



EFFECTIVE PARTNERSHIP ROLL-OUT

Please note: Board papers are deliberative in nature and, in accordance with the GPE Transparency Policy, are not public documents until the Board has considered them at the Board meeting. It is understood that constituencies will circulate Board documents among their members prior to the Board meeting for consultation purposes.

Recommended by: Grants and Performance Committee

Committee Consideration: The Committee recommends that the Board adopt the complementary suite of decisions proposed in this paper to allow timely and optimal EPR implementation.

Board Policy Reference: BOD/2016/12-19, BOD/2017/03-06, BOD/2018/06-09, BOD/2018/08-04, BOD/2018/12-12.

1. Objective

1.1 The purpose of this paper is to present for Board decision improvements to GPE's operating model. This represents a strategic shift for GPE, as the partnership's country-level operations are significantly sharpened in response to clear evidence of what is and is not working. EPR outcomes are meaningful, implementable and will have impact, they will strengthen mutual accountability and government ownership, with the ambition that all the partnership's transactions add value in meeting the strategic goals and objectives of GPE.

2. Recommended decision

The GPC recommends that the Board approve the following decisions:

BOD/2019/06-05-Effective Partnership Roll-Out: The Board of Directors:

1. With regard to mutual accountability:

- a. Approves the revisions to the GPE Charter as set out in Annex B-1 to BOD/2019/06 DOC 05.
 - b. Approves the Accountability Matrix as set out in Annex B-2 to BOD/2019/06 DOC 05.
 - c. Agrees in principle to a diagnostic self-assessment mechanism of the functioning of Local Education Groups that is context specific, simple and highly focused. Agrees this mechanism to be trialed through multiple pilots during the period July 2019-July 2020, overseen by the GPC, with a resulting recommendation to the Board for decision in December 2020.
 - d. Requests the GPC to monitor country-level dialogue and sector focus through the ESPIG application and monitoring process.
 - e. Requests the Secretariat advise on and promulgate good practice on LEG collaboration and mutual accountability across the partnership.
2. With regard to financing of the coordinating agency role:
- a. Requests the GPC to oversee the development and implementation of a series of pilots during the period September 2019-December 2020 to assess the feasibility of GPE financing administrative aspects of the country-level coordination function, with a resulting recommendation to the Board in June 2021
 - b. Such financing will be in addition to a maximum country allocation and, during the pilot phase, will not exceed a ceiling of \$50,000 per annum
3. With regard to joint sector reviews:
- a. Agrees to provide financing for joint sector reviews. Notes that financing for joint sector reviews is currently available from within a maximum country allocation for an education sector program implementation grant (ESPIG). Agrees in principle to consider an additional financing window through the ESPDG. Such a financing window will not exceed a ceiling of US\$50,000 per annum.
 - b. Requests the Secretariat and GPC to review optimal administrative approaches for such financing and, if deemed feasible, recommend to the Board for approval in December 2019 an additional funding window in the ESPDG.
4. With regard to the *Operational Framework for Requirements and Incentives in the GPE Funding Model* (Funding Model):

Agrees that the current funding model requirement for a costed implementation plan covering at least the first two years of the ESPIG may be waived if a functioning annual planning and budget process is in place, preferably with links to a medium-term expenditure framework.

3. Background

3.1 The Board has made a succession of decisions relating to the Effective Partnerships Review and this paper is the culmination of this work as review moves to roll-out. Annex B-3 to BOD/2019/06 DOC 05 sets out the various Board decisions to date and how they have been addressed.

3.2 Following the December 2019 Board meeting in Dublin, the Grants and Performance Committee conducted a detailed and robust review of EPR recommendations and options, after which the Committee made a series of decisions within its authority and identified recommendations for decision by the Board (GPC/2019/05 DOC 02).

3.3 The decisions made by GPC and the recommendations before the Board are organized around three key objectives:

- a. Strengthening Country Level Partnership and Government Ownership
- b. Strengthening the use of GPE funding while reducing transaction costs
- c. Clarifying and strengthening roles, responsibilities, accountabilities, risk ownership and resourcing

Annex A to BOD/2019/06 DOC 05 provides further context and explanation for the specific decisions in front of the Board.

3.4 The set of actions identified under **Strengthening Country Level Partnership and Government Ownership** aim to improve country level mutual accountability relative to GPE's goals and objectives. This is proposed to be achieved through:

- a. The adoption of an **accountability matrix**
- b. **Adaptations to the Charter** that clarify accountabilities associated with key roles
- c. Promulgation of improved or new country-specific **partnership frameworks** (MOUs, TORs, etc.) that establish government's leading role, and provide clarity on collaboration mechanisms, LEG objectives, and expectations of LEG members.
- d. Piloting of a diagnostic **LEG self-assessment tool** to enable LEGs to assess how well they are working against the agreed framework, and to agree on improvement actions.

This in turn can shape future **LEG effectiveness indicators** in the GPE results framework, and hence the overall monitoring of partnership effectiveness

- e. In line with the principle of rebalancing the country level model, **strengthening the focus of the Coordinating Agency role** on harmonized policy dialogue to facilitate GPE's objective of leveraging effective and inclusive policy dialogue, while **piloting financial support** for the aspects of the role that are related to GPE grant specific processes and communications. The pilot would explore such financing to CAs as well as to a role within the ministry (through grant agents), to emphasize government ownership of GPE processes.
- f. Increasing GPE's **focus on ESP implementation**, including through **incentivizing Joint Sector Reviews**. This would be done in two ways:
 - (i) Incentivizing effective ESP implementation and monitoring, including through reporting on ESP implementation and organizing joint sector reviews: Reviewing these mechanisms as a basis for the ESP requirement in cases where a grant is considered in support of an ESP that is still valid into the next grant period;
 - (ii) Considering a financing window for JSRs in the Education Sector Plan Development Grant. This would open the possibility of JSR financing for countries not eligible for an ESPIG, where JSR financing is already available if needed.

3.5. The set of actions under **Strengthening the use of GPE's resources while reducing transactions costs** build on evidence from both EPR and country level evaluations and aim to make GPE's funding mechanisms more fit for purpose relative to contexts. In the EPR process, transactions have been measured in relation to the value they add to achieving GPE goals and objectives. Actions include:

- a. **Adapting the ESP funding model requirement and related standards** in the course of the strategic planning period to facilitate stronger linkage between sector planning and (i) a robust evidence base and (ii) the systemic and practical barriers to implementation. This has the potential to strengthen government ownership and remove transactions around standards and requirements that are not relevant to a context, focusing on growth paths rather than a one-size-fits-all approach.
- b. Related to point 3.5 a., **adapting better to functioning country level mechanisms** while incentivizing these, and leveraging better planning and implementation

mechanisms where these are weak. This means being more attentive to function than form, allowing differentiation as well as learning from good practices around sector planning and budgeting cycles, policy dialogue and other key elements of GPE's operating model. (This is also relevant to the Partnership Framework and LEG self-assessment proposed in 3.4 c. and d., which seek to promote country-owned, functional policy dialogue mechanisms).

- c. **Revising the ESPIG GA selection process** to set the focus, prior to GA selection, on strategic use of GPE resources relative to sector challenges, capacity and the size of the grant, as well as alignment and the use of country systems, and the related GA capacity required to support implementation.
- d. **Streamlining and differentiating quality assurance** to reduce duplication and enhance effective program design processes at country level.

3.6 Delivering on the Board's request to **clarify and strengthen roles, responsibilities, accountabilities, risk ownership and resourcing** has involved the development of a set of documents that frame roles and responsibilities, as well as accountabilities with links to the risk framework. Resourcing of the Grant Agent versus expectations around the role they play to support grant implementation will be addressed through a clarified application requirement that makes this explicit, to allow differentiation relative to context but also clarity on expectations that permit monitoring of delivery relative to clear expectations. The documents are:

- a. **Terms of reference** for the Secretariat role at country level, the Coordinating Agency Role, and Grant Agent for the ESPDG and ESPIG respectively (and separately). Existing TORs have been shortened, sharpened and differentiated. The Secretariat role is broader than the 'country lead', as the Secretariat is strengthening its institutional approach to country support.
- b. **An accountability matrix** (ref. also section 3.4 a.), based on the Charter and including accountabilities of governments, LEG members, CA, GA and Secretariat as well as the Board and its committees. Some of these accountabilities require adaptations to the Charter. The accountability matrix makes specific references to the risk framework.

3.7 These actions will only lead to the desired changes if there is strong communication and partnership-wide engagement around delivery. While the EPR Workplan approved by the Board of Directors in August 2018 included a Communications and partnership engagement

workstream, this has taken on even greater importance as a result of all of the EPR recommendations. Accordingly, the development of a major communication and partnership engagement strategy will be launched immediately following the Board's decisions on the EPR actions. The Secretariat is assigning senior dedicated human resources and significant financing to ensure strong communication and partnership engagement around EPR actions. This resourcing is included in the Secretariat Workplan and Budget for FY20 (BOD/2019/06 DOC 11).

ANNEXES

- A Additional Background
- B1 Amendments to GPE Charter
- B2 Accountability Matrix
- B3 Board EPR Decision Tracker
- B4 Summary of Reductions in Transaction Costs

ANNEX A

EFFECTIVE PARTNERSHIP ROLL-OUT: ADDITIONAL BACKGROUND

1. INTRODUCTION

1.1 The GPE Board launched the Effective Partnerships Review (EPR) workstream in 2017 to identify and address issues related to the GPE operational model that prevent the partnership from functioning optimally to deliver on GPE 2020. Based on a report by Oxford Policy Management (OPM), the Board agreed in June 2018 that specific actions are needed to improve the effectiveness and efficiency of the operational model, including the need to adapt better to country contexts and improve the approach to capacity building of developing country partners.

