

# GPE 2020 Country-level Prospective Evaluations

FIRST ANNUAL REPORT: ETHIOPIA (DECEMBER 2018)

Prepared by Paul Atherton and Rachel Outhred





## Disclaimer

The views expressed in this report are those of the evaluators. They do not represent those of the Global Partnership for Education (GPE) or of any of the individuals and organizations referred to in the report.

'Itad' and the tri-color triangles icon are a registered trademark of ITAD Limited.



# Contents

<b>EXECUTIVE SUMMARY .....</b>	<b>9</b>
A) Overview.....	9
B) Purpose and objectives.....	9
C) Intended audience.....	9
D) Methodology .....	9
E) GPE engagement .....	10
F) Key findings.....	10
G) Conclusions, based on lessons learned .....	13
H) Recommendations.....	14
<b>1 INTRODUCTION .....</b>	<b>15</b>
1.1 Background.....	15
1.1.1 Overview of Ethiopia .....	15
1.1.2 GPE in Ethiopia .....	18
1.1.3 Evaluation background.....	20
1.1.4 Methodology and tools .....	21
1.1.5 About this Annual Report.....	22
1.2 Country-specific ToC.....	22
1.2.1 Objective .....	22
1.2.2 Development of country-adapted ToC.....	22
1.2.3 Country-specific ToC.....	23
1.2.4 Assembling the contribution story.....	27
<b>2 ASSESSMENT OF GPE CONTRIBUTIONS TO EDUCATION SECTOR PLANNING AND POLICY IMPLEMENTATION, FINANCING AND SECTOR DIALOGUE/ MONITORING IN ETHIOPIA .....</b>	<b>30</b>
2.1 Situation analysis at Year 1.....	30
2.1.1 Education sector planning .....	30
2.1.2 Mutual accountability through sector dialogue and monitoring.....	32
2.1.3 Education sector financing .....	34
2.1.4 ESP implementation .....	37
2.1.5 Alternative explanations and unintended/unplanned effects.....	48
2.2 Progress toward a stronger education system.....	50

2.2.1 Teachers.....	50
2.2.2 EMIS, Teacher Management Information System, Geographic Information System and School Management Information System.....	52
2.2.3 Learning assessment system .....	53
2.2.4 ESP implementation contribution to change.....	54
2.3 Progress toward stronger learning outcomes and equity.....	54
2.3.1 Assessment of learning outcomes.....	54
2.3.2 Assessment of equity, gender equality and inclusion in education .....	55
2.3.3 Effective and efficient system contribution to learning, access and equity.....	58
2.4 Plausibility of the ToC at Year 1.....	58
2.5 Available evidence at Year 1.....	61
<b>3 EVALUATION FOCUS.....</b>	<b>62</b>
3.1 Focus themes.....	62
3.2 Gaps to fill.....	63
3.3 Risks to address .....	63
3.4 Key steps.....	63
3.5 Workplan .....	64
<b>4 CONCLUSIONS AND RECOMMENDATIONS .....</b>	<b>65</b>
4.1 Conclusions.....	65
4.2 Recommendations.....	66
<b>ANNEXES .....</b>	<b>67</b>
Annex A Country profile .....	67
Annex B Background to the GPE country-level evaluation .....	70
Annex C Ethiopia GPE program details.....	71
Annex D Evaluation tools.....	74
i. GPE results framework .....	75
ii. Evaluation matrix .....	85
iii. GPE 2020 Strategic Plan .....	96
iv. Generic country-level ToC .....	97
Annex E People consulted – Ethiopia mission 2018.....	98
Annex F Additional country data.....	99
Annex G UIS data .....	100
Annex H GPE 2020 results framework data.....	103
Annex I Stakeholder mapping .....	106
Annex J Risks to the evaluation, quality assurance and ethics.....	108
i. Risks to the evaluation .....	108
ii. Quality assurance .....	110
iii. Ethics .....	110

REFERENCES .....	111
------------------	-----

## Figures

Figure 1	Ethiopia ToC of GPE's support and engagement in Ethiopia.....	24
Figure 2	GPE and other donor contribution as a percentage of ESDP V implementation costs.....	36
Figure 3	GPE and other donor contribution as a percentage of General (Basic and Secondary) ESDP V implementation costs .....	36
Figure 4	Share of teachers that are qualified, by region and grade.....	51
Annex Figure 1:	Education expenditure as share of government expenditure .....	99
Annex Figure 2:	Gender parity indices (GEQIP Mid-Term Review, 2016) .....	99
Annex Figure 3:	Pre-primary GER.....	100
Annex Figure 4:	Primary GER.....	100
Annex Figure 5:	Primary repetition rates .....	100
Annex Figure 6:	GER lower-secondary .....	101
Annex Figure 7:	Net primary attendance rate .....	101
Annex Figure 8:	Inequalities in primary completion .....	101
Annex Figure 9:	Inequalities in primary OOSC .....	102
Annex Figure 10:	Inequalities in lower-secondary OOSC.....	102

## Tables

Table 1	Country and education context.....	15
Table 2	Timeline of policy cycles in Ethiopia, 2004–2020.....	17
Table 3	GPE funding to Ethiopia, as of January 2018.....	19
Table 4	Variable tranche strategy for Ethiopia .....	20
Table 5	Assumptions in the ToC.....	26
Table 6	Explanatory mechanisms, critical underlying assumptions, contribution claims and indicators for Ethiopia .....	28
Table 7	ESDP V components, implementation targets and progress against targets, where available.....	38
Table 8	Summary of project performance in key areas .....	43
Table 9	GEQIP II program components, ESDP V components, progress and milestones .....	44
Table 10	Disbursements linked to indicators for Year One .....	48

Table 11	Teacher licensing exam pass rates (2012–2014).....	51
Table 12	Percentage of P2 children at each level of an oral reading assessment in 2014 EGRA .....	57
Table 13	Summary of findings against assumptions at baseline .....	58
Table 14	Assessment of plausibility of Contribution Claims of GPE’s support in Ethiopia .....	60
Table 15	Activities and key dates.....	64
Annex Table 1:	GPE 2016–2020 Results Framework – 1/10 .....	75
Annex Table 2:	Evaluation matrix.....	85
Annex Table 3:	People consulted .....	98
Annex Table 4:	Number of equivalent children .....	103
Annex Table 5:	Gross intake ratio (GIR) in last grade.....	103
Annex Table 6:	Pre-primary GER and primary, lower-secondary OOSC rate .....	103
Annex Table 8:	CSO and teacher representation on LEG .....	103
Annex Table 9:	Grant supports.....	103
Annex Table 10:	GA ratings .....	104
Annex Table 11:	Type of financing .....	104
Annex Table 12:	Country missions addressing domestic financing .....	104
Annex Table 13:	Number of significant issues from audit reviews satisfactorily addressed .....	104
Annex Table 14:	Outcome, service delivery and financing indicators reported (1=Yes, 0=No).....	105
Annex Table 14:	Stakeholder mapping for Ethiopia.....	106
Annex Table 15	Key anticipated risks and limitations, and proposed mitigation mechanisms .....	108
Annex Table 16	Quality assurance mechanisms .....	110

## Boxes

Annex Box 1.	Key evaluation questions.....	70
--------------	-------------------------------	----

# Abbreviations and acronyms

CA	Contribution Analysis
CSEF	Civil Society Education Fund
CSO	Civil Society Organization
DCPs	Developing Country Partners
DFID	UK Department for International Development
DLI	Disbursement Linked Indicators
DP	Development Partner
ECCE	Early Childhood Care and Education
EGMA	Early Grade Mathematics Assessment
EGRA	Early Grade Reading Assessment
EM	Evaluation Matrix
EMIS	Education Management Information System
EPRDF	Ethiopian People's Revolutionary Democratic Front
ESA	Education Sector Analysis
ESDP	Education Sector Development Plan
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grant
ESWG	Education Sector Working Group
ETWG	Education Technical Working Group
FTI	Fast Track Initiative
GA	Grant Agent
GDP	Gross Domestic Product
GEQIP	General Education Quality Improvement Program
GER	Gross Enrolment Rate

<b>GIR</b>	Gross Intake Ratio
<b>GIS</b>	Geographic Information System
<b>GNI</b>	Gross National Income
<b>GoE</b>	Government of Ethiopia
<b>GPE</b>	Global Partnership for Education
<b>GPI</b>	Gender Parity Index
<b>IDA</b>	International Development Assistance
<b>ITRP</b>	Independent Technical Review Panel
<b>JSR</b>	Joint Sector Review
<b>LAS</b>	Learning Assessment System
<b>LEG</b>	Local Education Group
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MDTF</b>	Multi-Donor Trust Fund
<b>MYAP</b>	Multi-Year Action Plan
<b>NLA</b>	National Learning Assessment
<b>ODA</b>	Official Development Assistance
<b>OOSC</b>	Out-Of-School Children
<b>QAR</b>	Quality Assurance Report
<b>QESP</b>	Quality Education Strategic Support Program
<b>SDGs</b>	Sustainable Development Goals
<b>SMIS</b>	School Management Information System
<b>SNNP</b>	Southern Nations, Nationalities and Peoples' Region
<b>SSA</b>	Sub-Saharan Africa
<b>TMIS</b>	Teacher Management Information System
<b>ToC</b>	Theory of Change
<b>TVET</b>	Technical and Vocational Education and Training

# Executive summary

## A) Overview

1. This is the first of three annual reports to be submitted during the three-year prospective evaluation of the Global Partnership for Education (GPE) in Ethiopia – one of eight country prospective evaluations that will be complemented by a total of 22 summative country evaluations, to be carried out between 2018 and 2020. It follows a baseline report on Ethiopia that was submitted in May 2018 and reproduces some of the material that was included in that report. In addition, it also presents the findings of the first prospective evaluation mission to the country, which took place in April 2018, and offers some initial, tentative conclusions on the basis of the limited data collection, monitoring and assessment undertaken to date.

