage of GPE/IIEP quality guidelines for appraisal reports
 - Extent to which recommendations (appraisal report, GPE comments) led to revisions of sector plans
 - Timeframe of ESPDG application (how long from ESPDG approval to final ESP, etc.)
 - Information on GPE quality ratings of the respective final ESP/TEP

42. **The desk study** will also focus on tracing the development of ESPs/TEPs in 16 sample countries from ESPDG application to sector analyses, drafting and quality assuring sector plans, final products, and plan implementation.⁵² For each of the 16 countries, the review will result in a brief summary (around 2-3 pages) of key observations.

- The main focus of the briefs will be the following three areas:
 - QAR mechanism and the appraisal process
 - The quality of the sector analysis and related targeted studies and ESP/TEP, including extent to which the education plan is "aspirational" or realistic as well as comprehensive
 - The quality of the independent appraisal
- In addition, the summary will also highlight observations related to:

⁵¹ Literature review is no longer a line of inquiry, but the evaluation team will consider relevant literature in order to complement other documents.

⁵² The insights on implementation of the ESP will be drawn from the CLE that have been conducted up to October 2018.

- The country context
 - Benefits and drawbacks for ESP/TEP development and quality deriving from the application of GPE guidelines
 - Strengths/weaknesses of how ESPDG funds have been used to support sector plan development
 - Strengths/weaknesses of the process of developing the sector analysis and sector plan.
- The final 2019 **Evaluation Report** will aim to test the hypotheses developed in the desk study by triangulating insights from the desk study with country-level information elicited during the country consultation phase.

Key informant interviews

43. Key informant interviews (KII) will inform the two phases and deliverables of this evaluation, although the majority of interviews will be conducted during the country consultation phase, as further described below.

- In total, our level of effort allows for about 30 interviews to be conducted with stakeholders such as IIEP stakeholders, current and former Secretariat staff (including Country Leads), selected consultants who have been trained in and have conducted ESP/TEP appraisals, Grant Agents or Coordinating Agencies involved in ESPDG, MoE Planning Officer at the DCP ministry, GPE Secretariat CLs, and other staff at GPE Secretariat involved in quality assurance and in initiatives such as the development of “Education Sector Investment Cases.”
- **For the desk study phase**, the evaluation team will conduct around 10 interviews with IIEP stakeholders, current and former Secretariat staff (including Country Leads), and selected consultants who have been trained in and have conducted ESP/TEP appraisals.
- **For the country consultation phase**, the evaluation will conduct around 20 interviews with stakeholders in 13 countries after November 2018.⁵³ The interviews in the five “summative plus” and one prospective evaluation will not be conducted directly by this evaluation team since they will be conducted during the country missions for the summative evaluations. The modified approach to conducting country level evaluations (as of September 2018) incorporates explicit references to this study on sector planning, with the intention to collect data during CLE country mission on areas of interest for this study.
- Interviews will be semi-structured based on interview guides to be developed once inception report is approved. They will be conducted via telephone or Skype and will – on average – last between 30 and 45 minutes.

⁵³ No interviews will be conducted for Chad, Comoros and Eritrea, which do not form part of the CLE.

2.3 Data analysis and data quality assurance

2.3.1 Data analysis

44. To analyze data, the evaluation team will employ qualitative (descriptive, content, comparative) and quantitative techniques. Table 2.4 illustrates how these approaches will be applied in the desk study phase and the country consultation phase.

Table 2.7 Data analysis

METHOD OF DATA ANALYSIS	DESK STUDY PHASE	COUNTRY CONSULTATION PHASE
Descriptive analysis	Will be used to understand and describe the ESPDG instrument (understood as the ‘package’ of funding, procedures, guidelines, etc.) and its evolution since 2012.	Will be used as a first step to describe key features of GPE support to sector planning, in the sampled countries.
Content analysis	<p>Will be used</p> <ul style="list-style-type: none"> to analyze and identify themes and patterns in relation to the evaluation questions to flag diverging evidence on certain issues. <p>Emerging issues and trends deriving from this analysis will constitute the raw material for crafting preliminary findings and hypotheses for the Desk Study Report.</p>	<p>Will be used</p> <ul style="list-style-type: none"> to analyze and identify common trends, themes and patterns deriving from the sample countries⁵⁴ in relation to the evaluation questions to flag differences in the findings and supporting evidence emerging from different sample countries and/or other data sources. <p>Emerging issues and trends deriving from this analysis will constitute the raw material for crafting preliminary findings of the country report</p>

⁵⁴ Those analyzed in the Desk Study Report as well as countries addressed in summative and prospective country evaluations up until July 2019.

METHOD OF DATA ANALYSIS	DESK STUDY PHASE	COUNTRY CONSULTATION PHASE
Comparative analysis⁵⁵	Elements of comparative analysis will be used for assessing the nature and (likely) effects of changes in the ESPDG instrument since 2012 and for identifying changes between ESPDG grants.	Will be used to understand and explain differences in findings and trends emerging from the different sample countries and from different points in time. This will be approached in two ways: (a) descriptive: What common (or diverging) themes and issues emerge from the summative and prospective CLEs completed to date? And (b) analytical: What key factors are likely to have influenced common strengths or weaknesses of GPE support to countries observed across the individual country evaluations as well as in the countries reviewed in the Desk Study Report?
Quantitative/statistical analysis	Will be used to capture relevant trends e.g. related to ESPDG amounts, duration of related processes, or relative allocation of grant funds to different types of tasks.	Will be used to capture trends and/or differences in sector planning processes (and related GPE support) in the sampled countries.

45. **Triangulation** will be used to ensure the reliability of information and to increase the quality, integrity and credibility of the evaluation findings and conclusions. Wherever possible, evaluation findings will be based on several lines of enquiry and data sources. Both the Desk Study Report and the Evaluation Report will explicitly indicate if and where triangulation has not been possible.

2.3.2 Data quality assurance

46. To maximize the quality of data, the evaluation team will use several processes to check and clean the data.

- Data deriving from stakeholder interviews will be coded by using the questions in the evaluation matrix and stored using a tailored data template dedicated to interview data. This will allow retrieving and analyzing interview data by country, by question and by a group of stakeholders;
- Document review data will be excerpted, as much as possible, directly from the respective sources to ensure accuracy. Insights will be stored in a tailored data template dedicated to capturing country-specific data deriving from both the desk study phase and the country consultation phase;
- To the extent possible and where relevant, reports will mention Ns and percentages for both qualitative (e.g. stakeholder interviews) and quantitative data;
- Data analysis and aggregation will be guided by the evaluation matrix.

⁵⁵ The CLEs are planning to use qualitative comparative analysis (QCA), but it is not yet clear if/to what extent this will be feasible based on the available data. Before we suggest using QCA here, it would be wise to see what will be decided in view of the CLEs, and then use similar approaches and variables.

47. A data “dossier” will be given to GPE at the end of the evaluation study and will include the interview notes by stakeholder ID and type of stakeholder and document review templates and notes. Interview notes will be provided for the approximately 30 interviews conducted specifically for this evaluation study.

3 Deliverables and work plan

3.1 Timeline for main deliverables

48. Table 3.1 outlines key assignment deliverables following the submission of the draft inception report. We have proposed dates for each of the deliverables, to be discussed with GPE Secretariat.