1.2 In their work to action EPR Board decisions, the Grants and Performance Committee (GPC) and Secretariat have concluded that more significant reforms to the GPE operational model are required. This view is supported by the strong alignment between issues identified through the EPR process and the body of evidence emerging from country-level evaluations and the most recent GPE Results Report:

- GPE has helped improve the quality of sector plans. There has been less success at influencing plan monitoring and implementation.
- Partners do not consistently model the notion of mutual accountability for sector progress.
- Grant agents are, for the most part, implementing the Board-approved ESPIGs effectively.
- That said, GPE's country level grants are frequently a distortion rather than the lever they were meant to be for evidence-based and inclusive policy dialogue, sector planning and implementation.
- National ownership and capacity need to be strengthened for planning and implementation.

- The GPE model does not afford sufficient flexibility or differentiation for contextual variance.

1.3 At its December 2018 meeting in Dublin, the GPE Board adopted four important principles for EPR to drive all recommendations and decisions for improvements to the GPE model:

- Increased decentralized mutual accountability: The Board agreed that the partnership can only be successful with greater country-level mutual accountability, rather than a centralized command and control model. Accountabilities are unclear and weak, and need clarification and strengthening.
- Drive national government ownership and strengthen its capacity: Evidence shows that national government ownership of GPE's country level processes needs strengthening, and that insufficient attention is given to capacity development for effective implementation.
- Rebalance the country-level model: Asymmetry has occurred in two areas of GPE operations that need correction: Firstly, good progress has been made on support to strong sector plans and planning processes but there has been an inadequate focus on plan implementation. Secondly, ensuring robust GPE grant processes has detracted attention from the purpose of the grants. In particular, GPE grants are falling short as a means and support mechanism to promote inclusive policy dialogue around quality nationally-owned education sector plans and their implementation.
- Reduce GPE processes and transaction costs: Board and Committee decisions over previous years, in particular the introduction of a new funding model in 2014 and mechanisms to strengthen the operating model in 2015, have led to complex processes and heavy transaction costs. There is a need to assess transaction costs against their value in delivering on GPE's goals and objectives, ensuring the intent of the Board to deliver better results is achieved but that associated transactions are meaningful and kept to a minimum.

1.4 Accordingly, the GPC and Secretariat, with significant consultation across actors at country-level, have developed a suite of recommendations and decisions to deliver significant improvements in the GPE model. Together, these measures involve a major rebalancing and strengthening of the partnership.

2. BACKGROUND

2.1 Annex B-3 sets out the previous GPE Board decisions on EPR and how they have been addressed over the span of the workstream. For the purposes of this paper, the Board decision from December 2018 is most apposite ([BOD/2018/12-12–Effective Partnership Review](#)).

2.2 The GPC agreed at its meeting in January 2019 to divide the Board-mandated work into four main areas of improvements, organized as workstreams in preparation for the April 2019 GPC meeting:

- a. Strengthening country level partnership and policy dialogue, including the Coordinating Agency role (Workstream 1)
- b. Strengthening support to education sector planning and implementation (Workstream 2)
- c. Streamlining the Education Sector Program Implementation Grant application process (Workstream 3)
- d. Clarifying the roles, responsibilities and accountabilities of the Grant Agent role (Workstream 4)

2.3 In addition, the GPC agreed two cross-cutting themes that would be addressed within each of the four workstreams: the role of the Secretariat at country level and reduction of transaction costs.

2.4 In line with these workstreams, four working groups were established consisting of GPC members, resource persons from across the constituency groups with significant country level experience, and the Secretariat. The working groups conducted a robust review of the actions suggested in the December 2018 EPR Board paper, and proposed options for recommendation to the GPC for consideration at their April 2019 meeting.

2.5 A successful and highly constructive workshop including all but one existing ESPIG grant agents was held on March 19-20, covering mainly workstreams 3 and 4 but also providing inputs to the other two workstreams. Results from the workshop were integrated into the recommendations to the GPC.

2.6 At their face-to-face meeting on April 9-11 the GPC discussed the recommendations from the four working groups in depth and agreed decisions and recommendations, requesting the Secretariat to compile these in a single coherent proposal for actions to take forward. At an audio call on May 22nd, the GPC then approved the proposal, requesting greater clarity on a few elements that were then integrated into the documents going forward to the Board.

2.7 To link the detailed components of the extensive EPR work back to a broader strategic perspective on the overall impact of the changes and adherence to the EPR principles, decisions and recommendations have been separated into:

- Aspects that strengthen country level partnership and government ownership.
- Aspects that strengthen the use of GPE funding while reducing related transaction costs.
- Clarification of and changes to roles and responsibilities of key actors.

2.8 Some decisions on what is now renamed the **Effective Partnership Rollout** (EPR) fall within the delegated mandate of the GPC and some require GPE Board approval. Table 1 below sets out this division and summarizes the decisions taken by the GPC at its April and May 2019 meetings. The full details can be found on the GPE Governance Hub ([eTeam site](#)) in the Grants and Performance Committee meetings section (GPC/2019/05 DOC 02).

Table 1: Summary of GPC and Board EPR Decisions

		GPC	Board decision
Strengthening country-level partnership	Mutual Accountability		Agreement, in principle, to a diagnostic self-assessment mechanism: GPC to pilot
	Financing of the Coordination Role	Agree in principle to financing coordination and admin functions, either CA or Government	Agreement to series of CA financing pilots,
	Joint Sector Reviews	Agreement to incentives for widespread, quality conduct of JSRs	Agreement that a new financing window in the ESPDG may be made available to support JSRs
	New Strategic Plan	Recommends that new GPE strategic plan contain fewer, better-targeted indicators	
Strengthening the use of GPE Grants	Sector planning efficiencies	Review of GPE approach to ESP funding model requirements and associated QA standards Agreement to clarify that new ESP assessments on plans that continue to be valid is not required if there is robust evidence of implementation; new GA selection and program may be replaced by costed extension if LEG determines existing arrangement continues to be valid	Agree to reduce transaction costs by not requiring a 2-year costed implementation plan where an effective annual planning and budgeting cycle exists
	Grant Agent Selection	Agreement to revised GA selection Process to reduce transactions and strengthen focus on alignment and strategic use of funds	
	Streamlining Quality Assurance	Suggests consideration of an Independent Review Panel as part of the 2020 wider governance review Agreement that QA processes for ESPIG applications be streamlined and differentiated according to Grant Agent QA processes	
	Variable Tranche Requirements	Review of effectiveness of variable tranche requirements and propose adaptations for greater effectiveness and impact Agree to remove requirement for narrative reports on PDGs and ESPDG	
	Terms of reference and GPE Charter	Agreement to revised or new TORs for CA, ESPIG GA, ESPDG GA, and Secretariat	Approve revisions to the GPE Charter Approve Accountability Matrix
Roles and responsibilities	Grant Agent Role	Recommends FRC to add reference to GPE Charter in GA FPA	
	Secretariat role	Clarify GA role in ESPIG oversight and link to supervision costs Secretariat to review / revise ESPIG application format	

	Immediate Decision
	Decision to pilot
	Decision for strategic planning and governance review process (2020)

2.9 In terms of transaction cost reductions (Annex B-4), the greatest benefits accrue to country-level actors. Eight improvements derive from clarifications of roles, responsibilities and accountabilities, ten from major process reductions, and nine are related to eliminating duplication of roles or processes. Some transaction cost reductions fall into more than one of the above categories, and the number of actions that lead to transaction costs reductions total 18.

2.10 In reaching these decisions and recommendations, the GPC has stress-tested all 17 of the December EPR recommendations to the Board ([BOD/2018/12 DOC 04 Annex 1](#)). Ten have been adopted, two are recommended for piloting with major revisions, three have been considerably amended/improved, and two were considered not fit for purpose.

2.11 The implementation of the EPR decisions and actions will be led by a member of the Secretariat management and be accompanied by a significant communications and partnership engagement effort as agreed by the Board in June 2018, the funding for which is included in the Secretariat’s FY20 budget submission.

3. STRENGTHENING COUNTRY-LEVEL PARTNERSHIP AND GOVERNMENT OWNERSHIP

Mutual Accountability

3.1 The GPC felt that increasing mutual accountability to drive better results and outcomes is essential, if difficult to achieve. Fundamentally, accountabilities need to be defined at the global level, and an accountability matrix has been derived from the Charter with additional emphasis on identified shortcomings in the operating model through the EPR process. The latter have informed proposed changes in the Charter.

3.2 The Committee considered that mutual accountability at country level could be enhanced through the expansion of formalized agreements to frame sector collaboration (*partnership frameworks*), which sometimes take the form of terms of reference or a memorandum of understanding for the local education group (LEG). The Committee recommended that the Secretariat share good practices on these, noting that this does not require a decision.

3.3 The GPC further proposed to pilot a simple diagnostic self-assessment mechanism for LEGs, designed to improve country-level partnership rather than as a compliance tool. The establishment of such a mechanism, with due attention to minimizing bureaucracy and transaction costs, would primarily serve the purpose of allowing LEGs to reflect on LEG effectiveness and along with guidance, agree on improvements. However, it could also enable improved indicators on LEG effectiveness in the next GPE Results Framework.