## B) Purpose and objectives

2. The purpose of the prospective evaluations is to assess whether GPE's inputs and influence are orienting education sector planning, implementation and monitoring toward the intermediary outcomes outlined in its theory of change (ToC). The prospective evaluations are forward-looking and explore what happens while it happens. They closely observe initial decisions, document the perspectives of decision-makers, and focus on the activities and involvement of key stakeholders early in the period under review. This is done in order to understand whether progress is being made and whether – and to what extent – GPE is making a contribution to any progress observed.

3. The objective of the prospective evaluations is to assess the relevance, efficiency and effectiveness of GPE's inputs at the country level, as well as the validity of GPE's ToC in light of the GPE Strategic Plan 2016–2020. The prospective evaluations seek to establish if and how GPE inputs and activities contribute to outcomes and potential impact at country level. They are designed to assess GPE's progress on its goals and objectives.

## C) Intended audience

4. The primary intended users of the country-level evaluations are members of GPE. Secondary users are the Secretariat – in particular, but not limited to, senior management and members of the Country Support Team. Tertiary intended users include the wider education community at global and country levels.

## D) Methodology

5. The methodology for the prospective evaluations is a theory-based contribution analysis approach, and the guiding framework is provided in an evaluation matrix and a country-level ToC, which have been developed according to GPE's existing overall ToC. The evaluation methodology envisages a seven-stage process. The first four stages focus on establishing a solid baseline for each country and the subsequent three stages constitute iterative annual country-level reporting.

6. Data have been collected through desk review of available documentation and datasets, supplemented by interviews conducted with key informants during the first country mission.

## E) GPE engagement

7. Ethiopia has been a GPE partner since 2004 and to date over US\$280 million has been disbursed in grants to the country, including Program Implementation Grants (ESPIGs), a Sector Plan Development Grant (ESPDG) and a Program Development Grant (PDG). In addition, civil society in Ethiopia has received financial support from GPE for support to the education sector through the Civil Society Education Fund (CSEF). Together with Cote d'Ivoire, Togo and Zambia, Ethiopia is also included in a Global and Regional Activities (GRA) funded project on school-related gender-based violence.

8. Since the advent of GPE (formerly the Fast Track Initiative (FTI)), the support has been aligned to the General Education Quality Improvement Program (GEQIP) and managed through the World Bank Multi-Donor Trust Fund (MDTF). This means that GPE provides on-budget support through a managing agent.

9. GPE's engagement over the evaluation period is complex, as it encompasses three ESPIGs, the agreement of the variable part, and the development of the next GPE grant (in terms of both the fixed and variable parts). GPE adopted a new funding model for its 2015–2018 funding cycle to improve the delivery of quality basic education to children in the poorest countries of the world. As part of this model, GPE uses a 70:30<sup>1</sup> funding formula. Developing Country Partners (DCPs) are expected to fulfill specific criteria to receive the first 70 percent of their financing allocation. Receiving the remaining 30 percent variable tranche is conditional on the country demonstrating performance results in the focus areas of Equity (in the case of Ethiopia currently two indicators), Efficiency (one indicator) and Learning (two indicators).

## F) Key findings

10. **Planning.** ESDP V is the latest planning and strategy document for the education sector. It forms the basis for activities within the education sector, through the accompanying Multi-Year Action Plan (MYAP). The ESDP V is strong. It is evidence based, includes a focus on learning outcomes and equity, and is aligned to the needs of the country. The goals of ESDP IV include (1) to improve access to quality primary education and (2) to sustain equitable access to quality secondary school. These goals remain in plan for ESDP V.

11. The priorities of the education and training system, as laid out in ESDP V, are to:

- Provide equal opportunities and participation for all, with special attention to disadvantaged groups;
- Deliver quality education that meets the diverse learning needs of all children, youth and adults;
- Develop competent citizens who contribute to social, economic, political and cultural development through the creation and transfer of knowledge and technology;
- Promote effective leadership, management and governance at all levels in order to achieve educational goals by mobilizing and using resources efficiently; and
- Assist children, youth and adults to share common values and experiences and to embrace diversity.

<sup>1</sup> GPE (June 2015) "Factsheet: The GPE Funding Model: A Results-Based Approach for the Education Sector" (Washington, DC: Global Partnership for Education).

12. ESDP V met five of the seven GPE quality standards. The plan did not meet the criterion 'achievable' based on the estimation of the size of the financing gap and did not meet the 'sensitive to context and identifying risks' criterion. The plan met the overall criterion of 'Attention to disparities' but did not meet the sub-criterion that attention to disparities should include geographic disparities.
13. There was consistent leadership from government throughout the planning process and a national team developed and wrote the plan and modeled the associated financing scenarios. Regional Education Bureaus (REBs) and the Education Technical Working Group (ETWG) were engaged throughout the plan development process. Government ownership of the plan is strong, which is important due to the pooled funding mechanism utilized.
14. GPE has supported the development of the results framework, rather than the plan development, through financial and non-financial support. In addition, GPE support for planning included an ESPDG to finance the MYAP and results framework. The ESDP V and the MYAP were judged to be strong in the GPE appraisal report. The extra processes necessitated by GPE, notably the need for a results framework, can be shown to have influenced the sector planning processes, with stakeholders suggesting that the extra processes and support offered by the Secretariat improved the planning process. In addition, the technical documentation produced through the GRA window were used by those compiling the plans.
15. **Monitoring and inclusive sector dialogue.** Sector dialogue in Ethiopia has been limited to discussions around GEQIP. The introduction of the variable tranche has created a major change in sector dialogue and has been praised as being a good opportunity to have meaningful and inclusive sector dialogue. However, a key weakness in sector dialogue is the limited level of reporting on GEQIP to the Local Education Group (LEG).
16. With regard to monitoring, the Ministry of Education (MoE) and development partners (DPs) usually engage in an annual national education conference; however, no Joint Sector Review (JSR) was held in 2017. There are plans for a JSR in 2018. The 2016 JSR report did consult widely, including focus group discussions with a wide range of stakeholders at various levels, and was conducted at both the national and regional levels. However, local stakeholders commented that it could have included a wider number of voices from civil society and NGOs.
17. GPE contributions to sector dialogue and monitoring include leveraging financial support to Ethiopia to raise the issue of civil society engagement in the monitoring process, funding through the Civil Society Education Fund (CSEF) and incentivizing improvements in sector monitoring through the variable tranche.
18. **Financing.** Ethiopia has held education expenditure at approximately 25 percent of the Government of Ethiopia (GoE) budget for recent years. However, approximately 60 percent is allocated to recurrent expenditure and nearly half of all education expenditure was on higher education in 2014/15.
19. International financing in education in Ethiopia is provided in a harmonized manner, but due to unequal investments across education sub-sectors there is a heavy reliance on DPs for critical education inputs.
20. GPE's financial contribution to overall ESDP V implementation costs are relatively small at 1.2 percent; however, the contribution to General (Basic and Secondary) education in ESDP V implementation costs are more significant at approximately 11.4 percent.
21. While at this stage of the evaluation there is no evidence of GPE leveraging additional international financing in Ethiopia, GPE advocacy, through the Country Lead, has contributed to the government contributing US\$10 million to school grants for the first time.
22. **Implementation.** There is limited data available on implementation progress against the ESDP V as a JSR is yet to take place. However, the available data indicates that recommendations on the

restructuring of the education sector's organizational structure have been acted on and necessary structures have been installed from the ministry to regional offices and organizations. The lack of data available to monitor ESDP V implementation suggests Component 2 (Regular gathering, processing and sharing of information to inform decision-making) is not on target and progress outside the GEQIP component is unknown.

23. GEQIP, of which the GPE contributes approximately 11 percent of the total cost of implementation, has been rated as moderately satisfactory to satisfactory across all implementation components as at December 2017. Achievements of GEQIP as a whole, as at December 2017, include the distribution of 72 million textbooks, the provision of textbooks in seven mother tongues, the provision of braille books for the sight impaired, training to improve teacher effectiveness, training of 1,000 school leaders, increases in the number of schools developing and using School Improvement Plans (SIPs), increased quality of financing at the school level through School Grants (SGs), improved data and data utilization on learning outcomes (through the National Learning Assessment (NLA)) and an increased number of school inspections. In addition, significant progress has been made in compiling and analyzing data generated by the different quality assurance systems (including the Education Management Information System (EMIS)).

24. While there is progress in the area of ICT in education, much remains to be done. There is a tight schedule to deliver to plan and the achievement of targets will require close monitoring and follow-up by MoE.

25. Through the variable part of the grant, the GPE contribution towards implementation of ESDP V includes reducing the proportion of low performing schools, the completion of training to O-class teachers in two emerging regions, improving the proportion of female school leaders and increasing the resources available at the school level to support special needs.

26. **Progress toward a stronger education system.** Ethiopia has made substantial progress in education, but the massive expansion of enrolment into primary school in recent years has placed pressure on the education system. The challenges include large numbers of first-generation learners entering schools and changing the composition of classrooms.

27. There have been improvements in the structures and features of Ethiopia's education system, but the system still requires improvement.

28. **Teachers** are at the heart of the education system and are the most obviously amenable to policy inputs by governments. Pupil-teacher ratios remain high (55:1 in primary and 43:1 in lower-secondary), with inequalities across regions. Pupil-to-trained-teacher ratios are high and were last reported to the UNESCO Institute for Statistics (UIS) in 2009 at 68:1 in primary school. The UK Department for International Development's (DFID) annual reports show the ratio at 57:1 in primary schools in 2015. These figures vary across regions and within the school cycle.

29. The **EMIS** in Ethiopia is functioning but has several weaknesses. There are regional disparities in the quality of data. Only five of the 12 key GPE indicators were reported to UIS in 2015, with gaps in relation to primary school survival and transition rates from primary to secondary. ESDP IV focused on strengthening the EMIS system at the decentralized levels as a necessary precondition for strengthening decentralized planning capacities.