Table 3.1 *Main deliverables and proposed timeline*

MAIN DELIVERABLE	DRAFT SUBMITTED	GPE PROVIDES FEEDBACK ON DRAFT	REVISED DELIVERABLE	TECHNICAL REVIEW PANEL FEEDBACK	FINAL DELIVERABLE SUBMITTED
Inception report	17 June 2018	25 June 2018	5 July 2018	14 July 2018	September 27
Desk Study Report	7 January 2019 ⁵⁶	18 January 2019	1 February 2019	15 February 2019	1 March 2019
Slide presentation accompanying Desk Study Report					10 March 2019
Evaluation Report	14 September 2019	27 September 2019	11 October 2019	25 October 2019	8 November 2019
Slide presentation accompanying Evaluation Report					15 November 2019

⁵⁶ This draft report date assumes that the IR is approved by end of September.

3.2 Level of effort

49. The desk study phase is expected to require 73 person days as is shown in Table 3.2. The overall level of effort is distributed among the core team members, Katrina Rojas, Dr. Laurence Wolff, and Havard Berge. As further described below, Dr. Marie-Hélène Adrien and Dr. Anette Wenderoth will play quality assurance functions throughout the process.

Table 3.2 Level of Effort – Desk study phase

Activity	KR	HB	LW	MHA/AW	TOTAL
DESK STUDY - Data Collection and Analysis					
Preparation/refinement of tools	0.5	2.0	1.0		3.5
Review of documents for sample countries (including CLE reports) and GPE guidelines	6.5	30.0	13.0		49.5
Interviews with key informants	1.0		1.0		2.0
Sub-Total Data Collection and Analysis	8.0	32.0	15.0	0.0	55.0
DESK STUDY - Reporting					
Prepare and submit draft of the Desk Study Report (up to 30 pages)	4.0	3.0	1.0	0.5	8.5
Prepare and submit revised Desk Study Report	2.0	2.0	1.0		5.0
Prepare and submit Final Desk Study Report	1.0	2.0		0.5	3.5
Prepare and submit slide presentation	1.0				1.0
Sub-Total Reporting	8.0	7.0	2.0	1.0	18.0
Total Days Desk Study	16.0	39.0	17.0	1.0	73.0

50. The country consultation phase is expected to require approximately 22 person days, as shown in Table 3.3.

Table 3.3 Level of Effort –Country consultation phase

Activity	KR	HB	LW	MHA/AW	TOTAL
COUNTRY CONSULTATION - Data Collection and Analysis					
Country-level interviews	1.0	1.0	1.0		3.0
Review and analyze new CLE report data (summative and prospective)		2.0			2.0
Sub-Total Data Collection and Analysis	1.0	3.0	1.0	0.0	5.0
COUNTRY CONSULTATION - Reporting					
Prepare and submit draft of the Evaluation Report (up to 50 pages)	4.0	5.0	2.0	0.5	11.5
Prepare and submit revised Evaluation Report	2.0				2.0
Prepare and submit Final evaluation Report	2.0			0.5	2.5
Prepare and submit slide presentation	1.0				1.0
Sub-Total Reporting	9.0	5.0	2.0	1.0	17.0
Total Days Country Consultation (Evaluation Report)	10.0	8.0	3.0	1.0	22.0

3.3 Deliverables

51. This section briefly describes the main deliverables for this assignment as outlined in the Terms of Reference. All deliverables will be delivered to the Secretariat in English and will be written in clear, understandable language to ensure their relevance and accessibility.

52. For all draft deliverables, the Secretariat (and other stakeholders as needed) will provide synthesized feedback within two weeks after receiving the deliverable. The evaluation team will then revise and produce a final version of the deliverable within two weeks after receiving the feedback. The level of effort outlined above is based on two rounds of revisions.

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

Desk Study Report and accompanying slide presentation

54. For the Desk Study Report, the consultant will prepare one report of no more than 30 pages (plus appendices) to present preliminary evaluation findings, supporting evidence, a set of hypotheses, and preliminary conclusions) which will be further explored in the Evaluation Report. A draft outline of the report is shown in Table 3.4.

Table 3.4 Report outline: Desk Study Report

Executive Summary
1. Introduction
1.1 Purpose of the evaluation
1.2 Purpose and structure of the report
1.3 Evaluation methodology (desk study)
2. Context
2.1 GPE context (focus on issues relevant to GPE support for sector planning)
2.2 Global context relevant to education sector planning
3. Preliminary findings: Strengths and weaknesses of GPE contributions to sector planning
3.1 Relevance and appropriateness of the ESPDG and of other types of GPE support
3.2 To what extent has GPE support led to the quality sector plans and sector planning? Why? Why not?
3.3 How well has GPE managed its support to sector planning?
4. Preliminary conclusions and hypotheses
4.1 Preliminary conclusions
4.2 Hypotheses to be tested in subsequent CLEs and Evaluation Report (country consultation)

55. Once the full report has been revised while incorporating the Secretariat's feedback, the evaluation team will prepare a slide presentation based on the final version of the report. The presentation will briefly capture the evaluation purpose and methodology, outline key evaluation findings, conclusions and resulting forward-looking hypotheses.

Evaluation Report and accompanying slide presentation

56. From the country consultation phase, the consultant will prepare one Evaluation Report of no more than 50 pages (plus appendices).⁵⁷ This report will build on the findings, conclusions and hypotheses formed during the Desk Study Report and, to the extent possible, test their validity based on the evidence deriving from the (up to) 20 country level evaluations conducted by that time. Further, the report will present overarching evaluation conclusions as well as a set of actionable recommendations to GPE. A draft outline of the report is shown in table 3.5.

Table 3.5 Report outline: Evaluation Report

Executive Summary
1. Introduction
1.1 Purpose of the evaluation
1.2 Purpose and structure of the report
1.3 Evaluation methodology
2. Context
2.1 GPE context (focus on any changes, if applicable, since desk study)
2.2 Global context (focus on changes since desk study)
2.3 Country contexts (broad overview of key issues characterizing countries addressed through CLEs to date)
3. Strengths and weaknesses of GPE contributions to sector planning (focus on validating/nuancing related findings, conclusions and hypotheses developed under the desk study)
3.1 (Evolving) relevance and appropriateness of the ESPDG and of other types of GPE support
3.2 To what extent has GPE support contributed to quality sector plans and sector planning? Why? Why not?
3.3 How well has GPE managed its support to sector planning?
4. Conclusions and Recommendations (drawing upon both the Desk Study Report and the country consultation phase)
4.1 Conclusions
4.2 Recommendations

57. As described for the desk study, the consultant will develop a slide presentation to accompany the final evaluation report.

⁵⁷ The relative length of the reports for the desk study phase and the country consultation phase reflect the respective Level of Effort assigned to the two phases of this overall assignment (see section 3.2 above).