3.4 Accordingly, the GPC recommends Board Decision 1 in the cover note. Assuming Board approval, the GPC will agree a concept note and plan for rolling out the pilots at its July 1-3, 2019 Meeting.

Financing of the Coordination Role

3.5 The GPC was of a view that in some contexts, financing could be made available to cover the administrative and transactional elements of the coordinating role and GPE country-level processes. However, the Committee did not believe that the core Coordinating Agency function of promoting sector dialogue should be financed by GPE. The GPC recognized that financing might be for the CA or Government (through grant agents) and that there are a number of possible administrative mechanisms. The GPC considered that pilot activity is the optimal approach to determine the right mechanism, with close attention paid to operational transaction costs. An upper ceiling of \$50,000 per annum during the pilot phase has been proposed, and it is expected that the pilots will help

determine the appropriate limits moving forward. It is not the intent to build dependency on GPE resources.

3.6 Accordingly, the GPC recommends Board Decision 2 in the cover note. Assuming Board approval, the GPC will agree a concept note and plan for rolling out the pilots at its July 1-3, 2019 Meeting.

Improved incentives for ESP implementation and monitoring, including through Joint Sector Reviews

3.4 The GPC felt that significant progress needs to be made in ensuring strengthened attention to ESP implementation monitoring, including widespread conduct of quality annual joint sector reviews (JSRs) assessing sector progress. The roles and responsibilities for the coordinating agency, grant agents and Secretariat have been clarified in Terms of Reference to promote JSRs and support the government in ESP implementation reporting and review of the effectiveness of key sector strategies. Furthermore, to provide greater incentives for high quality JSRs that track sector progress, the GPC made some simple process changes in relation to JSRs. The GPE Board is asked to approve the recommendation of JSR financing window within the Education Sector Plan Development Grant (ESPDG), set out in Decision 3 in the cover note. This financing would be up to a ceiling of \$50,000 per annum in the first instance, provided through grant agents, and could be used to cover the costs of preparation, data gathering, logistical and administrative support and conduct of the JSR including field visits as appropriate. While this ceiling is based on current, if limited, evidence, the GPC may come back to the Board with suggested adjustments based on further assessment.

Improvements in GPE's New Strategic Plan

3.5 The GPC was concerned that the large number of indicators contained in the GPE 2020 Results Framework is placing an unnecessarily heavy reporting burden on country-level actors while not incentivizing desired or relevant outcomes. Furthermore, the current indicators are not an effective means of verification of the GPE 2020 theory of change. The GPC believed this to be an important issue to consider in the upcoming GPE strategic planning process and recommends fewer, better-targeted indicators.

4. STRENGTHENING THE USE OF GPE FUNDING WHILE REDUCING TRANSACTION COSTS

4.1 The GPC has made immediate transaction-reducing decisions including revisions to the *Standard Selection Process for Grant Agents*. Clearer criteria for the selection of grant agents is expected to reduce country level transactions related to development of criteria; while early agreement on the desired profile of the grant agent will make potential options clearer. This revision also strengthens the focus on the strategic use of GPE funding relative to contextual challenges in equity, efficiency and learning outcomes, as well as consideration to optimal delivery modalities to strengthen government capacity and make progress towards greater alignment.

4.2 Based on the result of a quality assurance streamlining pilot carried out in 2018, the GPC also agreed to scale up streamlining of quality assurance of grant applications. For grant agents with five or more grants, the GPC agreed to a process of accreditation to determine areas of quality assurance for which the GPC could fully depend on the grant agent, hence reduce duplication. It was agreed, however, that the role of the Secretariat in quality assurance has proven to add considerable value and that major reductions in the Secretariat's role were not desirable.

4.3 A recommendation on greater differentiation relative to contexts in the Education Sector Plan funding model requirement and related standards will introduce medium and longer-term efficiencies following review and adoption, in parallel with the development of GPE's next strategic plan. Essentially, EPR seeks to avoid imposing external standards and processes in contexts where existing mechanisms are working, and in cases where they are not, to ensure support is relevant, fit for purpose, and builds capacity.

4.4 Furthermore and to complement these GPC decisions, the Committee recommends the Board approve a simple adaptation to the funding model, effective immediately as outlined in Board Decision 4 in the cover note. This will mean that in countries that have functional annual planning and budgeting cycles, that preferably are linked to medium term expenditure frameworks, a two-year implementation plan will not be required. This will remove transaction costs resulting from imposing an external requirement that is out of sync with existing functional planning and budgeting mechanisms.

4.5 Based on lessons learned, the GPC will review potential efficiencies and improvements to the variable tranche requirements in the coming months and will feed its recommendations into the strategic planning process.

4.6 The GPC also agreed to remove narrative reporting requirements for the PDG and ESPDG, given the results of the grants are demonstrated in the ESPIG application and endorsed ESP, respectively. Lessons learned from the implementation of these grants are obtained through evaluations.

5. CLARIFYING AND STRENGTHENING ROLES, RESPONSIBILITIES, ACCOUNTABILITIES, RISK OWNERSHIP AND RESOURCING

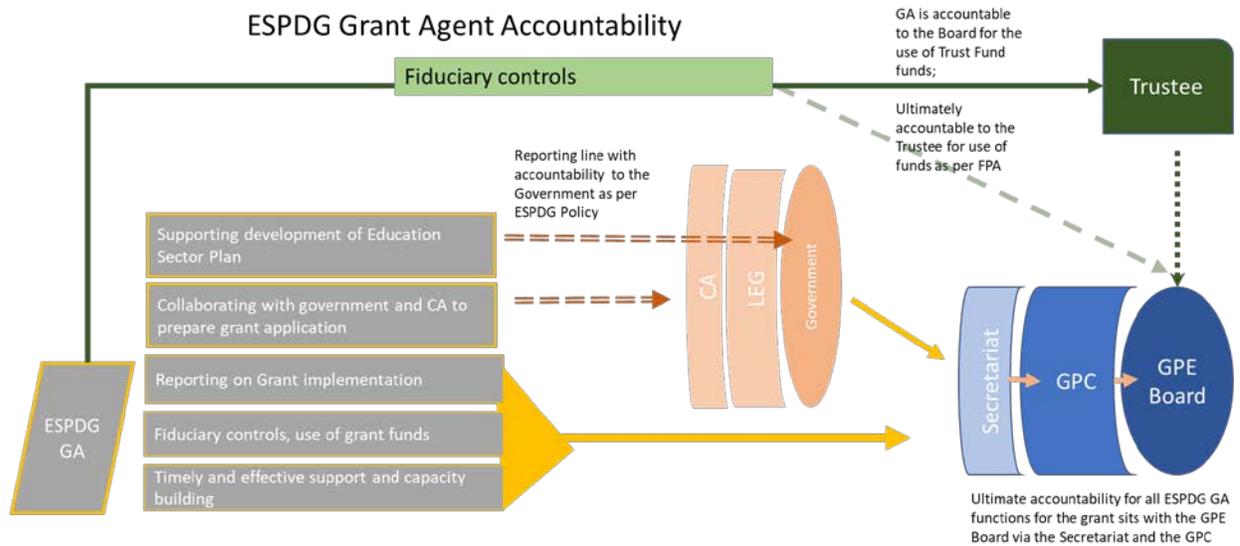
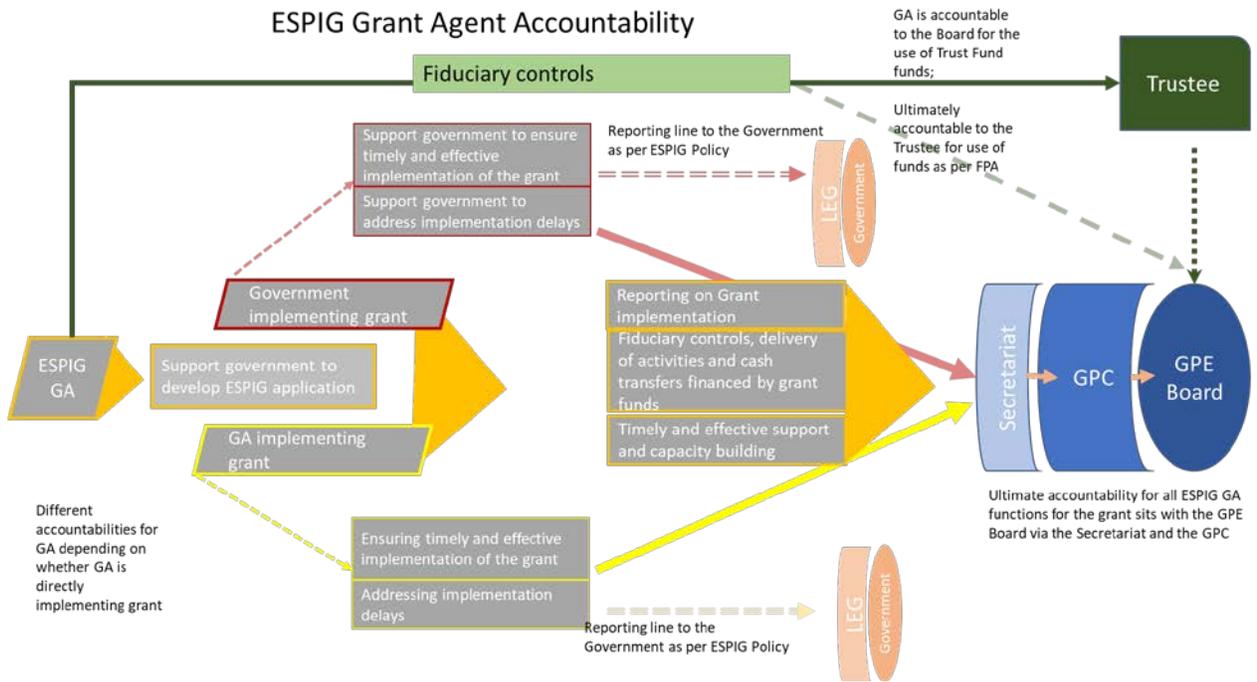
5.1 In response to the Board decision of June 2018 to clarify accountabilities in addition to roles and responsibilities, an accountability matrix has been developed (Annex B-2), also referenced in section 3 above, building on the GPE Charter. The accountability matrix also refers to risk ownership as developed under the oversight of the Finance and Risk Committee.