30. The EMIS has grown in strength throughout its operation for the past two sector plans. Achievements include EMIS offices in all woredas/districts and the annual survey of schools effectively completed. The EMIS also includes a School Management Information System (SMIS) and a Teacher Management Information System (TMIS) to support the collection of data needed to improve planning and evidence-based decisions.

31. A **NLA** is in place and has taken place since 2000 at Grades 4 and 8 until 2008, when Grades 10 and 12 were added. Ahead of many of Ethiopia's neighboring countries, the NLA is comparable

between years (2011 and 2015). The national public examination system has been in place since 1950 for grades 8, 10 and 12. The data are rarely used for analysis and rather are used for the purposes of promotion, selection and certification of students.

32. Primary 1 completion rates were last reported in UIS data in 2014 at 8 percent, suggesting many children do not progress successfully through the entry grade each year. This is often used as an indicator of **system efficiency**. The latest GPE program aims to reduce P1 dropout and will be monitored throughout this evaluation.

33. The improvements in EMIS through the implementation of ESDP III, IV and V support the contribution claim that **ESP implementation contributes to system-level change**. However, the contribution of ESDP V to other system-level changes remains to be observed. Future annual reports will examine whether any additional noticeable changes have taken place within the system and assess to what extent this has been influenced by ESDP implementation.

34. **Progress toward stronger learning outcomes and equity.** A NLA is now able to track learning outcomes over time. The picture is mixed, with improvements in math, scores remaining stable in reading, and falling in English. However, these results need to be seen within the context of widening access to primary education, changing the composition of children included in school-based assessments. Extremely high levels of children not grasping the basics by the end of P2 were observed, with proportions as high as three-quarters of children in one district. In this way, equity remains a concern, with large differences across regions and income groups.

35. The number of children enrolling at the pre-primary level has increased from just 300,000 in 2010 to 2.5 million in 2015. At the primary level, school expansion efforts continue, with the number of students enrolled in primary schools increasing from 5 million in 2000 to over 16 million in 2015. The Net Enrolment Rate in 2014 was 95 percent at the primary level, with a Gross Enrolment Rate (GER) of 102 percent.

36. Gender inequality remains a critical issue, with the primary Gender Enrolment Ratio at 0.91 and 60 percent of children out of school at the primary level being girls. Poor girls and boys and rural girls and boys have comparatively lower completion rates than their less-poor counterparts. Boys largely perform better than girls, and urban children outperform rural children. Regional differences are also observable, with 13 percent of children achieving the basics after two years of schooling in Benishangul-Gumuz and 56 percent of children achieving the basics in Addis Ababa.

37. Effective and efficient system contribution to learning access and equity cannot yet be assessed due to the lag between inputs and impact-level change in education and lags in reporting on outcome-level data.

## G) Conclusions, based on lessons learned

38. The report finds that Ethiopia is a country undergoing many changes, with the education system having expanded fast to accommodate exceptionally large numbers of learners. Education sector planning is strong, although its inclusivity is limited by the wider political environment. Monitoring and implementation, in a large, diverse country, is often difficult and is still a weakness of Ethiopia – where the decentralized aspirations are often at odds with a strong central administration and more work is needed to support the decentralized structures.

39. GPE has a long history of support to education in Ethiopia and is held in high esteem by the government and the LEG. By using an aligned modality, through a pooled fund, the ESPIG is highly harmonized. While there are many advantages of harmonization for the sector, for individual donors harmonization leads to a reduction in their possible levers of direct influence in the sector and makes it not possible to track the implementation of GPE funds individually. Similarly, its financial

contribution to a pooled fund means that GPE has no stronger leverage than other donors in relation to sector dialogue and monitoring, and arguably less due to the lack of full-time presence of the GPE Secretariat. In addition, challenges around coordination between the Grant Agent and the LEG and the limited historical engagement of civil society may influence the overall impact of GPE inputs. That said, the recent inclusion of civil society into the LEG, alongside the introduction of the variable tranche in 2017, was found by stakeholders to have more strongly influenced sector dialogue and planning, empowered the LEG and increased transparency.

## H) Recommendations

40. It is too early in the evaluation in Ethiopia to offer specific recommendations. Areas that will require further attention throughout the evaluation period include:

- A focus on implementation progress and challenges to implementation.
- The tension between GPE as a harmonized vertical fund and GPE as a country-level donor partner. As GPE looks to increase its impact within the country, and at having more input from the Secretariat, this raises tensions with the pooled funding model, which relies exclusively on the World Bank administrative structures. In other words, an exploration is required into how to balance tensions between LEG ownership of the program and GPE influence over program objectives.
- An exploration of differing impacts of GPE's ToC dependent upon the fixed vs variable split, in the context of a misalignment between GPE program development and World Bank program development.
- Identifying a story around GPE's contribution to changes (through the results chain), in learning outcomes, access and equity (including gender equality) between 2015 and 2019. It is theoretically possible to look at intermediate outcomes to outcomes using the NLA data in Ethiopia and, given that GPE support in Ethiopia has extended across three sector plans, performance lags should be less problematic than for other countries within this study.

41. The evaluation will follow key indicators and processes within the education sector and track changes over the next two years, with final reporting on the entire prospective evaluation cycle for the country in 2020.

# 1 Introduction

## 1.1 Background

### 1.1.1 Overview of Ethiopia

Table 1: Country and education context

Context area	Features
<b>Country context</b>	Ethiopia is a large (population of 99 million), poor country (GDP per capita of US\$660) and one of the least urbanized countries in the world. Half of the population are under 14, with population growing at 2.5 percent per annum. It is a federalized country and is transitioning to democracy under the leadership of the Ethiopian People's Revolutionary Democratic Front (EPRDF). Economic growth is strong, but poverty levels remain high.
<b>Education context</b>	Ethiopia has made strong progress but still faces challenges. Substantial investments in primary education have seen a dramatic upsurge in enrolment in the early grades. This has created pressures on the system, causing a churn within the early grades, as children who are first-generation learners struggle to match the expectations of the curriculum. This results in high enrolment rates but also high repetition and dropout rates, low primary completion rates and a fall in enrolment rates in secondary.
<b>Structure and features of the education system</b>	Pre-primary (0-level) starts at age 4–6; Primary school has an official starting age of 7, and a duration of eight years; Lower-Secondary is for two years and Upper-Secondary another two years. The Ministry of Education has overall responsibility for education, supported by the regional bureaus of education.

Source: Authors' elaboration.

### Country context

42. Ethiopia is a large country, with a GDP per capita of US\$660<sup>2</sup>, a population of over 99 million and more than 90 ethnic and linguistic groups. It is one of the least urbanized countries in the world, with 80 percent of its population living in rural environments. It is a young country, with nearly half of the population being under 14, and population growth remains high at 2.5 percent per annum, meaning that the population is predicted to be 138 million by 2030<sup>3</sup>.

43. Ethiopia is a federalized country, with nine regional states (Afar, Amhara, Benishangul-Gumuz, Gambella, Harari, Oromiya, Somali, Southern Nations, Nationalities and Peoples' (SNNP) Region and Tigray) and two city administrations (Addis Ababa and Dire Dawa). Since 1991, Ethiopia has been transitioning to a democratic state, currently under the leadership of the EPRDF. In this period, there have been five elections and the country has established a decentralized system of governance with many fiscal and decision-making powers devolved to regional levels<sup>4</sup>.

44. The economy has been growing, with per capita growth averaging about 8 percent over the last decade, which has led to poverty reduction. However, Ethiopia remains one of the poorest countries

<sup>2</sup> World Bank Group (May 2017) "Country partnership framework for the Democratic Republic of Ethiopia 2018-2022", Report No: 119576-ET.

<sup>3</sup> UN Department of Economic and Social Affairs – "World Population Prospects 2017".

<sup>4</sup> World Bank Ethiopia (2017) "program appraisal document on a proposed IDA grant and multi-donor trust fund grant", Report No: 121294-ET.

in the world, with a GDP per capita far below the sub-Saharan Africa (SSA) average.<sup>5</sup> Agriculture remains dominant in the economy and is the main source of income for a great majority of the population. Rural areas are prone to climatic shocks like the recent El Nino droughts. Ethiopia is trying to diversify its economy and is experiencing industrial growth, which has brought positive trends in reducing poverty<sup>6</sup>.

45. Ethiopia receives a relatively large amount of development assistance (compared to other SSA countries), estimated at US\$4 billion in 2016 – or 5.6 percent of gross national income (GNI).<sup>7</sup> Ethiopia aspires to reach middle-income status by 2025, which requires strong investment in human capital. In 2015, the GoE launched its latest development strategy, the Second Growth and Transformation Plan (GTP II), targeting structural transformation by increasing productivity in manufacturing, particularly light manufacturing. Yet education attainment among the richest 60 percent is low at 2.8 years, and even lower at 1.5 years for the poorest 40 percent<sup>8</sup>.

### Education context

46. The GoE is implementing its fifth Education Sector Development Plan (ESDP V), endorsed by the Education Sector Working Group (ESWG) in May 2015. In 2009, the GoE launched the GEQIP, an eight-year program to help implement ESDPs IV and V. GEQIP is a World Bank pooled funding mechanism that was designed to create the conditions for improved learning outcomes in primary and secondary education. GEQIP I and II have been funded by the World Bank, the UK Department for International Development (DFID), Norway, Finland, Italy, the United Nations Children’s Fund (UNICEF) and GPE. Overall, the Ethiopian education sector context is one of progression, matched with great challenges. Recent years have mirrored the story of educational changes across most developing countries – substantial investments have been made to ensure children can access primary schooling, resulting in a dramatic upsurge in enrolment in the early grades. This has created pressures on the system, causing a churn within the early grades, as children who are first-generation learners struggle to match the expectations of the curriculum and resources fail to keep pace with the expansion. This results in high enrolment rates but also high repetition and dropout rates, low primary completion rates and a fall in enrolment rates in secondary. However, GoE commitment to education appears strong (though perhaps overly tilted toward higher education) and donor support is well harmonized.

47. Table 2 shows the timeline of major policy and program decisions in Ethiopia, and how this aligns with the evaluation period and GPE activities within the country.