4 Assignment management

4.1 Team organization and staffing

58. The roles and responsibilities of different team members are summarized in Table 4.1.

Table 4.1 Team organization and staffing

TEAM MEMBER	ROLE	RESPONSIBILITIES DURING EVALUATION
Katrina Rojas	Team Leader	<ul style="list-style-type: none"> • Provides day-to-day management for the project, including liaison with the GPE Secretariat Evaluation Manager • Oversees data collection and analysis processes • Conducts interviews with stakeholders • Coordinates team contributions • Conducts review of ESPs • Selective literature review • Drafts and finalizes deliverables with inputs from team members
Larry Wolfe	Education Sector Planning Expert	<ul style="list-style-type: none"> • Advises on document review • Review and assess key GPE material and processes (• Conducts the review of ESPs • Selective literature review • Conduct interviews with stakeholders • Contributes to draft and final deliverables
Havard Bergo	Consultant	<ul style="list-style-type: none"> • Analyzes GPE data sets • Conducts document review on ESPDGs • Conducts review of ESPs
Marie-Hélène Adrien	Project director	<ul style="list-style-type: none"> • Provides technical and managerial oversight of the project • Ensures linkages with GPE CLE • Quality Assurance of assignment deliverables
Anette Wenderoth	QA Advisor	<ul style="list-style-type: none"> • Quality Assurance of assignment deliverables • Ensures linkages with GPE CLE

4.2 Quality assurance

59. Universalialia Management Group is committed to delivering high-quality reports to GPE. All deliverables produced by the evaluation team will be reviewed by a QA reviewer prior to submission. Dr. Marie-Hélène Adrien and Dr. Anette Wenderoth will provide QA function for this evaluation. Their biographies are included in Appendix VII. Draft deliverables will further be reviewed against the requirements of the TOR and the inception report before delivery to the GPE Secretariat, as well as best practice in evaluation before being signed off internally. Between the first draft and final version of the deliverables, the outputs will further be peer reviewed by an external technical review panel, with comments also provided by GPE Secretariat.

60. The team leader, Ms. Rojas, is responsible for ensuring that the described internal quality assurance processes are implemented as planned. She will closely collaborate with the GPE evaluation manager to ensure that the external quality assurance processes are carried out and utilized to improve the quality of assignment deliverables.

4.3 Stakeholder engagement and communication

61. The evaluation is project-managed by the GPE Secretariat evaluation manager. The evaluation manager will be responsible for consolidating feedback, quality assuring, advising on the evaluation outputs, and commenting on draft reports. Approval will be provided by the GPE Secretariat M&E team lead. The evaluation team will formally respond to all such comments for the final evaluation report in a matrix clearly articulating how comments have been considered and incorporated. In case that the evaluation team disagrees with any comment, we will provide detailed reasons for why this is the case.

62. Throughout the evaluation, we will work closely with the GPE Secretariat. This will include regular (weekly or biweekly, depending on the stage of the process) phone calls between the evaluation team leader and the GPE evaluation manager.

4.4 Risk management

63. Table 4.2 summarizes potential risks that can negatively affect the evaluation, as well as proposed mitigation measures.

Table 4.2 *Risks and mitigation strategies*

RISK	IMPACT ON DELIVERY	RISK MITIGATION MEASURES
Varying types and levels of information available (i) on early versus more recent stages of ESPDG use and ESP/TEP development; (ii) on different sample countries	Lack of data can limit the evaluation team's ability to make evidence-based comparisons.	Inclusion of data availability as a consideration in the sampling strategy. Work with the Secretariat and in-country stakeholders to fill data gaps. Clearly identify data gaps in draft/final reports.

RISK	IMPACT ON DELIVERY	RISK MITIGATION MEASURES
<p>CLEs provide only broad/high-level information on the use and dynamic adaptation of ESP/TEP.</p>	<p>Limits evaluation's ability to fully assess the relevance and effectiveness of GPE support to sector planning</p>	<p>For the CLEs already completed, we will consult with Senior Consultants for summative/prospective evaluations to obtain additional information that may not have been captured in CLEs.</p> <p>Summative “plus” studies have refined the set of questions to be asked during the site visits. The Desk Study will provide additional insights to help adjust the planning of the CLE missions.</p>
<p>Reduced time frame to complete an intense document review for sample countries</p>	<p>Limits the evaluation team’s ability to complete the desk review</p>	<p>We have expanded the planned level of effort invested in the review of country-level documentation, beyond what was initially planned, in order to accommodate the increase in number of countries and shorter time frame. We will draw on other team members involved in CLE as required to complete the review of the country-level documents (ESPs, ESAs, etc.). We will need to quickly ensure that necessary documents are available for each of the 16 countries.</p>
<p>Contacted stakeholders are not available and/or cannot remember or are unwilling to share specific information on the relevance and effectiveness, or efficiency of GPE support to sector planning.</p>	<p>Limits evaluation's ability to fully assess the relevance and effectiveness of GPE support to sector planning</p>	<p>Provide sufficient notice before and offer generous timeframe for consultations to be completed.</p>

Appendix I Evaluation Terms of Reference



Strategy, Policy and Performance Team
Global Partnership for Education Secretariat

Terms of Reference

Development and implementation of an evaluation study on the Global Partnership for Education (GPE)'s support to Sector Plan Development, including through Education Sector Plan Development Grants (ESPDG) in the context of GPE 2020

Background

About GPE. Established in 2002, the Global Partnership for Education ("Global Partnership," or GPE), formerly the Education for All Fast-Track Initiative, is a multi-stakeholder partnership focused on supporting and financing basic education in developing countries. It provides its developing country partners support to build and implement sound education plans. The Global Partnership aims to achieve quality learning outcomes for all children by efficiently using international and national resources and matching donors' priorities with developing countries' own education goals and strategies.

In December 2015, the GPE Board of Directors adopted a new strategic plan, GPE 2020, which sets out the goals and objectives for the partnership between 2016 and 2020. In June 2016, GPE adopted a Monitoring and Evaluation (M&E) strategy, which includes a Results Framework that is used to monitor progress across the three goals and five strategic objectives in the partnership's theory of change. In addition, the strategy calls for a linked set of evaluation studies that explore *whether, how well, and how* the GPE theory of change contributes to the achievement of education results within GPE developing country partners (DCPs) in the areas of learning, equity, and systems. In contrast to past practice, the strategy proposes a movement away from a singular investment in summative evaluation at the end of GPE's five-year plan and, instead, conduct several programmatic, thematic, and country-level evaluations between 2017 and 2020, feeding into a summative evaluation to be undertaken in 2020. The purposes of these evaluations are to learn about how the various aspects of the GPE theory of change are working within countries and provide recommendations for improvement.

GPE support to sector planning process, including through Education Sector Plan Development Grants (ESPDG). Sector planning is central to GPE's model of engagement at the country level. Indeed, the Global Partnership's predecessor, the Fast-Track Initiative, already strived to ensure that no country with a credible

(sector-wide) plan to achieve universal access to primary education should fail for lack of financial resources. Consequently, as noted in the Independent Interim Evaluation of GPE (2015), the Partnership is “valued for promoting evidence-based, participatory and inclusive sector planning processes [having] supported the development or revision of Education Sector Plans (ESPs) and related GPE-funded programs that address national priorities” (p. 83).

Sector planning is the process through which countries develop their national education plan – a multi-year sector-wide document that formulates education policies, by providing a long-term vision and objectives for its education sector, as well as outlining the strategies and activities required to reach its objectives, accompanied by an operational plan. GPE support to DCPs’ sector planning is multi-pronged. It includes the financing of sector planning; direct technical assistance to partner countries; and a set of guidelines and processes used up until plan appraisal (including guidance documents and quality assurance mechanisms).

ESPDGs are the financial enablers of GPE’s country-level support to sector planning. Accordingly, ESPDG is a GPE country-level grant that provides funding of up to US\$500,000 to support Developing Country Partners (DCPs) during their education sector planning process. ESPDGs allow for (i) the realization of sector analyses and any other targeted studies to support a country’s sector planning⁵⁸; and (ii) the support for the preparation (whether development or revision) and finalization of quality sector plans, that is, Education Sector Plans (ESPs) or Transitional Education Plans (TEPs) in contexts of conflict and/or fragility including operational subsets such as multi-year implementation plans. It also provides funding for quality assurance steps and mechanisms at country level (iii), including independent plan appraisal. In all, eligible activities include: **technical assistance** in the form of international expertise contracting; **policy dialogue and consultation** through workshops and policy fora; and **capacity development** through on-the-task or specifically tailored training.