5.2 Roles, responsibilities, and accountabilities are laid out in revised terms of reference for the grant agents of both the planning grants and implementation grants, for the coordinating agency role and for the Secretariat role at country level, as approved by the GPC in May 2019.

5.3 Some changes or clarifications of roles have been identified in the EPR process which require changes to the Charter (set out in Annex B-1). Changes to the Charter fall under the mandate of the Board, hence the recommended Board Decision 1 in the cover note.

5.2 The Board has expressed particular interest in clarity around the accountability of grant agents for implementation of GPE grants. The diagram attached below shows the flow of accountability through to the GPE Board and the levels of oversight. During the grant agent workshop in March 2019, grant agents agreed that a reference to the grant agent roles set out in the GPE Charter should be included in Financial Procedures Agreements. While the accountability for grants are set out in the legal agreements and follow the line from implementer to grant agent through to the Secretariat, GPC and Board, inserting this reference will make it clear that grant agents are also expected to act according to partnership principles and engage in the broader LEG dialogue on a regular basis. To reinforce this, reporting to the LEG twice a year on how

implementation grant progress relates to the broader implementation of the ESP is required. If the government is the implementer, such reporting should be led by the government and supported by the GA; if the GA is the implementer, the GA takes on full responsibility. The separation of the hard-wired accountability to the Board through legal agreements and expectations of partnership behaviors within the LEG is deliberate and mutually reinforcing. The Secretariat will monitor that this is the case.



6. NEXT STEPS

6.1 The GPC meets in early July 2019 and, assuming Board approvals, will finalise the details of the pilots for diagnostic self-assessments and financing of the coordination function, based on proposals prepared by the Secretariat. The GPC will also agree an implementation and oversight plan for EPR, as well as consider any advice and feedback from the GPE Board.

6.2 Delivering EPR will involve a heavy lift, in particular by ensuring stakeholders across the partnership are aware of their roles, mutual accountability is built, and the partnership as a whole engages collaboratively in efforts to achieve GPE's goals and objectives. As agreed by the Board in August 2018, the Secretariat will develop a communications and partnership engagement strategy for the EPR implementation phase, to be overseen by the GPC. Funding for this work has been included in the Secretariat Budget submission to the June Board, and the process to develop the strategy will be discussed at the July 2019 GPC meeting.

6.3 The GPC will report to the Board on EPR implementation in December 2019 and June 2020. After that it is expected that the improvements will be embedded in practice and aspects of the new strategic plan and improvements to the funding model.

ANNEX B1

EXCERPT OF GPE CHARTER ON ROLES AND RESPONSIBILITIES – PROPOSED REVISIONS TRACKED IN REDLINE

II COUNTRY-LEVEL GOVERNANCE

3.1 Local Education Group

3.1.1 The local education group (LEG) lies at the heart of GPE and is founded on the principle of collective support for a single country-led process toward the development, endorsement¹ and implementation of an ESP. GPE's intent is to strengthen country-owned coordinating structures and decision-making processes for effective and inclusive policy dialogue. The LEG is therefore a collaborative forum for education sector policy dialogue under government leadership, where the primary consultation on education sector development takes place between a government and its partners.

Composition

3.1.2 Generally composed of the government, development partners and other stakeholders, the specific composition, title and working arrangements of the LEG will vary from country to country according to country-level circumstances and need.

Roles

3.1.3 Through planning, monitoring, and review mechanisms and procedures that are both transparent and inclusive, the LEG as a body is first and foremost accountable to the citizens of the country it serves, promoting sector progress and transparent reporting of sector results, including on learning outcomes. The LEG is not a decision-making body, but LEG members contribute to evidence-based education sector dialogue and keep one another fully apprised of progress and challenges in the sector. The LEG as a group has the following roles in relation to GPE-related processes:

- a) Adopts and makes publicly available a clear **partnership framework, or** terms of reference.
- b) Reviews and discusses sector diagnostics and analysis.
- c) Serves as a consultative forum for the government's development of an education sector plan (ESP) or transitional education sector plan (TEP).
- d) Discusses the results of the independent appraisal of the draft ESP or TEP and, on this basis, serves as an advisory forum for the government on adjustments for the finalization of the ESP or

¹ The term "endorse" or "endorsement" in all GPE documentation means to offer public support. It does not imply formal approval or decision-making

TEP.

- e) Serves as a forum for the organization of ESP or TEP endorsement by partners.
- f) Engages in processes to apply for GPE funding, including the selection of a grant agent.
- g) Contributes to the organization of a government-led joint sector review or equivalent mechanisms to jointly monitor the implementation of the ESP or TEP.
- h) Contributes to compilation of reports to the Board through the Secretariat on education sector progress and challenges, and on education sector financing from all sources, domestic and external.
- i) Receives updates and reports from grant agents on GPE funding.
- j) Applies GPE's conflict resolution procedures to resolve disagreements related to GPE-related processes.

3.1.3 LEG members' roles and responsibilities and their relationships in the GPE process are further outlined below.

3.2 Governments of Developing Country Partners

3.2.1 Governments of developing country partners subscribe to the GPE Compact, act in accordance with the principles of this charter, and commit to achieving the SDG4 and GPE goals and objectives. They do this through the elaboration of an evidence-based education sector plan of good quality that is embedded in the country's national development strategy.

Roles and Responsibilities

3.2.2 The government is responsible for the development, implementation, monitoring and evaluation of ESPs that promote equitable access to quality education for all. The government is primarily accountable to its parliament and citizens, sharing the results of this accountability with the other members of the LEG and with the GPE through the Secretariat.

3.2.3 The government **is accountable for:**

- a) Develops **and implements** an evidence-based ESP that is based on broad consultation **and policy dialogue**, is credible and of good quality, and is focused on equity, efficiency and learning.
- b) Ensures effective implementation of the ESP by creating, leading and utilizing effective and inclusive mechanisms for policy, strategy and activity development, implementation and monitoring based on reliable and disaggregated education sector data.

- c) Prioritizes sufficient and equitable domestic financing for education and ensures transparent reporting of budgets and expenditures.
- d) Strengthens education management and information systems and prioritizes the compilation, use and sharing of reliable and disaggregated education sector data, including on equity, efficiency and learning outcomes.
- e) Leads effective and inclusive mechanisms for policy dialogue that allow meaningful participation by stakeholders, including representatives from line ministries, civil society, teachers, private sector partners as relevant, and development partners.
- f) Engages with the Secretariat and, where appropriate, develops proposals for activities for financing by GPE in consultation within the LEG; ensures that GPE resources are managed in accordance with GPE policies and grant agent policies and procedures.
- g) **Makes every effort to provide the necessary conditions to enable optimal implementation of GPE-funded programs.**

3.3 Development Partners

Definition

3.3.1 Development partners comprise local representatives from bilateral and multilateral development partners and other donors (including private philanthropic foundations).

Roles and Responsibilities

3.3.2 Development partners are **accountable** for:

- a) Support the government's efforts to achieve SDG4 and GPE goals and objectives.
- b) Through inclusive, government-led policy and monitoring dialogue mechanisms, provide meaningful and effective support to sector analysis and to the development, implementation and monitoring of the ESP, bringing technical expertise, voice, innovation and experience to address the complex challenges of delivering education.
- c) Facilitate the independent appraisal of the developing country partner's ESP and participate in the discussion of appraisal results, actively working to help ensure the sector plan is evidence-based, of good quality, and focused on equity, efficiency and learning outcomes.
- d) Based on the results of the ESP appraisal, endorse such plan and, in doing so, confirm that the plan is of good quality and responds appropriately to needs and challenges of the education sector in the given context.
- e) Assist the government in mobilizing financing on a long-term and predictable basis to

- complement domestic financing.
- f) Monitor and promote progress toward better harmonization and alignment of all financial and technical support to the education sector.
 - g) Align philanthropy and program work with the needs and priorities of the ESP.
 - h) Inform the government about annual funding commitments and actual disbursements as well as indicative rolling expenditure/implementation plans.
 - i) Promote transparency and proactively share evidence and lessons learned within GPE.
 - j) Engage in a transparent process of the selection of the grant agent for education sector plan development grants (ESPDG) and education sector program implementation grants (ESPIG) that includes discussion of alignment and scoping of the grant program; and, if eligible, able and meeting agreed criteria, explore possibilities to take on this role.
 - k) Take an active role in supporting, as appropriate, the government's proposals for activities for financing by GPE, and provide continued support during the implementation of those activities.
 - l) Act in accordance with the principles of this charter and adhere to the GPE conflict resolution procedures.
 - m) Ensure coordination and information-sharing on GPE-related processes with their headquarters.