---

<sup>5</sup> *Ibid.*

<sup>6</sup> *Ibid.*

<sup>7</sup> OECD DAC data, accessed March 2018.

<sup>8</sup> Ethiopia World Bank Country Diagnostic 2016.

Table 2: Timeline of policy cycles in Ethiopia, 2004–2020

	2004–2013	2014	2015	2016	2017	2018	2019	2020	
<b>Sector plans</b>			ESDP V approved	ESDP V Result Framework developed		Mid-term review ESDP	ESDP VI development	ESDP VI	
<b>GPE grants</b>	ESPIG 1 2008–2013	Third ESPIG					(Potential) Fifth ESPIG		
	ESPIG 2 2010–2013				Fourth ESPIG				
			Education Sector Plan Development Grant (ESPDG)						
<b>Learning assessments</b>		Early Grade Reading Assessments (EGRA)	NLA				NLA		
<b>GEQIP</b>	GEQIP I (2008–2013)	GEQIP II							
						GEQIP-E			
<b>Political cycle</b>			Elections			New Prime Minister		Elections	

Source: Authors' elaboration

## Structure and features of the national education system

48. In Ethiopia, primary education lasts eight years and is split into Grades 1–4 (primary first cycle) and Grades 5–8 (primary second cycle). Pre-primary, or 0-class, covers from ages 4–6, to prepare for school entry at age 7. Secondary education is also divided into two cycles. Grades 9–10 (secondary first cycle) provide general secondary education and upon completion students move either to Grades 11–12 (secondary second cycle) as preparation for university or into technical and vocational education and training (TVET) based on examination scores. Overall, general education comprises Grades 1–12, with the majority (95 percent in 2015) of children at primary schools enrolled in government schools.

49. As mentioned above, Ethiopia is a federal country, with nine regions and two chartered cities (Addis Ababa and Dire Dawa). The education system is decentralized, with a central ministry working with regional education bureaus. These bureaus are responsible for the administration and management of the general education, technical and vocational education and teacher training programs and institutions. The Federal Ministry of Education is responsible for higher education. The Ministry formulates policy and guidelines, which are implemented by the various bureaus.

### 1.1.2 GPE in Ethiopia

50. Ethiopia has been a GPE partner since 2004. To date, over US\$280 million has been disbursed in grants, as shown in Table 3.<sup>9</sup> Since the advent of GPE (renamed from the FTI in 2009), the support has been aligned to the GEQIP and managed through the World Bank MDTF. This means that GPE provides on-budget support through a managing agent. National Education Coalitions (NECs) in Ethiopia receive funding support through the CSEF to support the core work of civil society NECs to fully engage with and track the progress of national governments and donor groups in working towards the Education for All goals.

51. The GRA program engages education stakeholders in researching and applying new knowledge and evidence-based practices to resolve education challenges. UNICEF and UNGEI are implementing a GRA grant to support girls' completion of primary and transition to secondary school in a safe, supportive environment that involves research and advocacy in Cote d'Ivoire, Ethiopia, Togo and Zambia. The activity looked at global and regional trends in women's legal protection against domestic violence and sexual harassment and a rigorous review of global research evidence on policy and practice on school-related gender-based violence.

#### Box 1 New GPE funding model

GPE adopted a new funding model for its 2015–2018 funding cycle to improve the delivery of quality basic education to children in the poorest countries of the world. As part of this model, GPE uses a 70:30 funding formula. DCPs are expected to fulfill the following requirements to receive the first 70 percent of their financing allocation:

- Produce a credible, costed, evidence-based and feasible education sector plan.
- Produce a recent education sector analysis and commit to strengthening their data system.
- Commit to dedicating adequate levels of domestic spending for the implementation of the ESP.

To receive the remaining 30 percent of GPE funding, DCPs identify key strategies that would lead to accelerated progress in equity, efficiency and learning outcomes. Disbursement of the 30 percent is linked to performance indicators that demonstrate effective progress.

GPE (June 2015) "Factsheet: The GPE Funding Model: A Results-Based Approach for the Education Sector" (Washington, DC: Global Partnership for Education).

<sup>9</sup> Source: GPE Website: [www.globalpartnership.org/country/ethiopia](http://www.globalpartnership.org/country/ethiopia)

52. GPE's engagement over the evaluation period is complex, as it encompasses three program implementation grants, the agreement of the variable part (See Box 1 ) and the development of the next GPE grant (in terms of both the fixed and variable parts). Taking 2017 as the baseline year, there were two GPE programs being undertaken within Ethiopia. There have been six grants with variable parts at the end of the 2017 Financial Year (FY) – Mozambique, Nepal, Rwanda, Congo DR, Malawi and Ethiopia. The GPE Portfolio Review 2017 states that, out of these six, Mozambique, Nepal and Ethiopia had variable parts-related achievements.<sup>10</sup> Table 3 shows the broad funding allocations and assigns numbers to the programs for ease of reference.

**Table 3: GPE funding to Ethiopia, as of January 2018**

Grant type	GPE #	Years	Allocations	Disbursements	Grant Agent
<b>Program implementation grant</b>	4	2017–2019	US\$100,000,000	US\$19,059,957	International Bank of Reconstruction and Development (IBRD)
	3	2014–2018	US\$100,000,000	US\$100,000,000	IBRD
	2	2010–2013	US\$97,828,573	US\$97,828,573	IBRD
	1	2008–2013	US\$69,535,734	US\$69,535,734	IBRD
<b>Sector plan development (ESPDG)</b>		2016	US\$187,170	US\$67,774	UNICEF
<b>Program Development Grant (PDG)</b>		2016	US\$199,000	US\$165,433	IBRD
<b>GRA program</b>		2014-2017	US\$800 000 (with Cote d'Ivoire, Togo and Zambia)	N/A	Partners include UNICEF and UNGEI
<b>CSEF</b>		N/A	N/A		
<b>TOTAL</b>			<b>US\$367,750,477<sup>11</sup></b>	<b>US\$286,657,471</b>	

Source: GPE website

53. Table 4 outlines the variable tranche strategy for Ethiopia.

<sup>10</sup> Nepal and Ethiopia were excluded from the sample because the verification process was not complete by the cut-off date. Rwanda and Malawi did not have target attainment verification in FY17. For DRC, ESPIG had not yet become effective by the end of FY17 (GPE (2017) Portfolio Review 2017 (Washington, DC: Global Partnership for Education): 29).

<sup>11</sup> GRA grant not included as the proportion focused on Ethiopia is not provided.

**Table 4: Variable tranche strategy for Ethiopia**

FOCUS AREA	INDICATOR
Equity	Addressing the gender balance in school leadership by increasing the proportion of trained female primary school principals (from 9.4 percent in 2015/16 to 10.5 percent by 2015/17).
Equity	Encouraging more inclusive learning environments by increasing the proportion of school grant allocation to support special needs (1 percent to 2 percent by 2016/17)
Efficiency	Reducing Grade 1 dropout rates by 5 percent in the region with the highest Grade 1 dropout rate by 2016/17.
Learning	Reducing the proportion of low-performing primary schools (Level 1 inspection standards) in the region with the highest share of these schools to 15 percent by 2015/17, from 46.5 percent in 2014/15.
Learning	Increasing the proportion of trained 0-class (pre-primary class) teachers in a region with a low percentage of trained 0-class teachers to 80 percent by 2016/17.

Source: World Bank<sup>12</sup>

### 1.1.3 Evaluation background

54. In June 2016, GPE's strategic plan (GPE 2020) aligned its vision and mission to the Sustainable Development Goals (SDGs) and recognized that education is pivotal to the achievement of all other SDGs. It also articulated this vision into actionable goals as well as both country and global objectives. The GPE 2020 adopted a monitoring and evaluation (M&E) strategy for the 2016–2020 strategic plan period, including a results framework for monitoring progress across three goals and five strategic objectives in GPE's ToC and a set of 37 indicators (fully detailed in Annex D). The strategy comprises independent evaluation studies, including programmatic, thematic and country-level evaluations, which will lead to an evaluation on the entire GPE's portfolio.

#### Country-level evaluations

55. The country-level evaluations comprise independent prospective and summative analyses. Prospective evaluations focus on eight selected countries to address whether GPE inputs to the education sector during this time are conducive to the intermediary outcomes in the country's ToC. Summative evaluations assess ex-post the contribution of inputs to intermediate outcomes, outcomes and potential impact in a diverse sample of 22 countries.

56. The prime purpose of this work is to design and implement the prospective country-level evaluations of GPE's M&E strategy for the period 2017–2020. It aims to: (i) evaluate GPE's contributions to strengthening education systems and, ultimately, achieving education results within developing country partners (DCPs) in the areas of learning, equity, equality and inclusion; and (ii) the relevance, efficiency and effectiveness of GPE's country-level operational model and the validity of its ToC.

#### Prospective evaluations

57. The purpose of the prospective evaluations is to assess if GPE's inputs and influence are orienting education sector planning, implementation and monitoring toward the intermediary outcomes as outlined in the ToC. They are forward-looking, and explore what happens, while it happens. They

<sup>12</sup> World Bank, "Project Paper on a Proposed Additional Grant from the Global Partnership for Education in the Amount of US\$100 Million to the Federal Democratic Republic of Ethiopia for a General Education Quality Improvement Program Phase II" (Washington, DC: World Bank, 2017): 83-85

closely observe initial decisions, document the perspectives of decision-makers and focus on the activities and involvement of key stakeholders early in the period under review to understand whether progress is being made and whether GPE is making a contribution.

58. The objective of the prospective evaluations is to assess the relevance, efficiency and effectiveness of GPE's inputs at the country level, as well as the validity of GPE's ToC in light of its strategic plan GPE 2020. They seek to establish if and how GPE inputs and activities contribute to outcomes and potential impact at country level. They are designed to assess GPE's progress on its goals and objectives toward its mission and vision of inclusive and equitable quality education and lifelong learning opportunities for all.