At any time during the fiscal year 2016, the overall portfolio of active GPE ESPDGs included 27 grants in 29 DCPs for a total of nearly US\$9,000,000. Out of these 29 countries with an active ESPDG in fiscal year 2016, 13 were affected by conflict or fragility. Since the inception of ESPDGs in 2012, GPE has allocated US\$13.5 million to 54 ESPDGs.⁵⁹

Rationale

The Independent Interim Evaluation of GPE (2015) had suggested that the Partnership “[should be accountable for] contributions to education sector planning. ... Related efforts could build on existing GPE Secretariat initiatives related to assessing and tracking the quality of ESPs” (p. 89). The Secretariat monitors the quality of sector plans through indicators 16 a-b-c-d – and, this monitoring effort is to be supplemented with the present evaluative assignment.

Thus, and given the central role of robust education sector plans in achieving SDG 4 at the country level as well as the processes leading to the establishment of these sector plans, the Board mandated the Secretariat to pursue an evaluation of GPE’s support to sector planning through ESPDG and other modalities, within its M&E Strategy (p. 15). GPE is seeking the services of a professional firm to develop and implement an evaluation of GPE’s ESPDG in light of the goals and principles of GPE 2020 as per the specifications below.

⁵⁸ It is to note that the GPE funding model, launched in 2014, includes a sector analysis requirement as part of its requirement on country data.

⁵⁹ Global Partnership for Education (2016). Portfolio Review 2016. World Bank Group / IBRD: Washington DC.

Purpose

The purpose of the present evaluation is to assess the relevance, efficiency, and effectiveness of GPE's support to sector planning through ESPDG and other modalities, and provide recommendations for improvement. This information will help strengthen how the partnership approaches, facilitates and ensures rigor in support of sector planning. At the Secretariat level, recommendations will allow for course corrections in how ESPDGs and other modalities of sector planning support are conceived and managed. In addition, findings and recommendations may inform the long-term vision for ESPDG, in the light of GPE 2020 and beyond. Finally, findings will also be used at the country level, to enhance ways in which partner countries, grant agents, Local Education Groups (LEGs) and other stakeholders involved collaborate toward and contribute to developing quality sector plans.

Services

The selected vendor will work in consultation with the GPE Secretariat to: (a) develop the evaluation design; (b) implement this design after approval by GPE; and (c) develop a desk-based evaluation study and a synthesis evaluation study, which will include analysis, findings and recommendations to answer a set of evaluation questions as detailed below.

Scope

The evaluation will be conducted in two parts: 1) a desk-based study of the ESPDG funding mechanism; and 2) a broader study of ESPDG and other GPE modalities of support to sector planning in the context of GPE's country-level evaluation portfolio.

- **Unit of analysis** – The unit of analysis for the desk-based study is the ESPDG instrument (understood as the 'package' of funding, procedures, guidelines, capacity building and technical services) and how the activities it supports drive quality sector planning processes/products at the country level. For the broader study, which includes other modalities of GPE support to sector planning, the unit of analysis will be the country receiving the ESPDG and/or other planning support.
- **Timeframe of reference** – The study will examine GPE's support to sector planning through ESPDGs and other modalities since the first ESPDG grant was approved in 2012, and up until the time of this evaluation. Note that there have been revisions to GPE's approach to ESPDG, guidance and tools in mid-2016, which could provide an additional valuable angle to assess the evolution of the program (why, how, what for) and its effects, although these revisions remain recent. The launch of GPE 2020 in late 2015 (with a heightened focus on sector planning) is also to be taken into consideration. Finally, comparisons of sector plans quality before and after 2014/2015, or DCPs with/without an ESPDG, could be considered subject to discussion with GPE.

Evaluation Criteria and Questions

The evaluation will be of a formative nature. Key evaluation questions relate to the following:

1. Relevance

(i) How well does ESPDG's purpose of "support[ing] effective and inclusive dialogue during [sector planning]"⁶⁰, via "a common vision and roadmap to guide the (...) process" (ibid.) match with the planning needs and priorities of DCPs?

(ii) To what extent is ESPDG relevant for the partnership itself, considering its intended country support and strategies through GPE 2020?

(iii) Does the GPE Secretariat employ the appropriate criteria for ESPDG applications?

(iv) Are the GPE criteria appropriate for assessing the quality of sector plans? Are there aspects of quality sector plans that are not captured through GPE's metrics for quality?

(v) How well do other modalities of GPE support, besides ESPDG, address the needs of partner countries with regards to sector planning (these other modalities include: (a) planning guidelines and technical resources, (b) quality assurance processes for sector planning, (c) technical assistance such as knowledge events or direct country support, and (d) capacity-building opportunities)?

2. Efficiency/value for money

(i) To what extent do ESPDG and other modalities of GPE support to sector planning (per list above) use good-quality management (e.g., Secretariat, grant agent, coordination agency), relationship building and management, roles and responsibilities assignment, dialogue promotion and guidance / tools, etc., to ensure that adequate stewardship of resources, successful partnering and desired results are achieved?

(ii) What measures does GPE employ to ensure efficient use of funds for ESPDGs? How well are these measures being applied?

Please note that under this efficiency dimension, measures/criteria for efficiency will be defined in the inception report, as well as sources of benchmarking to the extent possible/feasible.

⁶⁰ <http://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants>, page 6.

3. Effectiveness

(i) Has ESPDG led to the development / revision of credible, robust sector plans (as per the (i) country-level process⁶¹ and (ii) GPE Secretariat's Quality Standards for Education Sector and Transitional Education Plans), simulation models, education sector analyses, and/or targeted studies? If so, how? Would there be better ways to support the development of quality sector plans? [NOTE: The definition of a quality sector plan will need to consider whether it is strategic and evidence-based, in addition to other criteria for ESPs and TEPs— as part of the country-level evaluations]

(ii) Have other types of GPE country-level support, besides ESPDG (per list above), led to the development of quality sector plans? To what extent are these modalities aligned with and complementary of ESPDG?

(iii) With regards to the Quality Assurance and Review (QAR) process specifically:

- To what extent has the revised QAR process for education sector plans (ESP/TEP initial comments, independent appraisal, appraisal check, Fixed part requirements matrix and two-pager, and QAR1) contributed to improve the quality of sector plans vis-à-vis the quality of the country-level process, as evidenced by the commissioning of the independent appraisal by development partners (DPs), the appraisal report, the appraisal memo, and the endorsement of the Plan; and as assessed by GPE quality standards as measured by GPE Results Framework indicators 16(a), 16(b), 16(c), and 16 (d)?
- In comparison to the previous appraisal process, has the revised appraisal process (training of consultants, creation of a roster of consultants, new guidelines, and new secretariat QA process) contributed to improve the consistency and the quality of the appraisal of ESPs and TEPs? Has the appraisal process contributed to improve the quality of ESPs and TEPs?
- To what extent has the independent appraisal process contributed to the policy dialogue? Are we providing and influencing through sound, expert technical advice on efficiency, equity, learning outcomes, as evidenced/measured by improvements in the ESP indicators 16(b), 16(c) and 16(d)?