3.4 Civil Society

Definition

3.4.1 Civil society comprises nongovernmental organizations (including international and local CSOs, and representatives of the teaching profession).

Roles and Responsibilities

3.4.2 Civil society partners are accountable for:

- a) Through inclusive, government-led policy and monitoring dialogue mechanisms, provide meaningful and effective support to sector analysis and to the development, implementation and monitoring of the ESP.
- b) Participate in discussion of the results of the independent appraisal of the developing country partner's ESP, actively working to help ensure it is evidence-based, of good quality, and focused on equity, efficiency and learning outcomes.
- c) Based on the results of the ESP appraisal, endorse it and, in doing so, confirm that such plan is of

good quality and responds appropriately to needs and challenges of the education sector in the given context.

- d) Promote transparency and proactively share evidence and lessons learned within GPE.
- e) Engage in a transparent process of the selection of the grant agent for education sector plan development grants (ESPDG) and education sector program implementation grants (ESPIG) that includes discussion of alignment and scoping of the grant program; and, if eligible, able and meeting agreed criteria, explore possibilities to take on this role.
- f) Take an active role in supporting, as appropriate, the government's proposals for activities financed by GPE, and provide continued support during the implementation of those activities.
- g) Act in accordance with the principles of this charter and adhere to the conflict resolution procedures.
- h) Support progress towards the SDG4 and GPE goals and objectives through advocacy and dialogue on appropriate education policy and implementation, with adequate financing as well as oversight and accountability mechanisms.
- i) Ensure that broad and representative voices are brought into the discussions regarding development, implementation and monitoring of the ESP.
- j) Engage in policy dialogue with a view to strengthen domestic policy and accountability gaps.

3.3 Private Sector Partners

Definition

3.5.1 Private sector partners comprise national businesses or country offices of international corporations where the predominant part of their strategy focuses on for-profit activities, as well as private sector associations and networks.

Roles and Responsibilities

3.5.2 Private sector partners are accountable for:

- a) Adhere to the *Global Partnership for Education Corporate Engagement Principles* and the conflict of interest policy specific to the private sector.
- b) Advise on current and future labor market needs and work with government to solve labor market challenges.
- c) Help country governments understand what capabilities and capacities are available from the private sector to address specific education system challenges.

- d) Align corporate giving with the needs and priorities of the ESP.
- e) Bring technical expertise, voice, innovation, networks and experience to address the complex challenges of delivering education.
- f) Promote transparency, and proactively share evidence and lessons learned within GPE.
- g) Act in accordance with the principles of this charter and adhere to the conflict resolution procedures.
- h) Support the government's efforts to achieve SDG4 and GPE goals and objectives.
- i) As members of the LEG, participate regularly, fully and meaningfully in country-led dialogue mechanisms for planning, implementing, monitoring and evaluating the ESP.

3.6 Coordinating Agency

Definition

3.6.1 The coordinating agency is selected by the LEG and facilitates the work of the LEG. The coordinating agency acts in accordance with operational procedures as determined by the LEG. In cases where no coordinating agency is in place, the LEG designates one.

Roles and Responsibilities

3.6.2 The coordinating agency is accountable for:

- a) Serves as the communication link between the government of the developing country partner, LEG partners and the Secretariat.
- b) Fosters and further develops the relationship between the development partners and the developing country partner government, facilitates harmonized sector coordination and policy dialogue that is collaborative, effective, and inclusive of nongovernmental organizations, and helps mobilize development partners and, to the extent possible, other LEG partners for meetings.
- c) Leads or otherwise coordinates the development partners in their role of supporting and monitoring the development, independent appraisal, endorsement, and implementation and joint monitoring of the ESP.
- d) Reports on progress of ESP implementation, including on funding commitments and disbursements to the developing country partner, the Board and GPE at large through the Secretariat.
- e) Supports and facilitates a transparent process of the selection of the grant agent for education sector plan development grants (ESPDG) and education sector program implementation grants (ESPIG) that includes discussion of alignment and scoping of the grant program.

- f) Supports GPE grant processes, including LEG engagement in ESPDG and ESPIG application processes, and LEG updates on progress with GPE grants.
- g) Facilitates the implementation of the conflict resolution procedures as appropriate/requested.

3.7 Grant Agents

Definition

3.7.1 The grant agent supports (a) the government in the development, implementation and monitoring of the GPE-funded education sector plan and education sector programs, and (b) GPE in the development and implementation of research, capacity development and knowledge-sharing activities at the regional and global levels. In the case of country-level education sector programs, in accordance with the Standard Selection Process for Grant Agents, the government approves the final selection of the grant agent, endorsed by the other LEG members. The Board, in consultation with the trustee, agrees an accreditation framework and approves Grant Agents on the basis of that framework.

Roles and Responsibilities

3.7.2 The grant agent is accountable for:

- a) Develops a program for GPE financing at the country level — in close collaboration with the government, consistent with the ESP, in consultation with the coordinating agency and other LEG members, and in accordance with the grant agent’s policies and procedures and the GPE grant guidelines — and supports the government’s proposal for financing by the GPE.
- b) In the case of ESPs and programs, ensures disbursements from allocations, approved by the Board, from the GPE trust funds for the implementation by the government of such plans and programs.
- c) Provides fiduciary oversight, technical support and capacity building as agreed in the approved program and budget, and corrective action in support of the implementation by the government of the ESPs and grant programs, ensuring effective implementation according to the Board-approved grant application, the grant agent’s policies and procedures, and GPE policies.
- d) Utilizes country procedures and systems where possible and as agreed upon with the LEG and approved by the Board.
- e) As a member of the LEG, participates fully and meaningfully in country-led dialogue mechanisms for planning, implementing, monitoring and evaluating the ESP.
- f) Promotes transparency and proactively shares evidence and lessons learned with the LEG (at least twice a year) and with the Board through the Secretariat.
- g) Reports to the GPE and LEG on outcomes and impact of GPE investments, following agreed-upon standards for monitoring and evaluation.

III GLOBAL-LEVEL GOVERNANCE

a. **The Partnership**

Partnership Meetings

4.2 **Board of Directors**

4.2.1 The Board is the supreme governing body of the Global Partnership for Education. It is responsible for setting strategic direction, strengthening and growing the partnership, financial oversight, establishing policies, acquitting fiduciary duties, evaluating performance, managing and mitigating risks and delivering constant improvement.

Roles and Responsibilities

1. The Board has the following roles and responsibilities:

a) **Strategy and Policy**

- Setting the vision, mission, goals and objectives of the Global Partnership for Education's strategy
- Approving GPE strategic plans and policies.
- Driving and monitoring the performance of the partnership to deliver on GPE strategic plans adopted by the Board from time to time, including goals and objectives at the country and global levels.

b) **Grants and Performance**

- Approving **all grants unless delegated to the Secretariat or a Committee** and providing strategic oversight of all grants. Tracking progress of the programmatic and financial performance of grants to ensure that resources are being used in line with GPE's strategic plans, including the goals, objectives and policies in order to deliver on such strategic plans.

c) **Governance and Financial Oversight and Risk Management**

- Ensuring that the Global Partnership for Education is structured, governed and functioning effectively and ethically in order to deliver on its mission.
- Overseeing the financial management of all GPE resources to ensure they are being managed efficiently and effectively, and consistent with GPE's mission, goals, objectives and policies.
- Monitoring and assessing the overall effectiveness and risks associated with GPE's work and implementing risk mitigation measures.

d) Global Leader, Advocate and Convener for Education

- Advocating for the Global Partnership for Education and for the delivery of quality education to all children in developing countries.
- Mobilizing resources for GPE and advocating for increases to domestic and external funding for education in developing countries.
- Ensuring that GPE is shaping and responding to the global debate on education.
- Exercising other powers as required to carry out the purposes of the Global Partnership for Education.

4.3 The Secretariat

Roles and Responsibilities

4.3.1 The Secretariat, led by the Chief Executive Officer, has the following roles and responsibilities and is accountable for:

- a) Providing support to the partnership, the chair, the Board, Board committees, working groups and task teams to help them fulfill their roles and responsibilities, including through the support to the developing country partners constituencies, and maintain progress toward the strategic objectives of the Global Partnership for Education and the Sustainable Development Goal 4, in particular by:
 - i. Providing advocacy for global education.
 - ii. Providing guidance and information on GPE's mission, vision, goals, objectives, funding mechanisms and related processes
 - iii. Providing oversight of the efficient and effective expenditure of GPE resources with appropriate safeguards and accountability and reporting thereon, following up with grant agents on any misuse of funds to ensure appropriate action and reporting thereon to the Board.
 - iv. Providing monitoring of the results at the country and global levels, in line with GPE strategies, objectives and policies.
 - v. Providing quality assurance review of grant applications and ensuring that partners understand the applicable standards.
 - vi. Approving ESPDGs and program development grants (PDGs) and revisions thereof, and approving non-minor revisions to ESPIGs
 - vii. Providing oversight of the implementation of the risk management policy and

- operational risk framework.
- viii. Monitoring and evaluating GPE-funded grants, **including grant agent adherence to the minimum standards for grant agents, the financial procedures agreement, and the approved grant applications, and engaging with the grant agent when implementation is delayed to ensure appropriate action is taken. Reporting on grant performance to the Grants and Performance Committee on a regular basis.**
- b) Leading fundraising efforts for the GPE Fund and supporting increases to domestic and external funding for education.
- c) Working with all partners to promote effective communication of education data and results reporting at the global level and to the media.
- d) Providing support to the LEG and coordinating agencies to strengthen the in-country process, in particular in the following ways:
- i. Taking the lead in collecting information on the country processes leading to ESP endorsement and sharing this with other GPE partners.
 - ii. Participating in and providing quality support **that is needs-based as agreed in-country** to the planning process and monitoring results through joint sector reviews.
 - iii. Promoting and supporting LEG processes that include all categories of GPE partners.
- e) Promoting and supporting effective exchange of knowledge and good practice across the partnership.
- f) Collecting, monitoring and sharing among partners global and country-level information on education financing **and sector progress.**
- g) Providing support to the Board and its committees in:
- i. Helping coordinate the efforts of GPE to address issues and priorities related to policy, data, capacity and finance.
 - ii. Facilitating the sharing of lessons learned and data collected from developing country partners within GPE.
 - iii. Exercising other tasks as required to carry out the purposes of the Global Partnership for Education as determined by the Board.