59. In this context, GPE support is defined as both financial inputs deriving from GPE grants and related funding requirements and non-financial inputs deriving from the work of the Secretariat, the Grant Agent, the Coordinating Agency, from other country stakeholders engaged in the partnership, and from GPE's global level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements).

### 1.1.4 Methodology and tools

60. The methodology for the prospective evaluations is a formative, learning focused and theory-based CA approach. The contribution claims to be tested during the evaluation include:

- Claim A: "GPE (financial and non-financial) support and influence contribute to the development of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning."
- Claim B: "GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to mutual accountability for education sector progress."
- Claim C: "GPE advocacy and funding requirements contribute to more and better financing for education in the country."
- Claim D: "GPE (financial and non-financial) support and influence contributes to the effective and efficient implementation of sector plans."
- Claim E: "The implementation of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system."
- Claim F: "Education system-level improvements result in improved learning outcomes and in improved equity, gender equality and inclusion in education."

61. The guiding framework is provided in an Evaluation Matrix (EM) and a generic country-level ToC, developed according to GPE's existing overall ToC for GPE 2020. The evaluation will seek to answer three key evaluation questions:

- Key question I: Has GPE support to Ethiopia contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education? If so, then how?
- Key question II: Has the achievement of country-level objectives contributed to making the overall education system in Ethiopia more effective and efficient?
- Key question III: Have changes at education system level contributed to progress toward impact?

62. It envisages a seven-stage process. The first four stages focus on establishing a solid baseline for each country and the subsequent three stages constitute iterative annual country-level reporting. This is further described in Annex D (which showcases the evaluation tools) and the inception report.

63. This approach is consistent with that of the summative evaluations and thus contributes to their final synthesis for a summative 2020 evaluation. In the application of CA, prospective evaluations are formative and forward-looking, assessing if inputs and influence into the education sector planning

are conducive to intermediary outcomes, as per the ToC. Conversely, summative evaluations trace ex-post the contribution of inputs to intermediate outcomes, outcomes and impact. The country-level ToC (in line with the EM and the generic ToC) are the evaluators' tools and guiding framework. The EM and generic ToC are presented in Annex D.

64. The focus for data collection and analysis is relevant to the key indicators in GPE's results framework and additional indicators described in the respective countries' ESPs. The evaluation team has not collected primary quantitative data but instead has drawn upon secondary data to ensure the evaluation findings have a solid quantitative basis. In addition, further rounds of data collection will be conducted 2019 and 2020. Each of these will contribute to their respective annual reports.

65. The anticipated risks and related potential limitations that may negatively affect the conduct of the progressive and summative country evaluations, as well as proposed mitigation strategies, are detailed in Annex D.

### 1.1.5 About this Annual Report

66. This report frames the country-level evaluation throughout 2020 and provides the first annual report for Ethiopia under this evaluation. It includes: a country-specific ToC; a stakeholder mapping; an analysis of GPE's support to planning, dialogue and monitoring, implementation, and financing during this first year, and any available information on the current policy cycle's education sector planning and implementation thus far; the country-specific work planning and data collection, and relevant analytical approaches; and a stocktaking of available data for all levels of the ToC, highlighting data gaps that could be addressed in subsequent reporting.

67. This first Annual Report constitutes the first in-country analysis and will contribute to the first synthesis report (November 2018). The second annual country mission and report are foreseen for the second quarter of 2019 and their corresponding synthesis for the last quarter of 2019. Last, the third annual country mission and their report will occur between March and April 2020, with the Final Synthesis being finalized between April and May 2020.

## 1.2 Country-specific ToC

### 1.2.1 Objective

68. The evaluations are based on a generic country-level ToC that elaborates on the key changes targeted by GPE and their main causal explanations, factors and alternative hypotheses that determine them. This ToC assumes a scenario where a country would benefit from all available types of GPE financial and non-financial support for the complete policy cycle. It is therefore a high-level document and has been tailored to each country's context in the form of a country-level ToC that tells the bespoke change story anticipated in Ethiopia.

### 1.2.2 Development of country-adapted ToC

69. Thus, the country-specific ToC is based on the generic country-level ToC for this evaluation and further tailored and enriched with the information and data gathered in stages 1–4 of the evaluation methodology, including the first country mission. These include:

- **Stage One:** Including the assessment of data availability and quality, the preliminary input mapping against the generic ToC, stakeholder mapping and country calendar.
- **Stage Two:** Gathering further evidence on the country-specific ToC through in-country missions including discussions with relevant stakeholders.

- **Stage Three:** Reviewing stakeholders, data availability and evaluation foci across countries with a strategic perspective.
- **Stage Four:** Assessing the validity of the ToC on the basis of the current state of affairs and the broader evidence base for each country in the prospective evaluation sample.

---

### 1.2.3 Country-specific ToC

70. The prospective evaluation of GPE in Ethiopia begins at a time when two ESPIGs have been completed in support of the GEQIP II program (2013–2018) and the GoE’s ESDP V (2015–2020). The next World Bank pooled fund (GEQIP-E) has been developed and will be implemented from 2018 to 2023 while the next ESPIG will be designed in the latter half of 2018. This timing is important contextual information, as working relationships that have framed GPE support to the Ethiopian education sector to date may shift at national level during the evaluation period, particularly given the shift in GEQIP-E to being fully results based.

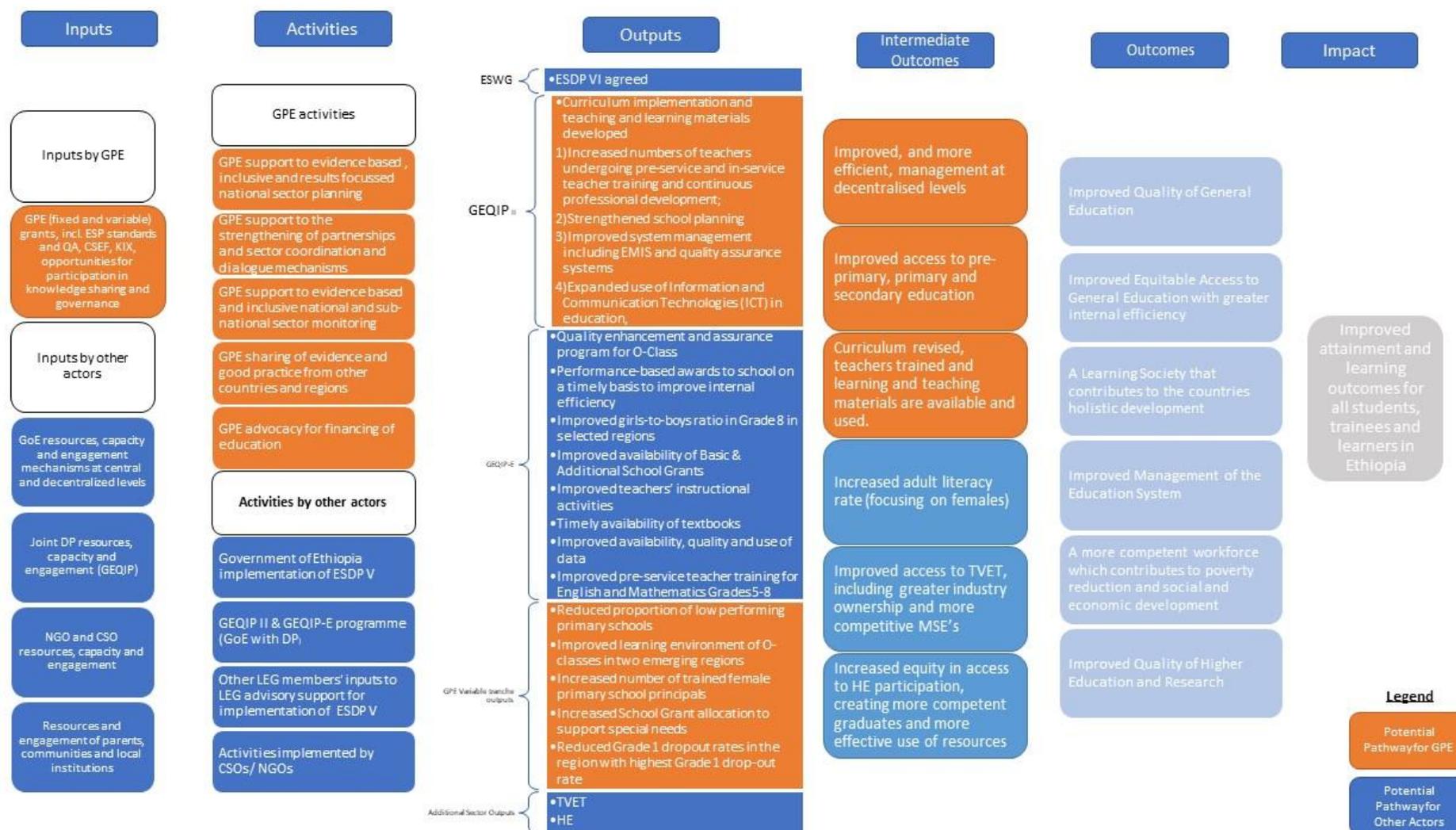
71. In Ethiopia, GPE is one of seven development partners contributing pooled funding to a sector-wide approach in the education sector. There is therefore no separate project document or results framework for GPE’s contribution. For the previous ESPIGs, performance was assessed in terms of the GEQIP II program.

72. It should be noted that providing funds through a pooled fund, while highly aligned, also makes it impossible to identify exactly which outcomes GPE funds are anticipated to contribute to as the fund manager does not separately allocate funding to outputs. While tracking the overall performance of the sector in terms of the GEQIP results framework, the prospective evaluation will undertake CA to estimate the role of GPE in that performance. During the evaluation review period, GPE is likely to support development of a new sector plan, including – possibly, through an ESPDG, for which financing of a sector analysis will be provided, in addition to non-financial support through guidance, advocacy and technical assistance.