(iii) Has GPE support to sector planning, including through ESPDG, led to inclusive dialogue and ownership and if so, how is it happening?

(iv) Has GPE support to sector planning, including through ESPDG, led to capacity development/strengthening at national level (e.g., leadership, technical) and if so, how? What is the balance between the level of technical assistance furnished and capacity development?

(iv) How and how well does GPE monitor its ESPDG portfolio and other sector support modalities?

Please note that under this effectiveness dimension, measures/criteria for effectiveness will be defined in the inception report.

Lastly, **recommendations** on course corrections and refinements for ESPDG and other sector planning support modalities are a key part of this assignment. In this context, the selected vendor should highlight successful or innovative practices that should be maintained, replicated or scaled up.

⁶¹ The credibility of an ESP at country level is determined by whether the ESP has undergone an independent appraisal and whether it has been finalized and endorsed by the country. This involves the Government/Local Education Group responding to the appraisal report via the appraisal memo and the endorsement of the appraisal by the Local Education Group.

Procedures

Methods to collect quantitative and qualitative data may include but are not limited to (i) desk reviews of Secretariat and country documents related to sector planning and ESPDG, (ii) surveys, (iii) semi-structured interviews, and (iv) any other methods as appropriate. In addition, the selected vendor should consider the most suitable sampling strategy to select partner countries involved in an ESPDG (through the country-level evaluations), to extract program highlights as well as promising and innovative practices. The analysis strategy will be developed by the selected vendor, as part of their services.

Deliverables and Timeline

The selected vendor will deliver the following three products:

- 1) An **inception report**, which describes at a minimum the methodology (including an evaluation matrix); instruments for data collection; anticipated challenges/limitations if any; timelines and team responsibilities for the desk study and the multi-year final evaluation study (maximum 25 pages, excluding annexes), to be discussed with GPE Secretariat staff for fine-tuning. This report will also provide an evaluability assessment, which will specify what can and cannot be done through the desk study to answer the evaluation questions based on existing documents and initial sets of interviews, and what additional data collection would be required to do so satisfactorily. Importantly, in this inception report, the vendor will clearly show in a table/matrix which evaluation questions will be addressed in the desk study report and/or in the multi-year synthesis evaluation report (with country-level case study data). Lastly, the inception report will include a sampling strategy for country case studies.
- 2) A **desk study evaluation report**, edited and designed, which includes but is not limited to: executive summary; introduction (including program description); methodology; analysis; findings for evaluation questions; limitations; conclusion and recommendations (maximum 50 pages, excluding annexes). The evaluators will also prepare a **slide-show presentation** based on this report.
- 3) A **multi-year, synthesis evaluation report**, which will be based on the information derived from the desk study and the country cases. The evaluators will also prepare a **slide-show presentation** based on this report.

These three deliverables are due on the following dates:

- 1) **Inception report:** The selected vendor will deliver a draft of the inception report by March 2, 2018. The GPE Secretariat and other stakeholders as needed will provide feedback within two weeks. The GPE Secretariat Evaluation Manager will consolidate the feedback and send it to the vendor for its consideration. The final inception report is due by the vendor to GPE two weeks upon receiving feedback from the Secretariat.
- 2) **Desk study evaluation report:** The selected vendor will deliver the draft desk study report by June 29, 2018. GPE Secretariat and other stakeholders as needed will provide feedback within two weeks. The GPE Secretariat Evaluation Manager will consolidate the feedback and send it to the vendor for its consideration. The final evaluation report (and related slide-show presentation) is due by the vendor to GPE two weeks upon receiving feedback from the Secretariat.
- 3) **Multi-year synthesis evaluation report:** The selected vendor will deliver the draft evaluation report by September 13, 2019. The GPE Secretariat and other stakeholders as needed will provide feedback within two weeks. The GPE Secretariat Evaluation Manager will consolidate the feedback and send it to the vendor for its consideration. The final evaluation report (and related slide-show presentation) is due by the vendor to GPE two weeks upon receiving feedback from the Secretariat.

In this context, please note:

- The evaluation contractor should ensure that all data are collected per ethical standards and that collected data are organized, secured and preserved for potential re-analysis in the summative GPE evaluation.
- All data and findings will remain the property of GPE at the conclusion of the evaluation contract.
- The evaluation reports should be written clearly and be impartial and constructive in tone. Each draft should be professionally edited. There should be creative use of tables and high-quality graphics.

Also, the vendor may be asked to present its evaluating findings at GPE's Strategy and Impact Committee (SIC) meeting and Board of Directors meeting, for up to a half-day of work. This would take place by phone or via teleconferencing and no traveling will be required.

Contract Period

March 19, 2018 (or earlier) to June 30, 2020.

Profile of Evaluator(s)

The evaluator(s) should have combined expertise in education sector planning, evaluation, and economics. Fluency in French and Spanish is necessary.

Reporting Relationships

The selected vendor will report, on a day-to-day basis, to the GPE Evaluation Manager, as designated by the Head of Monitoring and Evaluation.

Costs and Payments Schedule

The total amount for the assignment is US\$ 80,000. Payments will be made in three tranches, as follows:

- 1) Against final, GPE-approved inception report (finalized May 2018): 20%
- 2) Against final, GPE-approved desk study report (finalized October 2018): 50%
- 3) Against final, GPE-approved multi-year final evaluation study (finalized December 2019): 30%

In relation to this, please note that any travel-related costs will be borne by the evaluation vendor.

Key documents to be reviewed (estimated number of documents provided in parentheses)

- Guidelines for ESPDGs (x1)
- Application form, timeline and budget roadmap template for ESPDG grant application (x1)
- Template for completion report of ESPDGs (x1)
- Guidelines for ESP and TEP preparation (x2)
- Guidelines for ESP and TEP appraisal (x2)
- Independent interim evaluation of GPE (2015) (x1)
- GPE operational platform, model, and charter (x3)
- GPE Portfolio Review Reports (x2)
- ESP and TEP assessment templates (x2)
- Sampled DCPs completed ESPDG application packages and their assessment (number TBD)
- Sampled DCPs quality reviews of ESPs and TEPs (number TBD)
- Sampled DCPs ESPDG implementation, revision, and completion documents (number TBD)

Appendix II List of Consulted Individuals

NAME	POSITION	ORGANIZATION
Ms. Alice Yang	Country Support Team	GPE Secretariat
Mr. David Glass	Financial Officer	GPE Secretariat
Ms. Raphaelle Martinez	Senior Education Specialist in charge of systems, finance and efficiency of the Strategy, Policy and Performance team	GPE Secretariat
Ms. Kristen Maajgard	Team Leader, Quality Assurance Team	GPE Secretariat