ANNEX B2 | Accountability Matrix

Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
Government	<p><u>Based on expressed commitment to GPE Charter, accountable for:</u></p> <ul style="list-style-type: none"> Developing, implementing and monitoring a sound and sustainable education sector plan through broad based consultation and policy dialogue, focused on equity, efficiency and learning Providing an inclusive platform for policy dialogue (known in GPE terms as a Local Education Group, or LEG) Providing sufficient, equitable domestic financial resources for education Strengthening education management and information systems and prioritizing the compilation, use and sharing of reliable and disaggregated education sector data, including on equity, efficiency and learning outcomes. 	<ul style="list-style-type: none"> Primarily accountable to its citizens As part of the GPE and signatory to the GPE Charter, also accountable to the GPE and members of LEG Citizens; GPE Board and LEG members as per Charter Citizens; GPE Board and LEG members as per Charter and funding model commitments Citizens; GPE Board and LEG members as per Charter 	<p style="color: red;">Government is co-owner of a) Risk to context appropriate ESPs b) Risk to sector dialogue and monitoring and c) Risk to ESP financing</p>	<p><u>Based on GPE Charter, and Policy on ESPIGs and approved grants:</u></p> <ul style="list-style-type: none"> Where the government is the grant implementer, accountable for ensuring that GPE resources are managed and reported on in accordance with GPE policies and Grant Agent policies and procedures Where implementer, accountable for implementation of grant activities and results in accordance with the program approved by the Board and the agreement with the Grant Agent. If the Grant Agent implements directly, the government is not accountable for the use of the funds but is accountable for doing its utmost to provide the necessary conditions to enable the grant agent to implement 	<ul style="list-style-type: none"> If implementer, accountable to GPE Board via Grant Agent If not implementer, accountable to the Partnership for enabling effective implementation conditions 	<p style="color: red;">ESPIG Performance risk where government is implementer/risk holder</p>

Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
Development Partners (including civil society) as GPE partners and members of Local Education Group	<p><u>In line with GPE Charter, accountable for:</u></p> <ul style="list-style-type: none"> Supporting government’s efforts to achieve SDG4 and GPE Goals and Objectives Providing meaningful and effective support to sector analysis and to the development, implementation and harmonized monitoring of government-owned education sector plans Assisting and/or advocating with the government in mobilizing financing on a long-term and predictable basis; including through endorsement of the ESP¹ and aligning development partner education support to the ESP Monitoring and promoting progress toward harmonization and alignment of all financial and technical support to the education sector 	<ul style="list-style-type: none"> Accountable to the populations whose interests the Partnership serves As members of the GPE, accountable to the GPE Board and mutually accountable to the Partnership Context based specific accountabilities may be formalized in a Partnership Framework 	<p>Co-owner for a) Risk to context appropriate sector plans; b) Risk to ESP financing</p>	<p><u>In line with GPE grant policies and guidance:</u></p> <ul style="list-style-type: none"> LEG members are accountable for adhering to and supporting GPE processes and principles in GA selection, definition of scope of grant programs, grant application processes and endorsement² of grant applications, and harmonized monitoring of progress on GPE financed programs within the broader sector monitoring 	<ul style="list-style-type: none"> Government/each other/broader Partnership as GPE members 	

¹ The term “endorse” or “endorsement” in all GPE documentation means to offer public support. It does not imply formal approval or decision-making. Endorsement of the ESP signifies expression of support for its adoption and intent to align technical and financial support to it.

² Endorsement of grant application means expression of support for forwarding the proposed program to GPE Board for approval, signifying verification that the program is appropriate to the context and has been developed according to agreed process.

<p>Coordinating agency (CA)</p>	<p><u>In line with the GPE Charter:</u></p> <ul style="list-style-type: none"> • Support to government for harmonized policy dialogue • Facilitating inclusive sector coordination and effective LEG collaboration • Leading/coordinating development partners in the development, independent appraisal, endorsement, implementation and joint monitoring of government-owned, evidence-based sector plans • Facilitating communication between government and development partners, and between development partners and the Secretariat • Facilitating conflict resolution 	<ul style="list-style-type: none"> • Government, LEG members 	<p>Co-owner of risk for the following: (i) Risk to context appropriate sector plans, (ii) Risk to sector dialogue and monitoring</p>	<p><u>In line with GPE grant policies and guidelines:</u></p> <ul style="list-style-type: none"> • Supporting a transparent ESPDG GA selection process • Supporting a transparent ESPIG GA selection process that includes discussion of alignment/appropriate implementation modality and scoping of grant program • Supporting LEG consultation in grant application processes (ESPDG and ESPIG) • Facilitating LEG updates on progress with GPE grants 	<ul style="list-style-type: none"> • Government, LEG members, GPE Board 	
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Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
ESPDG Grant Agent (GA)	<p><u>In line with the GPE Charter and ESPDG Guidelines:</u></p> <ul style="list-style-type: none"> Actively contributing to government ownership and effective, harmonized dialogue around ESP process through the LEG, in coordination with the CA Other accountabilities as development partners (see above) 	<ul style="list-style-type: none"> Government, LEG 	<p style="color: red;">Co-owner of Risk to context appropriate ESps</p>	<p><u>In line with the Financial Procedures Agreement and ESPDG Guidelines:</u></p> <ul style="list-style-type: none"> Collaborating closely with government and CA to prepare the grant application and agree the planning timeline Timely implementation of grant activities, including procurement of or provision of technical assistance and capacity building as per the approved ESPDG application and associated timeline Fiduciary controls/proper use of ESPDG funding, and reporting thereof 	<ul style="list-style-type: none"> Government, LEG Government, LEG and GPE Board via Secretariat 	<p style="color: red;">Risk ownership where GA is implementer; Risk owner of the Risk of Fraud and Misuse</p>

Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
ESPIG Grant Agent	<p><u>In line with the GPE Charter:</u></p> <ul style="list-style-type: none"> Actively contributing to effective, harmonized sector dialogue through the LEG Linking grant to broader ESP and engaging in related policy dialogue and sector reviews on a regular basis Other accountabilities as development partner (see above) 	<ul style="list-style-type: none"> Government and other country level actors 		<p><u>In line with the Financial Procedures Agreement, ESPIG Guidelines and ESPIG Policy:</u></p> <ul style="list-style-type: none"> Supporting government to develop ESPIG application in accordance with agreed scope, in consultation with LEG as per agreed process Fiduciary controls/proper use of ESPIG funds Regular reporting on grant implementation as per agreed reporting mechanisms to LEG and Secretariat Where government is implementer, timely support to implementation of grant activities, including procurement of or provision of technical assistance and capacity building as per the approved ESPIG application; support to ensure implementation delays are addressed in a timely manner Where implementer, ensuring timely and effective implementation of activities and addressing implementation delays in a timely manner 	<ul style="list-style-type: none"> Government, LEG GPE Board via Secretariat; government 	<p>Risk owner for (i) ESPIG design risk, (ii) Risk of doing harm; (iii) Risk of fraud and misuse, and (iv) Grant management compliance risk. The risk owner of ESPIG Performance risk in cases where they are the implementer. They should possibly also be a co-owner of risk even when government is implementing</p>

Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
Secretariat	<p><u>In line with GPE Charter:</u></p> <p>Support to strengthen in-country processes in coordination with CA through:</p> <ul style="list-style-type: none"> • Providing guidance and information on GPE’s mission, vision, goals, objectives and related processes • Promoting effective policy dialogue • Collecting and disseminating information on sector progress, in particular information for GPE results framework • Quality, needs-based (as agreed for each context) support to sector planning and organization of JSRs and monitoring results through JSRs 	<ul style="list-style-type: none"> • Government, LEG, GPE Board 		<p><u>In line with GPE Charter, grant guidelines, and ESPIG Policy:</u></p> <ul style="list-style-type: none"> • Guiding, quality assuring and overseeing GPE grant application processes, ensuring that partners understand different funding mechanisms and processes and related requirements and standards • Approving ESPDG and PDG as delegated by the Board • Monitoring that GA is fulfilling its role as per GA minimum standards, Financial Procedures Agreements and approved program application, including support to implementation as defined and financed in the approved program • Monitoring and evaluating GPE-funded grants, engaging with GA on performance issues including delays to ensure appropriate action is taken, and reporting regularly to GPC on grant delays and performance issues • Reviewing and approving non-minor ESPIG revisions • Reporting to Board on misuse and following up with GA to ensure appropriate action 	<ul style="list-style-type: none"> • Government, GPE Board via GPC 	Risk owner for Access to funding risk
GPC	<ul style="list-style-type: none"> • Oversight of partnership progress, including endorsed ESPs and government 	<ul style="list-style-type: none"> • GPE Board 		<p>Reviewing and approving ESPIGs/Multiplier as delegated by Board</p>	<ul style="list-style-type: none"> • GPE Board 	