73. The GPE ToC posits that the combination of GPE financial and non-financial support for in-country processes through the Secretariat, the Coordinating Agency and the Grant Agent (GA) will lead to a stronger, more inclusive planning process and improved mutual accountability through sector dialogue, as well as to more and better domestic and international financing. The ToC presented below is based on the generic GPE country-level ToC and has been adapted to the Ethiopian context, focusing on the ESDP V. It begins with the inputs made by various agencies, with funding from various sources.

74. The emerging Ethiopia ToC is depicted below and will be validated and finalized over the course of the evaluation.

Figure 1: Ethiopia ToC of GPE's support and engagement in Ethiopia



Source: Authors' elaboration

75. GPE is just one part of the wider education sector, of course, with most of the funds needed for the sector plan being domestic (85 percent). That said, GPE's contribution to GEQIP equated to one-third of overall contributions to the fund, rising to 42 percent of remaining funds at the time of application for the second grant in September 2016, meaning GPE is a large contributor to the trust fund on average. Over and above the funds, GPE also provides technical and networking contributions, as shown in the activities column.

76. The outputs from these activities are shown and differentiated explicitly by the funding modality through which the funds have, will or could flow – that is, differentiating between the outputs from GEQIP II, the variable tranche Disbursement Linked Indicators (DLI) program and GEQIP-E. For completeness of the ESDP, we also include the wider sector activities in areas such as TVET and higher education, which are not elaborated on here. These outputs are in various states of completeness – many GEQIP II outputs have been completed, while for the variable tranche DLI and GEQIP-E less progress has been made.

77. These outputs lead to the intermediate outcomes, and finally the outcomes and impact, drawn from the ESDP. For GPE, the focus will be on the first three intermediate outcomes, which relate to improved management (including at decentralized levels), improved access to pre-primary, primary and secondary education, and a revised curriculum, teachers trained, and teaching and learning materials provided to schools.

78. In addition to GPE funds, there are many other inputs and outputs within the ESPIG. As touched on above, the largest is the GoE, which funds 85 percent of the sector plan, and the near totality of the support to adult literacy, TVET and higher education. For support to sector dialogue, planning and monitoring, several donor partners have been working to improve the functioning of the ESWG and have been engaged in discussions around reporting requirements for the GEQIP-E, in a move to facilitate more regular and detailed monitoring of the pooled funds.

79. There are several assumptions underpinning this ToC, many of which are common across GPE countries. Some of the Ethiopia-specific assumptions deserve to be flagged here and are presented in Table 5 below. Assumption 2 on harmonization is not given, as the movement toward full DLI indicators within GEQIP-E may be at odds with GPE's 70 percent fixed allocation. Equally, the latter half of assumption 5, on priority setting, is important given the high level of ambition in the economic growth forecasts underpinning the sector plan.

80. From activities to outputs, the evolution of assumptions 8 and 9 is important in regard to concerns being raised over GPE's influence through the LEG being limited to discussions around the variable tranche. For outputs to outcomes, Ethiopia has experienced recent political changes, which could influence the wider political will for reform and the space made available for civil society. It is unlikely to influence support to the education sector per se, however, which has seen sustained strong commitment.

81. The transition from intermediate outcomes to outcomes is an area of concern, with assumption 19 being key. As the Ethiopian context is one of rapid expansion, many children are first-generation learners, placing extra challenges on the system. Progressing to equitable access and improvements in learning levels are dependent on these issues being solved through the activities and outputs, or the children will be excluded from the learning opportunities.

Table 5: Assumptions in the ToC<sup>13</sup>

#	Inputs to activities
1.	There will be continued support and commitment by the GoE to increase education expenditure, particularly in primary education
2.	The interventions by development partners (DPs), government, professional bodies, and civil society organizations (CSOs) continue to align with and be complementary to the national objectives as defined in the ESDP. Country-level partners align and work through GEQIP-E
3.	DPs honor their financial commitments to the sector
4.	The GoE deploys adequate human resources and systems to implement the ESDP V
5.	Available funding is sufficient to implement all elements of the sector plan and mechanisms for priority setting through reviews make it possible to focus on the most critical elements of the plan when funding is not sufficient
#	Activities to outputs
6.	Relevant actors have adequate technical capacity to implement all elements of the sector plan
7.	There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve the Education Management System (EMIS) and undertake the NLA
8.	Country-level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews
9.	GPE has sufficient leverage to influence domestic and international education sector financing, LEG approaches and national policy
10.	No significant disruption to ESDP or related initiatives and services by droughts or internal displacement [Also affects output–outcome linkages]
#	Outputs to intermediate outcomes
11.	External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing
12.	Challenges presented by reallocation of responsibilities for education within a decentralized system are successfully overcome
13.	There is political will and institutional incentives to use evidence and best practice in sector analysis and planning
14.	CSOs and teacher organizations have the political space and capacity to monitor sector plan implementation
15.	GoE has increased political will to create space for country-level stakeholders – including teachers and CSOs – to engage in policy dialogue, priority setting and monitoring
16.	All stakeholders (government at all levels, donor partners, professional bodies, NGOs, CSOs, private sector) work together and improve coordination and communication
17.	Changes in personnel due to staff turnover or redeployment would not be at a level that diminishes the effectiveness of staff and institutional capacity development
#	Intermediate outcomes to outcomes
18.	ESP implementation leads to improvements of previous shortcomings in the education system. Government support for reformed sectoral planning and budget processes and demand for timely data grows
19.	There are sufficient human resources (including teachers) to facilitate improved teaching and learning, and the curriculum is sufficiently suited to the Ethiopian educational context with high numbers of first-generation learners
20.	The political and economic situation is conducive to service delivery
21.	Other obstacles to education, such as hunger and health issues that children may face, are addressed and mitigated adequately and in a timely manner
22.	Removal of barriers to school participation is sufficiently effective to achieve a positive impact on learning, equity, equality and inclusion
23.	There is political will to make institutional, management and governance changes that ensure the education sector is effectively managed at all levels
#	Outcomes to impact
24.	That increased access and more and better inputs lead to increases in learning outcomes
25.	Improvements in management of systems lead to the necessary changes to promote quality improvement

<sup>13</sup> Source: Authors' elaboration

82. In addition, indicators across the ToC (from context to impact) will be traced throughout the evaluation to determine the extent to which progress is being made and assess if GPE support is contributing.

---

#### **1.2.4 Assembling the contribution story**

83. Having discussed the wider sector ToC in Ethiopia, below we set out our initial view of the way that GPE has contributed to different outcomes and impact under the ToC. The contribution story will be expressed in terms of the value that GPE potentially adds for Ethiopia, and the costs of these benefits reflecting the increases in time spent on the application form that were noted under the new funding model.

84. As outlined in the inception report, there are seven mechanisms by which GPE claims to contribute to impact. The mechanisms, critical underlying assumptions, contribution claims and indicators to assess GPE's contribution in Ethiopia are provided in Table 6.

85. The Ethiopia case study makes use of the framework from the GPE country-level level evaluation inception report and tailors the assumptions and indicators to the Ethiopian case study.

Table 6: Explanatory mechanisms, critical underlying assumptions, contribution claims and indicators for Ethiopia

Explanatory mechanism	Critical underlying assumptions	(Implicit) Contribution claim
<p><b>BECAUSE (1) GPE provides ESPDGs and guidance, quality assurance, capacity development and technical guidance and (2) promotes evidence-based and adaptive planning, DCP governments produce and own credible and evidence-based sector plans focused on equity, efficiency and learning.</b></p>	<p>(2) Interventions continue to be aligned.</p> <p>(9) GPE has sufficient leverage to influence domestic and international education sector financing, LEG approaches and national policy.</p> <p>(13) There is political will and institutional incentives to use evidence and best practice in sector analysis and planning.</p> <p>(i) That the GoE draw down on the ESPDG.</p>	<p><b>Contribution claim A:</b> GPE (financial and non-financial) support and influence contribute to the <i>development</i> of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning.</p>
<p><b>BECAUSE (1) GPE supports and promotes evidence-based and inclusive national sector monitoring and adaptive planning at global and country levels, (2) GPE promotes and facilitates mutual accountability for education sector progress and (3) GPE promotes and facilitates cross-national sharing of evidence and good practice, there is mutual accountability for sector progress through inclusive sector policy dialogue and monitoring.</b></p>	<p>(8) Country-level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews</p> <p>(9) GPE has sufficient leverage to influence domestic and international education sector financing, LEG approaches and national policy.</p>	<p><b>Contribution claim B:</b> GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to <i>mutual accountability</i> for education sector progress.</p>
<p><b>BECAUSE (1) GPE advocates for increased, harmonized and better coordinated international financing for education and (2) GPE funding requirements include the promotion of improvements in domestic financing for education promotes, more and better financing for education is mobilized in the country.</b></p>	<p>(3) DPs continue to honor their financial commitments to the sector</p> <p>(4) GoE deploys adequate human resources and systems to implement.</p>	<p><b>Contribution claim C:</b> GPE advocacy and funding requirements contribute to more and better financing.</p>
<p><b>BECAUSE (1) GPE funding through PDGs and ESPIGS, (2) GPE quality assurance, processes, guidelines, capacity building and technical guidance for ESPIG development and implementation, (3) there is mutual accountability for education sector progress, (4) the country has developed a credible and evidence-based sector plan, and (5) more and better domestic and international financing for education is available, the country implements and monitors realistic evidence-based sector plans based on equity, efficiency and learning.</b></p>	<p>(15) Government has increased political will to create space for country-level stakeholders – including teachers and CSOs – to engage in policy dialogue, priority setting and monitoring.</p> <p>(16) All stakeholders (government at all levels, DPs, professional bodies, NGOs, CSOs, private sector) work together and improve coordination and communication.</p>	<p><b>Contribution claim D:</b> GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans.</p>