Appendix III List of Reviewed Documents

- Bernard, Jean-Marc, and Talia de Chaisemartin. Education Sector Planning in Developing Countries: An Analysis of 42 Education Sector Plans. Non-published paper prepared for UKFIET International Conference on Education and Development, September 15-17, 2015, England: University of Oxford, 2015.
- Bray, Mark and N.V. Varghese, Directions in educational planning: International experiences and perspectives, UNESCO, 2011
- Funnell, Sue C., and Patricia J. Rogers. Purposeful Programme Theory: Effective Use of Theories of Change and Logic Models. San Francisco, CA: Jossey-Bass, 2011.
- Global Partnership for Education. Country-Level Process Guide - An Overview. GPE, 2017.
- Global Partnership for Education. "Findings from the Internal Review of the Strengthened Independent Assessment Mechanism." Grants and Performance Committee Meeting. January 17-19, 2018, London and Washington, D.C., 2018.
- Global Partnership for Education. "FTI Country Level Process Guide." 2011.
- "Fund Education. Shape the Future. GPE Case for Investment." 2017. <https://www.globalpartnership.org/content/gpe-replenishment-2020-case-investment>.
- "GPE 2020 - Improving learning and equity through stronger education systems (Strategic Plan 2016-2020)." 2018. <https://www.globalpartnership.org/content/gpe-2020-strategic-plan>.
- Global Partnership for Education. GPE 2020 - Improving learning and equity through stronger education systems. Power Point Presentation, GPE, 2017.
- "How GPE works in partner countries." 2017. <https://www.globalpartnership.org/content/how-gpe-works-partner-countries>.
- Global Partnership for Education. "Monitoring Sheet for Global Partnership for Education (GPE) Indicators." 2016.
- Global Partnership for Education. "Overview report of the strategic financing working group. Meeting of the Board of Directors. March 1, 2017." BOD/2017/03 DOC 03, Washington, D.C., 2017.
- Global Partnership for Education. Portfolio Review 2016. Washington, D.C.: World Bank Group / IBRD, 2016.
- Global Partnership for Education. Report of the Country Grants and Performance Committee Part 1: Operational Framework for Requirements and Incentives in the Funding Model of Global Partnership for Education and Results (BOD/2014/05-DOC 03), Meeting of the Board of Directors, May 28, 2014. GPE, 2014.
- "Roadmap for education sector plan development grants." 2016. <https://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants>.
- Global Partnership for Education, International Institute for Educational Planning-UNESCO. Guidelines for Education Sector Plan Appraisal. Paris: IIEP-UNESCO, 2015.

- Global Partnership for Education, International Institute for Educational Planning-UNESCO. Guidelines for Education Sector Plan Preparation. Paris: IIEP-UNESCO, 2015.
- Global Partnership for Education, The World Bank. Terms of Reference - Design and Implementation of GPE 2020 Country-level Evaluations, 2017-2020. GPE, n.d.
- Global Partnership for Education. "GPE Monitoring and Evaluation Strategy." July 2017.
- Heyneman, S. and Lee, B, "International Organizations and the Future of Education Assistance", International Journal of Educational Development, Volume 48, May 2016, p. 9-22
- International Institute for Educational Planning - UNESCO. Strategic Planning: Concept and Rationale. Education Sector Planning Working Papers: Working Paper 1, Paris: UNESCO IIEP, 2010.
- Mayne, John. "The COM-B Theory of Change Model." Working paper, February 2017.
- Oxford Policy Management. Evaluation Study on the Global Partnership For Education (GPE)'s Support for Civil Society Engagement - Inception Report. Oxford Policy Management, 2018.
- Ruddle, Nicola, Kelly Casey, Gabi Elte, and Anaïs Loizillon. Examination of key actors' roles in GPE's country-level operational model towards GPE 2020 delivery. Oxford, UK: Oxford Policy Management, 2018.
- United Nations Educational, Scientific and Cultural Organization, United Nations Children's Fund, World Bank & Global Partnership for Education. "Education sector analysis methodological guidelines." 2014.

Appendix IV Evaluation Matrix

MAIN QUESTIONS AND SUB-QUESTIONS	EVALUATION AND SUB-EVALUATION	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
EQ1: Relevance and appropriateness of the ESPDG and of other types of GPE support to sector planning					
EQ 1.1 How well does ESPDG's purpose of "support[ing] effective and inclusive dialogue during [sector planning]" ⁶² , via "a common vision and roadmap to guide the (...) process" match with the planning needs and priorities of DCPs?		Can be fully addressed (combination of desk study and country consultation).	Document review Stakeholder consultations	Evidence of GPE ESPDG addressing gaps/needs or priorities identified by the DCP government related to inclusive sector planning and the achievement of a common sector vision and roadmap Stakeholder views (FCAC/non FCAC) on the alignment between the ESPDG (purpose and components) and national DCP planning needs and priorities	Current and past sector plans (including from period prior to country receiving first ESPDG if available) GPE ESP/TEP quality assurance documents Appraisal reports Country-level national development plans/strategies Interviews with Secretariat staff, ESP reviewers (desk study), in-country stakeholders
EQ 1.2 To what extent is the ESPDG mechanism relevant for the partnership itself, considering its intended country support and		Can be addressed (desk study).	Document review Stakeholder consultations	Evidence that countries (FCAC/non FCAC) prior to receiving ESPDGs were struggling with sector planning and were unable to get financial and other support to conduct good planning	GPE 2020 and previous strategic plans; other corporate documents addressing the rationale for creating/revising the ESPDG mechanism; FTI/GPE corporate evaluations

⁶² <http://www.globalpartnership.org/content/roadmap-education-sector-plan-development-grants>, page 6.

MAIN QUESTIONS AND SUB-QUESTIONS	EVALUATION AND SUB-EVALUATION	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
strategies through GPE 2020? ⁶³					identifying country level gaps/needs in sector planning Interviews with Secretariat staff and DCP stakeholders
EQ 1.3 Does the GPE Secretariat employ an appropriate process to review/approve ESPDG applications? ⁶⁴ (a) How have application criteria/processes changed since 2012? (b) What are strengths/weaknesses of the current process?		Can be addressed (combination of desk study and country consultation).	Document review Stakeholder consultations	Types of changes to the ESPDG application and quality review processes since 2012 and underlying rationales Types of changes to the criteria for approving ESPDGs Effects of changes on length, content, and level of detail of applications; required partner and Secretariat level of effort; application processing times Comparison of ESPDG application process used for accessing non-GPE grants of similar size/amounts Stakeholder views on strengths and weaknesses (advantages and disadvantages) of the current ESPDG application process in terms of	ESPDG application templates and guidelines ESPDG applications from sampled countries and Secretariat assessments Documents illustrating application criteria for comparable grant(s) Interviews with Secretariat staff, external ESP reviewers, representative from comparator organization/grant maker (desk study), in-country stakeholders (country consultation)

⁶³ Objective 1: Strengthen education sector planning and policy implementation

Improved education sector plans meeting quality standards, including in countries affected by fragility and conflict

Education sector plans contain strategies on teaching and learning, marginalized groups and efficiency

⁶⁴ This includes the requirements or criteria for ESPDPG applications: (1) Concept Note, (2) Terms of reference, (3) Roadmap, (4) Timeline, (5) Budget, (6) QA, (7) Risk assessment, (8) Any critical areas not included, (9 and 10) Grant management in terms of implementation and technical skills.

MAIN QUESTIONS	EVALUATION AND SUB-QUESTIONS	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
				(i) quality of applications; (ii) extent to which application effort is proportional to ESPDG benefits; (iii) extent to which application criteria ensure equitable opportunities for countries with varying levels of existing capacity	
EQ 1.4	How well do other modalities of GPE support (see below) address the needs of partner countries with regards to sector planning? (a) quality assurance processes for sector planning	Can be addressed (combination of desk study and country consultation).	Document review Stakeholder consultations	Evidence of GPE modalities addressing gaps/needs of DCPs related to sector planning Evidence of GPE modalities adapted to meet the technical, political and cultural requirements of the specific context in DCP countries (FCAC/non FCAC) Evidence of GPE modalities aimed at strengthening sustainable local/national capacities for sector planning or plan implementation Stakeholder views on the alignment between GPE modalities and partner countries in relation to: <ul style="list-style-type: none"> Addressing existing needs/priorities Respecting characteristics of the national context 	GPE ESP/TEP quality assurance documents Other documents on technical assistance/advocacy Secretariat reports, e.g. country lead back to office/mission reports GPE country level evaluation reports (country consultation) Interviews with Secretariat staff, in-country stakeholders (country consultation)
	(b) planning guidelines and technical resources (c) technical assistance such as knowledge events, ⁶⁵ and (d) capacity-building opportunities?	Can be partially addressed through country consultation. Based on initial country-level evaluations, evidence is likely to be limited related to these modalities.			