Stakeholder	Accountabilities and functions for Partnership			Accountabilities and functions for GPE Grants		
	Accountable for	Accountable to	Risk	Accountable for	Accountable to	Risk
	commitment to education financing.			<ul style="list-style-type: none"> • Oversight of programmatic and financial performance of grants, and reporting to Board on grant performance issues • Reviewing and approving material ESPIG revisions • Oversight of grant results and lessons learned 		
Board	<ul style="list-style-type: none"> • Overall accountability for the partnership • Oversight of progress on GPE Strategic Plan • Mobilizing resources for GPE and advocating for increases to domestic and external funding for education in developing countries. • Ensuring that GPE is shaping and responding to the global debate on education. 	<ul style="list-style-type: none"> • Citizens and constituents 		<ul style="list-style-type: none"> • Approving ESPIG and Multiplier grants • Tracking progress of the programmatic and financial performance of grants to ensure that resources are being used in line with GPE's strategic plans, including the goals, objectives and policies to deliver on such strategic plans. • Providing strategic oversight of all grants. 	<ul style="list-style-type: none"> • Citizens and constituents 	

ANNEX B3: EPR BOARD DECISION MAPPING

Decision		Status as of May 2019	Comments
December 2016	BOD/2016/12-19: “The Board of Directors requests the Secretariat with the support of an external firm to examine the issues and options for ensuring Grant Agents, Coordinating Agencies, and Local Education Groups are operating efficiently and effectively as well as learning from past experience to deliver GPE 2020.	Concluded as of BOD/2018/06	Firm Contract – Dalberg and Oxford Policy Management (OPM) was contracted and OPM presented recommendations to the Board in June 2018
March 2017	BOD/2017/03-06: “Clarifying responsibility and optimizing approaches for capacity building and technical assistance including in fragile and conflict affected states, requesting that this work be incorporated into the work tasked under BOD/2016/12-19 to commission an examination of the efficiency and effectiveness of Grant Agents, Coordinating Agencies, and Local Education Groups to deliver on GPE 2020”	Addressed as part of EPR Review	Work has been addressed in EPR workstreams, with greater focus on the ownership and development of capacity of partner governments, greater clarity on link between grant agent fees ¹ and technical support/capacity building of government, and a recognition that more differentiation based on context is required in GPE’s operating model
June 2018	BOD/2018/06-09–Effective Partnership Review: The Board of Directors:1. Appreciates the report from Oxford Policy Management set out in BOD/2018/06 DOC 07A and agrees that a second phase of this study is not needed.	Concluded	Analysis informed EPR review and identification of proposed actions conducted by Secretariat with support from IOD PARC
	2. Agrees that specific actions are needed to further improve the effectiveness and efficiency of the GPE Operational Model at country level, including in particular the need to adapt better to country context and improve the approach to capacity-building of developing country partners.		Guidance from this Board decision has been incorporated into BOD/2018/12 DOC 04, the April and May 2019 GPC decisions and the June 2019 Board paper. Workstream 3 of EPR Action plan approved by Board in July 2018 anticipated need for further elaboration of capacity building strengthening ² .

¹ This does not include agency fees, which for multilaterals are based on policies that are typically set by the respective governing bodies to recover the appropriate percentage of indirect costs associated with supporting implementation

² Specifically, workstream 3 will include review of resources necessary to implement new accountabilities and roles, and to ensure capacity building to strengthen systems building through GPE’s grants and processes

Decision	Status as of May 2019	Comments
<p>3. Notes the Grants and Performance Committee's (GPC) conclusions on the draft report set out in BOD/2018/06 DOC 07B, including recognition that some of the recommendations are addressed in ongoing workstreams led by the GPC, the Finance and Risk Committee and the Strategy and Impact Committee. Requests the Secretariat to provide for the Board retreat in November 2018 an update on the relevant workstreams which are related to improving efficiency, effectiveness and reducing transaction costs</p>		<p>The GPC determined, as recommendations were developed and assessed, that the improvements to the country-level operating model) and associated reductions in transaction costs) were more far-reaching than initially envisaged. The May 2019 GPC decisions and recommendations for Board approval are far-reaching and strategic. EPR has linked to evidence from evaluations and results reports and deliberations by the SIC. Risk analysis has been considered in finalizing the EPR Accountability Matrix</p>
<p>4. Requests the GPC to develop a costed action plan by end July 2018 with clear actions and a timetable for Board approval, including: A) In order to strengthen mutual accountability, a proposal to review and clarify roles, responsibilities, authorities, accountabilities, resourcing and risks at country level, resulting in revised terms of reference for key actors including Developing Country Partners, Grant Agents, Coordinating Agencies and the Secretariat Country Leads. B) A communication strategy to ensure GPE's goals, objectives, operating model and associated roles, responsibilities and accountabilities are well understood by all partners. C. Actions that need to be taken forward following the institutional arrangements decision in December 2018.</p>		<p>This was done and approved by the Board via non-objection in August 2018. (Risks addressed through operational risk framework – Reviewed by FRC)</p>
<p>5. Requests that the costed action plan clearly reflect how members of the Board, relevant committees, and their constituencies will be responsible for its implementation.</p>		<p>This was included in the Board submission</p>
<p>BOD/2018/08-04–Effective Partnership Review Action Plan: The Board of Directors, in reference to BOD/2018/06-09: 1. Approves the Effective Partnership Review Action Plan proposed by the Grants and Performance Committee and set out in Annex 1 to BOD/2018/07 DOC 01 for implementation by the Secretariat under the oversight of the GPC. 2. Requests options under the Action Plan's Workstream 1 to be presented at its retreat in November 2018 for discussion and to identify potential decisions for its December 2018 meeting.</p>		<p>Workstream 1 was presented in November 2018 by consultants. The Board was not satisfied that enough progress had been made and requested a rapid strengthening of recommendations for the December Board. Under the Action Plan, workstream 2 on communications will start 1st July 2019 based on GPC and Board decisions, with funding included in Secretariat FY20 budget</p>

August 2018

Decision	Status as of May 2019	Comments
		Workstream 3 on further actions based on the GPC decisions and recommendations will be finalized based on Board decisions in June. It will be overseen by the GPC.
November 2018	Board Retreat Resolution: Outline the extent to which accountability, authorities, and risks are clearly assigned in the current model in relation to each of the different GPE grants and elements of the planning and program lifecycle. Reference should be made to core GPE governance documents including the Charter, fund governance document, FPA, and other relevant documentation.	<p>A paper was prepared for the Board with a series of recommendations providing the basis of the more detailed work overseen by the GPC culminating in the concrete decisions and recommendations of the GPC in May 2019.</p> <p>The primary governance document impacted by this work has been the Charter, the amendments to which are included in the June 2019 Board paper. In addition, there is a new Accountability Matrix which is deemed essential to EPR success.</p>
December 2018	<p>BOD/2018/12-12–Effective Partnership Review: The Board of Directors: 1. Notes that, as enshrined in the GPE Charter, the Board has a responsibility for the financial and programmatic performance of GPE investments and relies on the Secretariat to help it carry out its functions, responsibilities and duties;</p> <p>2. Emphasizes the importance of the following principles with the aim of improving the effectiveness and efficiency of GPE’s country-level operations:</p> <ul style="list-style-type: none"> a. A focus on country-level mutual accountability. b. Reinforcing national government ownership and strengthening its capacity. c. A rebalancing of the GPE country-level model to ensure GPE grants and processes support the development and effective implementation of high-quality, well-financed, government-owned education sector plans. d. Achieving a reduction in GPE country-level processes and transaction costs while maintaining robust mechanisms for ensuring quality and managing risk. 	<p>Addressed as part of EPR stress-testing</p> <p>The role of the Secretariat to oversee grant performance, in particular, was addressed in the Grant Agent workshop and integrated in proposals</p> <p>The principles have shaped all of the EPR work in 2019</p>
Dec	3. Agrees to the following potential improvements to GPE’s country-level operations:	<p>Addressed as part of</p> <p>All of these improvements are included in the GPC decisions of May 2019 and the recommendations</p>