<p><b>BECAUSE (1) countries implement and monitor realistic, evidence-based ESPs based on equity, efficiency and learning, the education system becomes more effective and efficient toward delivering equitable quality educational services for all.</b></p>	<p>(19) There are sufficient human resources (including teachers) to facilitate improved teaching and learning, and the curriculum is sufficiently suited to the Ethiopian educational context with high numbers of first-generation learners.</p> <p>(20) The political and economic situation is conducive to service delivery.</p>	<p><b>Contribution claim E:</b> The development, implementation and monitoring of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system.</p>
<p><b>BECAUSE (1) sector plan implementation includes provisions for strengthened EMIS and Learning Assessment System (LAS) and (2) because GPE promotes and facilitates sharing of evidence and mutual accountability for education sector progress, the country produces and shares disaggregated data on equity, efficiency and learning.</b></p>	<p>(18) ESP implementation leads to improvements of previous shortcomings in the education system. Government support for reformed sectoral planning and budget processes and demand for timely data grows.</p>	
<p><b>BECAUSE of improvements at the level of the overall education system, there are improved learning outcomes and improved equity, equality and inclusion in education.</b></p>	<p>(21) Other obstacles to education, such as hunger and health issues that children may face, are addressed and mitigated adequately and in a timely manner.</p> <p>(19) There are sufficient human resources (including teachers) to facilitate improved teaching and learning, and the curriculum is sufficiently suited to the Ethiopian educational context with high numbers of first-generation learners.</p>	<p><b>Contribution claim F:</b> Education system-level improvements result in improved learning outcomes and in improved equity, gender equality and inclusion in education.</p>

Source: Authors' elaboration

## 2 Assessment of GPE contributions to education sector planning and policy implementation, financing and sector dialogue/ monitoring in Ethiopia

86. This section summarizes the current state of sector planning, policy implementation, financing and sector dialogue and monitoring. It looks at any changes since the current wave of GPE engagement began (defined loosely as starting with the support to the finalization of the ESDP V in 2015) and assesses what, if anything, can be said about GPE's contributions to any identified changes.

87. It is important to note that stakeholder perceptions were key in assessing GPE contributions: while these were collected using semi-structured interviews, qualitative data are prone to several biases. While care was taken in terms of ensuring minimal bias in questioning, reporting and selection of interviewees, it is important to acknowledge that these data were collected in a short visit and may be influenced by the ongoing relationships in country.

### 2.1 Situation analysis at Year 1

#### 2.1.1 Education sector planning

##### Summary

- *ESDP V is the latest planning and strategy document for the education sector. It forms the basis for activities within the education sector, and through the accompanying MYAP. The ESDP V is strong and evidence based. The ESDP V is focused on learning and equity and is well aligned to the needs of the country. Carrying on the goals of the previous education sector plan, ESDP V aims to improve access to quality primary education and sustain equitable access to quality secondary schools. The planning process was led by the government and a national team developed the plan, modeling financial scenarios. REBs and the Education Technical Working Group were engaged in plan development, while government ownership of the plan remaining strong.*
- *The ESDP V and the MYAP were judged to be strong in the GPE appraisal report. The extra processes necessitated by GPE, notably the need for a results framework, influenced the sector planning processes. In addition, the technical documentation produced through the GRA window was used by those compiling the plans.*

#### Assessment of sector planning

88. Overall, sector planning in Ethiopia appears to be strong, with the GoE having relatively high levels of relevant central capacity (knowledge, skills, experience, etc.). This broader experience of government in planning is a key strength in Ethiopia.

89. ESDP V (2016–2020) is the latest planning and strategy document for the education sector. It forms the basis for activities within the education sector and through the accompanying MYAP highlights funding gaps for which donor support can be sought. It builds on its previous iteration, the

ESDP IV. Two main goals were identified under ESDP IV and continued through ESDP V. The first was to improve access to quality primary education to ensure all children acquire the competencies, skills and values that enable them to participate fully in the development of Ethiopia. The second was to sustain equitable access to quality secondary education services. Each sub-sector had further priorities identified with accompanying targets, which were reviewed and revised as part of the development of the fifth sector plan. ESDP V met five of the seven GPE quality standards, not meeting the criterion 'achievable' because the estimation of the size of the financing gap was not based on realistic assumptions and not being sufficiently 'Sensitive to context and identifying risks'. In addition, the plan met the 'Attention to disparities' criterion but did not meet the sub-criterion of attention to disparities including geographic disparities. The GPE Appraisal Report states that there was consistent leadership from government in the planning process, with a national team developing and writing the most recent plan and taking overall responsibility for both the ESDP V and associated financing scenarios. In addition, REBs provided inputs. The ETWG (i.e. the LEG in Ethiopia) was engaged throughout the plan development process and sourced consultants and provided regular feedback.<sup>14</sup> While official documentation reports a consultative process, however, stakeholders raised some concerns that the inclusion is only within certain parameters, i.e. it was consulted on only within a chosen group.

90. The priorities of the education and training system, laid out in ESDP V are to:

- Provide equal opportunities and participation for all, with special attention to disadvantaged groups;
- Deliver quality education that meets the diverse learning needs of all children, youth and adults;
- Develop competent citizens who contribute to social, economic, political and cultural development through the creation and transfer of knowledge and technology;
- Promote effective leadership, management and governance at all levels in order to achieve educational goals by mobilizing and using resources efficiently; and
- Assist children, youth and adults to share common values and experiences and to embrace diversity.

91. Prior to the development of the fifth plan, an Education Sector Analysis (ESA) was conducted (in 2014). This covered the areas of access, equity and quality in general education, TVET and higher education. The sector analysis drew on administrative EMIS data and recent research and studies to review progress in the education sector (as against ESDP IV results) and to provide an analysis of barriers impacting on the policy priority areas for the ESDP V.

92. The sector analysis had a dedicated section on cross-cutting equity determinants of gender, special needs and inclusive education, and education in emergencies. This was also a theme within the Mid-Term Review of the GEQIP 2 (July 2016). The ESA also focused on other aspects of marginalization highlighted in the data, such as the rural/urban split, which is most noticeable during the shift to secondary schooling where rural areas substantially underperform urban areas.

93. It is appropriate to highlight the importance to the sector (and to GPE in achieving its aims) of the planning process for the pooled fund. Here the process was deemed technically strong, but stakeholders flagged concerns about the inclusivity of the process for civil society.

94. Education sector planning is an established process in Ethiopia, which will shortly (end 2018) be embarking on its sixth comprehensive planning process. Its strengths are in the centralized technical abilities to plan, with government having enough experience and capacity. However, this strength can result in less consultative processes, as planning could be executed well by government without external support to the extent seen in other GPE countries. In this way the administration's ability to develop plans, alongside pressures to align with the timing of linked processes, means that the time made available to consult a wider range of stakeholders can be limited.

---

<sup>14</sup> GPE Ethiopia Appraisal document.

95. Planning in Ethiopia is at the system level and tends to be high quality (scoring 5/5 in the GPE results framework), but there are some weaknesses cascading the planning downwards and transitioning to a more inclusive, bottom-up development process. The ESPD met five out of seven of the quality indicators in the GPE review but was judged as not being sensitive to context and as not having a credible estimate of the financing gap. In addition, the GPE Appraisal Summary of ESDP V highlighted the lack of a logical framework or results framework as an essential component of the plan that ‘could be undertaken quite quickly without prejudicing the GPE submission’.<sup>15</sup> The development of the results framework was subsequently undertaken.

### GPE contribution to sector planning

96. Rather atypically, the ESPDG was used to finance a MYAP, and results framework, for the ESDP V document rather than the plan itself. Overall, the ESDP V and the MYAP were judged to be strong (GPE appraisal report) – covering the whole sector and linking well with the previous plans. ESDP V is costed based on realistic assumptions and uses a costing model that presents costs by sub-sector, and by activity in the MYAP.

97. The extra processes necessitated by GPE, notably the need for a results framework, can be shown to have influenced the sector planning processes, with stakeholders suggesting that the extra processes and support offered by the Secretariat were an opportunity for the planning process to be improved. In addition, the technical documentation produced through the GRA window was used by those compiling the plans. The influence of the GRA documentation at the country level can be monitored during the development of the next plan.

## 2.1.2 Mutual accountability through sector dialogue and monitoring

### Summary

- *Sector dialogue in Ethiopia has been limited to discussions around GEQIP, with dialogue and monitoring of education sub-sectors outside of General Education largely missing. The introduction of the variable tranche has created a major change in sector dialogue for those subsectors supported by GEQIP and has been praised as being a good opportunity to have meaningful and inclusive sector dialogue. A key weakness in sector dialogue is the limited level of reporting on GEQIP to the LEG.*
- *With regard to monitoring, no JSR was held in 2017, although one is planned for 2018. The 2016 JSR report did consult widely, including focus group discussions with a wide range of stakeholders at various levels, and was conducted at both the national and regional levels. However, local stakeholders commented that it could have included a wider number of voices from civil society and NGOs.*
- *GPE contributions to sector dialogue and monitoring include leveraging financial support to Ethiopia to raise the issue of civil society engagement in the monitoring process, funding the CSEF and incentivizing improvements in sector monitoring through the variable tranche.*

### Assessment of sector dialogue

98. The ETWG is the LEG in Ethiopia and is jointly chaired by the Education Minister (or his representative) and a chosen DP lead, currently DFID and Finland. The ETWG is judged, from the joint sector reviews and preliminary discussions, to be an active group fully engaged in all aspects of

<sup>15</sup> GPE Appraisal Summary Matrix.

program planning, dialogue and delivery in education. However, civil society engagement was highlighted as being a challenge in the QAR II report. In the application form, the Ministry presented the recent appointment of ANFEA (a local NGO) to the ETWG as evidence of inclusive sector dialogue.

99. One major change in the sector dialogue has been the introduction of the variable tranche, which, in contrast to the weak dialogue around the fixed part/GEQIP program, was praised as being a good opportunity to have meaningful sector dialogue with a wider range of stakeholders.

100. Sector dialogue in Ethiopia is, as with monitoring, weaker than planning, and is also limited by the wider political economy within Ethiopia. Stakeholders again commented on the bulk of dialogue in the LEG historically being around the GEQIP program rather than the sector. In part, this is due to donors' preference for the basic education sector, while the ESDP covers all areas.