⁶⁵ The difference between technical assistance and capacity-building will be further defined with input from the GPE secretariat.

MAIN QUESTIONS AND SUB-QUESTIONS	EVALUATION AND SUB-EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
			<ul style="list-style-type: none"> Adding value to country-driven processes (e.g. quality assurance provided by Secretariat) 	
EQ2: To what extent has GPE support led to the development of quality sector plans? Why? Why not?				
<p>EQ 2.1 To what extent has ESPDG contributed to the development / revision of robust, credible sector plans (as per the GPE-IIEP guidelines)? If so, how?⁶⁶</p> <p>Are there better ways to support the development of quality sector planning through a grant mechanism?</p>	<p>Can be partially addressed (combination of desk study and country consultation)</p>	<p>Document review Literature review Stakeholder consultations</p>	<p>Extent to which observations/recommendations deriving from reviews by Secretariat and other actors (if available) and external ESP/TEP appraisal are reflected in final plans or accompanying documents</p> <p>Difference in GPE quality ratings (RF indicator 16) for ESPs in sampled DCPs</p> <p>Difference in GPE quality ratings (RF indicator 16) for ESPs developed under the old/new ESPDG guidelines</p> <p>Extent to which the ESPDG is aligned with and complements the QAR process.</p> <p>Types of strengths/weaknesses of draft ESPs developed under the old/new ESPDG guidelines, in relation to:</p> <ul style="list-style-type: none"> Inclusive dialogue during and national stakeholders' 	<p>GPE RF 16 data</p> <p>Education sector plans/Transitional Education Plans</p> <p>Quality assurance documents/Appraisal reports</p> <p>LEG endorsement</p> <p>Other relevant reports or reviews that comment on the quality of sector plans</p> <p>Country-level evaluations</p> <p>Interviews with Secretariat staff, ESP reviewers (desk study), in-country stakeholders (country consultation)</p> <p>Education sector analyses and targeted thematic studies; financial simulation models</p> <p>ESPDG completion reports</p>

⁶⁶ The evaluation will also provide suggestion for better ways to support the development of quality sector plans.

MAIN QUESTIONS AND SUB-QUESTIONS	EVALUATION AND SUB-EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
			<p>ownership of sector planning processes.</p> <ul style="list-style-type: none"> Quality of education sector analyses (based on GPE guidelines for ESA)⁶⁷ Existence of simulation models and /or targeted studies⁶⁸ Plan addressing key challenges of the education sector in relation to equity, efficiency and learning <p>Realistic financing, implementation and monitoring</p> <p>Stakeholder views on the strengths and weaknesses of the ESPDG (especially in a before/after comparison mode) in relation to:</p> <ul style="list-style-type: none"> Grant management Contribution of grant 'package' to meeting (or not meeting) ESP quality criteria 	<p>ESPIG application</p> <p>Review reports from country-level partners</p>

⁶⁷ The GPE guidelines (<https://www.globalpartnership.org/content/methodological-guidelines-education-sector-analysis-volume-1>) provide a framework. They identify core elements that can be addressed in an ESA, rather than precise criteria or standards. We will set up a protocol that asks questions such as: does the ESA cover all/most core topics suggested in the guidelines such as: context; enrollment, internal efficiency and out of school children; cost and financing; quality, system capacity and management; external efficiency; and Equity? Does the ESA provide information on all or only some education levels (pre-primary, primary etc)?

⁶⁸ Within the scope of this assignment it is not feasible to conduct an in-depth assessment of the quality of presented simulation models as had been indicated in the assignment TOR.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
			Stakeholder views on better/alternative ways to support sector planning.	
<p>EQ 2.2 To what extent have other GPE sector planning modalities contributed to the development of quality sector plans?</p> <p>To what extent are these modalities aligned with and compliment ESPDG?</p> <p>(a) planning guidelines and technical resources</p> <p>(b) technical assistance such as knowledge events</p> <p>(c) capacity-building opportunities?</p>	<p>Can be partially addressed based on initial country-level evaluations, evidence is likely to be limited related to modalities b-d. In addition, it will likely be difficult to clearly distinguish ESPDG-related from other types of support.</p>	<p>Document review</p> <p>Literature review</p> <p>Stakeholder consultations</p>	<p>(a) GPE guidelines/technical resources explicitly referenced in draft/final ESP/TEP and/or related appraisal/endorsement letters</p> <p>(b) and (c) Types of technical assistance and capacity-building opportunities offered by GPE and attended by DCP stakeholders before/during ESP/TEP development</p> <p>(c) Stakeholder views on the relevance, effectiveness and efficiency of other (non ESPDG-related) GPE sector planning modalities</p> <p>Extent to which these modalities (per list above) are aligned with and compliment ESPDG.</p>	<p>GPE ESP/TEP quality assurance documents</p> <p>Documents on technical assistance/advocacy provided by the Secretariat, CA, GA</p> <p>Documents on capacity building opportunities relevant to sector planning offered to in-country stakeholders</p> <p>GPE country level evaluation reports (country consultation)</p> <p>Interviews with Secretariat (desk study) and in-country stakeholders (country consultation)</p>
<p>EQ 2.3 To what extent has the revised QAR process⁶⁹ for education sector plans contributed to improve the quality of sector plans vis-à-vis the quality of the country-level process? Specifically:</p>	<p>Can be addressed (combination of desk study and country consultation)</p>		<p>(a) Evidence of Secretariat quality assurance recommendations having been integrated into final ESP/TEP (not supported by ESPDG)</p> <p>(a) Stakeholder views on the relevance, effectiveness and</p>	<p>Commissioned appraisal reports by development partners</p> <p>Appraisal memo</p> <p>Appraisal report</p> <p>Secretariat appraisal check</p>

⁶⁹ i.e., ESP/TEP initial comments, independent appraisal, appraisal check, fixed part requirements matrix and two-pager, and QAR1

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
<p>(a) In comparison to the previous appraisal process, has the revised appraisal process⁷⁰ contributed to improve the consistency and the quality of the appraisal of ESPs and TEPs? Has the appraisal process contributed to improve the quality of ESPs and TEPs?</p> <p>(b) During QAR, does the application of GPE quality standards for sector plans (which draw on the joint GPE/IIEP guidelines) contribute to plans that are of quality, that are country owned, and tied to policy dialogue?</p> <p>(c) Are there better quality assurance approaches to support sector planning?</p>			<p>efficiency of QAR process (before/after)</p> <p>(a) Extent to which technical advice from the independent appraisal process on efficiency, equity, learning outcomes have led to improvements in the ESP indicators 16(b), 16(c) and 16(d)</p> <p>(a) degree of alignment between appraiser reviews, Secretariat reviews, criteria met, and perceived quality of plans / changes of such over time</p> <p>(b) Extent to which the independent appraisal process has contributed to policy dialogue and ownership, and vice versa</p> <p>(b) Perception of whether the application of quality standards stimulates dialogue and ownership/changes over time</p> <p>(c) Perceived aspects of quality of plans not captured well enough through the application of these standards during the QAR process</p>	<p>Endorsement of the ESP/TEP by sector stakeholders</p> <p>GPE Results Framework indicators 16(a), 16(b), 16(c), and 16 (d)?</p>
<p>EQ 2.4 What is the balance between the level of technical assistance and capacity development</p>	<p>Can be addressed through consultations and partially through analysis of documents and completed</p>	<p>Document review</p> <p>Stakeholder consultations</p>	<p>Stakeholder views on technical assistance and capacity development</p>	<p>Stakeholder consultations</p> <p>GPE ESP/TEP quality assurance documents</p>