Decision	Status as of May 2019	Comments
<p>a. Strengthening country-level partnership and policy dialogue. b. Strengthening the education sector planning process, in particular to strengthen government leadership and capacity building. c. Streamlining the ESPIG application process. Quality education for all children d. Strengthening transparency and accountability by developing key performance indicators for core country-level GPE actors. e. Ensuring country-tailored mutual accountability arrangements are effectively monitored by the Secretariat with reporting to the Board on the extent to which country-level accountability mechanisms are supporting improved performance and results</p>	EPR 'stress-testing' in January-April	contained in the June 2019 GPC EPR report to the Board (BOD/2019/06 DOC 05)
<p>4. Agrees that the proposals in Annex 1 of BOD 2018/12/DOC 04 should form the basis for further work by the Secretariat and the Grants and Performance Committee, and requests the associated follow-up actions be undertaken, with a view to ensuring implementation of key improvements to GPE's country-level operations are rolled out from July 1, 2019.</p> <p>The Grants and Performance Committee and the Secretariat will work together to identify any ideas that should be added to or removed from Annex 1 of BOD 2018/12/DOC 04.</p>	All of the proposals were reviewed and tested	Please see below the status of all of the proposals that were considered by the Board in December 2018.
<p>5. Requests the Grants and Performance Committee to report to the Board in June 2019 on progress made.</p>		
<p>Status of BOD Recommendations May 2019</p>		
<p>December 2018</p> <p>Recommendation A1: i) Establish a country-level COMPACT which outlines the objectives and key performance indicators (KPI) of the different actors in the partnership and conduct and publish annual 360-degree peer reviews.</p>	Adopted with revisions	Country level compact has been reframed as partnership frameworks which would build on or strengthen existing frameworks or terms of reference for Local Education Groups

Decision	Status as of May 2019	Comments
Recommendation A1: ii) Under multiple recommendations was included proposals to use KPIs for different actors	Adopted for piloting with revisions	KPIs deemed not the preferred approach, but the establishment of pilots for a diagnostic self-assessment of LEGs
Recommendation A2: The Coordinating Agency only facilitates policy dialogue around the sector plan and its implementation.	Adopted	TORs being revised to reflect this, and responsibilities that can be transferred to government or reduced have been identified. Pilots for financing for CA support to GPE processes outside general policy dialogue are in the design phase. Communications arrangements with CA being revised so that the Secretariat communicates directly to the government through the DCP focal point with copy to the CA instead of communicating via the CA
Recommendation A3: GPE in-country administrative processes be reduced and transferred to a function of national government, supported by GPE funding.	Adopted for piloting	Pilots for financing MOE are in the design phase; agreement in GPC that these processes could either be supported by government or CA depending on the context, and both financing options are therefore proposed to be piloted
Recommendation A4: Secretariat to rebalance its country facing resources from current heavy focus on grant approval processes towards strengthening partnership, the key areas of the funding model requirements (sector plan development, domestic financing and data) and joint sector monitoring, supporting country partners and particularly the national governments based on risk and needs.	Adopted	TORs have been developed to emphasize these priority areas for Secretariat's role at country level; operational risk framework helps define needs for country support relative to risk; EPR decision by GPC that grant QA process for grants be streamlined and differentiated to reduce Secretariat's role. However, EPR process resulted in agreement by GPC and grant agents that Secretariat's role in quality assurance of grants is valuable and significant reductions were not advised. KPIs for the Secretariat will be developed as part of strategic planning process
Recommendation A5: Significantly reduce ancillary processes and transaction costs within guidelines and requirements, as well as reducing partnership-wide consultation exercises to aspects that	Adopted	A number of transaction cost reductions have been identified as part of EPR, including i) inclusion of discussion on variable part as part of ESP

Decision	Status as of May 2019	Comments
are directly relevant to the effective and efficient operations at the country level.		development, ii) removing requirement for ESP assessment where an ESP is still valid, iii) waiving multi-year plan requirement in countries with proven annual planning cycles in place; iv) reduced reporting for ESPDG and PDG see annex B4
Recommendation A6: In the development of the next GPE Strategic Plan, the number of common indicators against which grant agents and partners report be reduced significantly from the current 37 for GPE 2020 to reduce transaction costs and improve prioritization.	Adopted for forthcoming strategic planning process	This is recommended to be integrated into 2020 strategic planning process
Recommendation B1: ESPDG Grant Agent to be independent to ESPIG Grant Agent	Revised/Dropped	TOR for ESPDG GA are being revised to clarify ESPDG role. Board and GPC have not agreed to require separate GAs for the two grants, as options are often limited, but terms of reference for both indicate preference for separation.
Recommendation B2: i) Reduce ESPDG Grant Agent reporting	Adopted	This has been included in new ESPDG TORs and will be adapted in ESPDG guidelines.
Recommendation B2: ii) review ESP criteria to ensure fit for purpose.	Adopted	Review of ESP criteria proposed as part of revisions to funding model within strategic planning process.
Recommendation B3: Strengthen joint monitoring and reporting of ESP implementation.	Adopted	TORs and reporting processes are being revised to strengthen and incentivize JSR processes; financing window in ESPDG proposed; incentives for effective monitoring proposed by replacing ESP assessment with assessment of implementation reporting and monitoring mechanisms if ESP still valid at ESPIG proposal
Recommendation C1: With support from the ESPDG Grant Agent and Coordinating Agency, the national government and the Local Education Group will determine the best strategic focus of GPE funds within the overall financing of the plan, including the variable	Revised	The GA Selection process has been revised to include criteria for identifying the most strategic use of funds as well as alignment/optimal implementation modality as a basis for agreeing the desired profile of

December 2018

Decision	Status as of May 2019	Comments
tranche. This will be captured in a “scoping note”, against which the government and LEG will select the best-placed ESPIG Grant Agent.		the GA
Recommendation C2: Establish an Independent Review Panel that will assess, approve or reject the program concept note by the ESPIG Grant Agent.	Dropped/deferred	EPR determined that this is out of scope but should be considered as part of wider governance review
Recommendation C3: Streamline the Quality Assurance Process:.	Adopted	QA processes will be streamlined, and for GAs with multiple grants, differentiated according to GA’s own QA systems
Recommendation D1: Grant Agent Implementation Support Costs (commonly known as Supervision costs) are currently differentiated by both context and grant agent and are outlined in the ESPIG Program Document. To strengthen accountability, the activities the Grant Agent commits to and receives funding for from within the Maximum Country Allocation shall be supported with clear KPIs for transparent reporting to the LEG.	Revised	To adapt to different contexts and needs, grant application form to be revised to more explicitly specify the role of the GA to support implementation, capacity building, technical support and supervision, with clear link to the grant agent fees. Secretariat will monitor that GA provides timely and effective support as specified and financed in approved grant program. GA will support government or report directly to LEG at least twice a year on grant progress.
Recommendation D2: Grant Agent agency fees will no longer be fully available for utilization upon approval but instead will become available for transfer in proportion to the amount of grant funds transferred to the Grant Agent, and will be adjusted to reflect total utilization of the Grant Allocation upon grant closure.	Dropped	Consultation with GAs concluded that this would not be possible for some Grant Agents given institutional rules and regulations. The additional clarity that will be provided on implementation support costs per D1and reporting per D3 make this recommendation less relevant
Recommendation D3: Grant agent to present to LEG semi-annually on strategic issues and matters of interest associated with grant progress and its linkage to the overall delivery of the education sector plan.	Adopted	GAs agreed they are accountable for participating in and reporting on sector issues and linking grant to ESP implementation. Agreed to report to LEG, or support government to do so if the government is the implementer, on policy-related grant implementation issues.

ANNEX B4

	Clarification leading to reduced need for negotiation of roles and processes	Process reduction/ Streamlining	Harmonization and reduced duplication of roles and processes
Definition of roles, responsibilities and accountabilities			
Revised TOR for ESPIG GA	✓		✓
TOR for ESPDG GA (NEW)	✓		✓
Revised TOR for CA	✓		✓
TOR for Secretariat's country-level role (NEW)	✓		✓
Accountability matrix linked to Charter and Risk Framework (NEW, Board approval for impact on charter and TORs)	✓		
Country-level partnership frameworks – these may lead to increased transactions in countries that do not yet have them (many do), but may reduce transactions in the longer term by clarifying roles and responsibilities and focusing the work of the LEG	✓		
Process Adaptations			
ESP development integrates discussion on equity, efficiency and learning with a view to building the basis for the variable part (clarification as per funding model variable part guidelines)		✓	✓
Regular reporting on ESP and JSR as evidence of ESP credibility: no new ESP assessment on previously assessed ESP that is still valid if this evidence is in place (aligned with intent of model but not with practice)		✓	✓
Waive multi-year plan requirement in countries with proven effective annual planning and budgeting cycles and medium-term expenditure framework (to align better to a country's own process) (NEW, needs Board approval)		✓	✓
Evidence of effective ESPIG implementation and GA performance, continued relevance of the program relative to the ESP, government decision and LEG endorsement of this as basis for allowing program extension with a new MCA instead of a full new process including GA		✓	

selection (revision, currently possible but could be further facilitated and actively promoted with due attention to alignment progress)			
Standard criteria for GA selection/adaptations in the process replacing full negotiation of criteria at country level (revision, delegated to GPC)	✓	✓	
Review, adapt and differentiate ESP standards and requirements for adaptations to roll out with the new GPE strategy (for development)			✓
Reduced reporting requirements for ESPDG and PDG (financial reporting only) as ESP and ESPIG application, respectively, are evidence of implementation (NEW, GPC approval). <i>Note that learning from the ESPDG implementation is facilitated through evaluation.</i>		✓	
Improvement in Secretariat internal knowledge and relationship management for better management and streamlining of information requests to countries (ongoing, Secretariat management decision)		✓	
Direct communication by Secretariat to the government through the DCP focal point with copy to the CA for LEG distribution instead of communicating via the CA		✓	
Further clarification of when the LEG is consulted in the grant application process (clarification/standardization, GPC approval)	✓	✓	
Streamlined and differentiated QA processes (NEW, GPC approval)		✓	✓
TOTAL	8 adaptations that will improve clarity for country-level actors	10 process reductions	9 adaptations that will reduce duplication of roles or processes