⁷⁰ i.e., training of consultants, creation of a roster of consultants, new guidelines, and new secretariat QA process

MAIN QUESTIONS AND SUB-QUESTIONS	EVALUATION AND SUB-EVALUATION	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
provided through the ESPDG?	through the	coding of selected ESPDG budgets (desk study)		Amount (proportion) of ESPDGs that is used for national capacity development versus technical assistance/facilitation.	Documents from coding exercise of ESPDG budgets ESPDG completion documents Other documents on technical assistance/advocacy Country-specific grant applications ESPDG coding database
EQ 2.5 Has GPE support to sector planning, including through ESPDG, led to capacity development/strengthening at national level (e.g., leadership, technical). If so, how?		Can be partially addressed. Available data from country-level evaluations provides limited evidence on the extent to which capacity-strengthening has occurred (country consultation)	Stakeholder consultations Document review	Evidence of GPE ESPDG grant (and related funding requirements) contributing to strengthening sustainable local/national capacities for sector planning or plan implementation.	Country-level evaluations Interviews ESPDG completion reports
EQ3: How well has GPE managed its support to sector planning?					
EQ 3.1 To what extent do ESPDG and other modalities of GPE support to sector planning (per list above) use good-quality management ⁷¹ to ensure that adequate stewardship of resources, successful		Can be addressed (combination of desk study and country consultation)	Document review Stakeholder consultations	Evidence that efficiency measures are being applied in the context of individual ESPDG applications/implementation, based on: Country-level stakeholder perceptions on the rigorosity of	Documents related to GPE's management of the ESPDG portfolio and QAR process (e.g. country level process guide; TOR for coordinating and grant agents) GPE Results Framework data

⁷¹ i.e. (Secretariat, grant agent, coordination agency), relationship building and management, roles and responsibilities assignment, dialogue promotion and guidance / tools, etc.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
<p>partnering and desired results are achieved?</p> <p>How and how well does GPE ensure the efficient use of funds for ESPDGs?</p>			<p>the ESPDG application process in relation to its perceived benefits</p> <p>Level of resources invested by the GPE Secretariat and country-level stakeholders into the ESPDG application process</p> <p>Comparison of the level of resources used for the ESPDG application process with the level of resources used for the ESPIG application process</p> <p>Evidence that the types of measures/tools put in place by GPE to ensure successful partnering in support of sector planning are consistent with good practices from current literature on sector planning</p> <p>Evidence of GPE contributions (through ESPDG and other modalities) to sector planning elicited under evaluation questions above</p> <p>Evidence that the implementation of ESPDG is quality assured</p> <p>Stakeholder views on strengths and weaknesses of current GPE management practices in relation to (i) stewardship of resources; (ii) successful partnering; and (iii) results achievement</p>	<p>GPE ESP/TEP quality assurance documents</p> <p>Secretariat portfolio reports; country lead back to office reports</p> <p>Interviews with Secretariat staff (desk study), with in-country stakeholders (country consultation)</p>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	EVALUABILITY ASSESSMENT	LINES OF ENQUIRY	INDICATORS	MAIN SOURCES OF INFORMATION
<p>EQ 3.2: How and how well does GPE monitor its ESPDG portfolio and other sector support modalities?</p>	<p>Can be addressed (combination of desk study and country consultation)</p>	<p>Document review Stakeholder consultations</p>	<p>Types of data collected by GPE for monitoring (i) its ESPDG portfolio and (ii) other sector planning support modalities</p> <p>Secretariat staff level of effort dedicated to monitoring (i) the ESPDG portfolio; (ii) other sector planning support modalities</p> <p>Stakeholder views on strengths and weaknesses of current GPE monitoring practices in relation to (i) the ESPDG portfolio; (ii) other sector planning support modalities</p>	<p>Documents related to GPE's management of the ESPDG portfolio and QAR process (e.g. country level process guide; TOR for coordinating and grant agents)</p> <p>GPE Results Framework data</p> <p>GPE ESP/TEP quality assurance documents</p> <p>Secretariat portfolio reports; country lead back to office reports</p> <p>Interviews with Secretariat staff (desk study), with in-country stakeholders (country consultation)</p>

Appendix V Evaluation QA Advisors

The following individuals will provide quality assurance during the course of this evaluation.

Dr. Marie-Hélène Adrien is the President of Universalia and a senior consultant specializing in evaluation and management in international development. Over the past 30 years, she has conducted more than 150 assignments with various agencies in Canada and with multilateral agencies, including the UN system, development banks and foundations. Dr. Adrien is the Team Leader for the “Design and Implementation of GPE 2020 Country-level Evaluations 2017-2020.” She also led the 2014/2015 Interim Evaluation of the Global Partnership for Education, and had previously led two evaluations of the Association for the Development of Education in Africa (ADEA). These, as well as other assignments such as the evaluations of education programmes have given her an in depth understanding of current issues in primary and secondary education worldwide, including education financing.

Dr. Adrien has been a teacher herself in secondary and tertiary education settings. With a PhD and a Master in Education from McGill University, she is a Professor of Practice and a Founding Member of the Leadership Council of the McGill Institute for the Study of International Development, as well as a lecturer for the World Bank and Carleton University International Program for Development Evaluation Training (IPDET) program and an active member in INTEVAL (a network of international evaluators conducting research and publications in the field of evaluation).

Dr. Adrien is the Past President (2005-2008) of the International Development Evaluation Association (IDEAS), has served on the Board of the Société québécoise d'évaluation de programme (SQÉP) (1998-2003), and has represented Quebec on the Canadian Evaluation Society (CES).

Dr. Wenderoth is an international consultant with 20 years of experience in conducting social research, and over 15 years of experience conducting evaluations of international development programs and projects. An accredited evaluator by the Canadian Evaluation Society, she has worked as a consultant in the areas of performance measurement and program management, and has led formative and summative evaluations for international agencies such as UNICEF, UN Women, UNFPA, and the World Bank. Her geographic experience spans assignments in Botswana, Ethiopia, Kenya, Malawi, Rwanda, Tanzania, Uganda, and South Africa.

Over the past decade her work has focused on education and capacity development, as well as on gender equality and women's rights. She is one of the lead consultants for the GPE Country Level Evaluation, focused on the summative evaluations. For this study, as well as other assignments, Dr. Wenderoth also acts as a methodological advisor in relation to reconstructing and validating the Theories of Change of the respective organizations.

Between 2001 and 2006 Dr. Wenderoth worked for Educator Development Project (EDP) in Kosovo, Serbia and Montenegro, a CIDA funded initiative addressing both pre-service and in-service teacher training that was implemented by Universalia. During this time she was actively involved in the development and implementation of multi-year capacity development initiatives for teachers and for education administrators at both national and decentralized levels.