101. One repeatedly raised weakness of monitoring and dialogue within Ethiopia was the limited and inflexible processes around the GEQIP grant, which undertakes biannual missions to facilitate the published report (Aide Memoire) but provides no further information. It does not adhere to the requirements of GPE that GAs report at least three times per year to the LEG. Given the size and scope of the dominance of the fund, this is a key weakness in sector dialogue and monitoring.

### Assessment of sector monitoring

102. As sector dialogue and monitoring are heavily intertwined, their strengths and weaknesses are also linked. In terms of strengths, there was, until 2016, an annual, locally led process of joint reviews and education retreats, which facilitated dialogue and monitoring by the LEG.

103. In terms of sector monitoring, the MoE and DPs jointly engage in an annual national education conference (usually held in the last quarter of the year), which serves as an opportunity to review emerging sector issues and document progress against the ESDP. JSR reports are available for the years between 2012 and 2016. Sector monitoring in Ethiopia is relatively weaker than sector planning. Stakeholders attribute this to the reliance on the GEQIP program, which follows a set review template and is conducted through external missions by World Bank staff rather than through the LEG.

104. No JSR was held in 2017, although one is planned for 2018. Again, stakeholders highlighted that these reviews are well organized and a good opportunity to have dialogue but that they are limited in scope – with the week of education reflection being a largely government/Ethiopian affair, with external partners invited for the last day. While this shows strong local ownership, it does weaken the sector dialogue due to limited time. It will be important to investigate whether missing one JSR represents a minor break from monitoring responsibilities and planning due to external circumstances or if the lack of a 2017 JSR represents a breakdown in monitoring relationships.

105. Drawing on available documentation, the 2016 JSR report did consult widely, including focus group discussions with a wide range of stakeholders at various levels. It was conducted at both the national and regional levels, with visits to five regions. The review team included representatives from the MoE, DPs and the respective regional education bureaus, and a total of 21 members took part in the mission. The five regions visited were selected to ensure coverage of schools in areas of high and low performance and in the large emerging regions. However, local stakeholders commented that it could have included a wider number of voices from civil society and NGOs.

### GPE contribution to sector dialogue and monitoring

106. Thus far, GPE has contributed to sector dialogue and monitoring through both financial and non-financial support. This includes:

- The GPE Secretariat leveraged financial support to Ethiopia to raise the issue of civil society engagement in the wider monitoring process, which the MoE acknowledged as an issue in the ESPIG application in 2016. As a result, attempts have been made to improve inclusive monitoring, as evidenced by the recent appointment of ANFEA to the ETWG as of September 2016.

- Through financial support (in the form of the CSEF), GPE funded the Basic Education Network in Ethiopia, which is not a formal member of the ETWG. Civil society groups acknowledged progress within the sector in terms of their inclusion but flagged that more could still be done to empower them.
- The introduction of the variable tranche empowered the LEG to improve the sector monitoring process, through both financial and non-financial support. GPE financial support provided incentives for improved sector monitoring through additional funding and provided non-financial support through stringent requirements throughout the application process. For the fixed part, the monitoring process is the same as the monitoring process for GEQIP II, which is six-monthly reviews against the headline outputs.

### 2.1.3 Education sector financing

#### Summary

- *Ethiopia has held education expenditure at approximately 25 percent of the GoE budget for recent years. However, approximately 60 percent is allocated to recurrent expenditure and nearly half of all education expenditure was on higher education in 2014/15.*
- *International financing in education in Ethiopia is provided in a harmonized manner; however, due to unequal investments across education sub-sectors there is a heavy reliance on DPs for critical education inputs.*
- *GPE's financial contribution to overall ESDP V implementation costs is relatively small at 1.2 percent, but the contribution to General (Basic and Secondary) education in ESDP V implementation costs is more significant at approximately 11.4 percent.*
- *While at this stage of the evaluation there is no evidence of GPE leveraging additional international financing in Ethiopia, GPE advocacy, through the Country Lead, has contributed to the government contributing US\$10 million to school grants for the first time.*

### Assessment of sector financing

#### Domestic financing

107. Over recent years, Ethiopia has held education expenditure at approximately 25 percent of the GoE budget, of which approximately 60 percent has been allocated to recurrent expenditure<sup>16</sup>. This is above the GPE target, which states that 20 percent of the budget be allocated to education. Thus, the total amount of allocation to the education sector does not seem to be a major issue in Ethiopia.

108. The quality of financing, however, is problematic. In 2014/15, nearly half of all education expenditure was on higher education, contrary to GPE's guidance. During that period, due to the construction and expansion of universities, per student spending on higher education was approximately 35 times greater than what was spent on basic and secondary education (specifically, per pupil expenditure was US\$69 at primary school level, US\$145 for lower-secondary, US\$640 at upper-secondary and US\$3,612 at tertiary level) in 2014/15

109. In 2014/15, 60 percent of education expenditure was recurrent – of which teacher salaries took up approximately 70 percent. The rest of the expenditure was on capital, although this was predominantly allocated to building a third generation of universities. The national figures for per pupil spending hide huge variation between regions. The ESDP V reports that, in 2011, Addis Ababa registered the highest recurrent unit costs – at more than seven times the national average.

<sup>16</sup> These figures are drawn from the GPE application form in 2016.

110. Education in Ethiopia is decentralized, and this is reflected in expenditure patterns. Between 2006 and 2011, the share of federal-level expenditure fell from 60 percent to approximately 47 percent. Since then, it has fluctuated around 50/50, with 53 percent federal expenditure in the last available year (2014/15)<sup>17</sup>.

111. The various levels of government have differing priorities and responsibilities, with the federal expenditure heavily weighted towards infrastructural/capital expenditure (64 percent). This, again, is linked to the higher education expansion over this period, with federal government having responsibility for higher education, while the regions are responsible for basic and secondary education and TVET.

### International financing

112. The GoE's commitment to education financing is a key strength of the process in Ethiopia, which is deemed unlikely to change. The long history of external support, alongside strong planning systems, means both government and DPs have long-standing expertise on providing financing in a harmonized manner. Due to the unequal investments across education sub-sectors, stakeholders highlighted a heavy reliance on external partners for critical education inputs such as school grants, textbooks and teacher training, where almost 100 percent of the budget come from DPs. This is a risk if DPs' financial contributions decrease in coming years.

113. Ethiopia receives a large amount of development assistance, estimated at US\$4 billion in 2016 – or 5.6 percent of GNI.<sup>18</sup> The largest contributors to Ethiopia are International Development Assistance (IDA) (US\$953 million), followed by the United States (US\$813 million) and the United Kingdom (US\$484 million). Humanitarian aid is still a large share of this, reaching 25 percent in the latest year. The volume of development assistance has increased noticeably over the last decade and has doubled since 2006 as Ethiopia has looked more toward concessional loans, with grants taking a decreasing share. This has been in part fueled by unrest in the Horn of Africa and migration pressures, which have led to increased international attention to boost development (as opposed to humanitarian) support to a relatively stable country in an unstable region.

114. Support to the education sector in Ethiopia is highly aligned, with most of the donors contributing to a World Bank-administered pooled fund. GEQIP is now in its second phase of an eight-year program and is currently supported by the UK (£119 million 2013–2018), World Bank IDA (US\$130 million) and GPE (US\$169.5 million).<sup>19</sup> GEQIP aims to: “Improve the quality of General Education (Grades 1–12) throughout the country by improving learning conditions in primary and secondary schools and strengthening of institutions at different levels of educational administration”.

115. One advantage of alignment is that financing from DPs can be accounted for in the national budget within the planning cycle. The GEQIP program is named explicitly as a source of funding in the MYAP, with its funds linked to specific activity lines.

### GPE contribution to sector financing

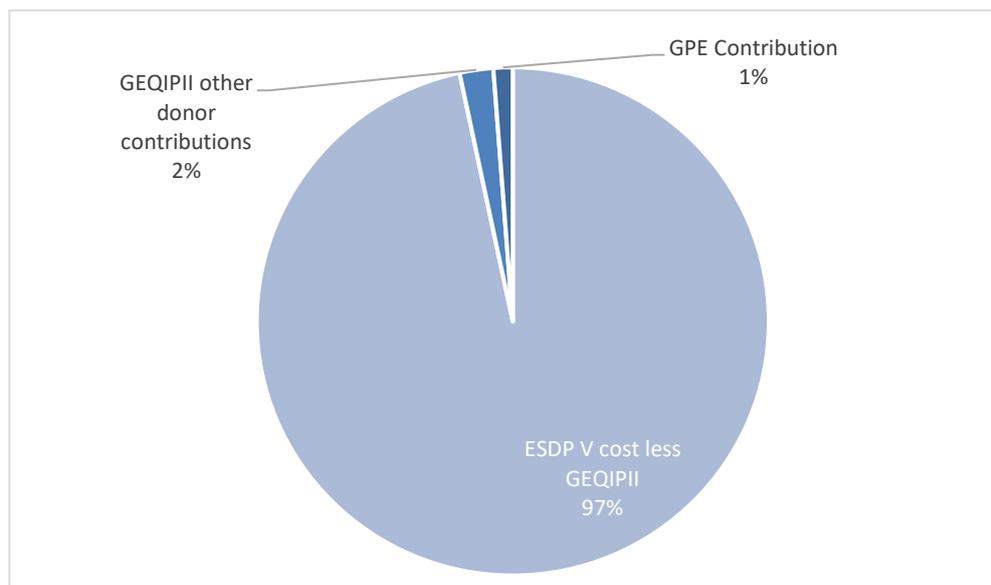
116. As can be seen in Figure 2 and Figure 3 below, while GPE's financial contribution through ESPIGs account for approximately 1.2 percent of total ESDP V implementation costs, once non-General Education implementation costs (Basic and Secondary) are removed the GPE financial contribution to Basic and Secondary education rises to approximately 11.4 percent.

<sup>17</sup> *Ibid.*

<sup>18</sup> OECD DAC data, accessed March 2018.

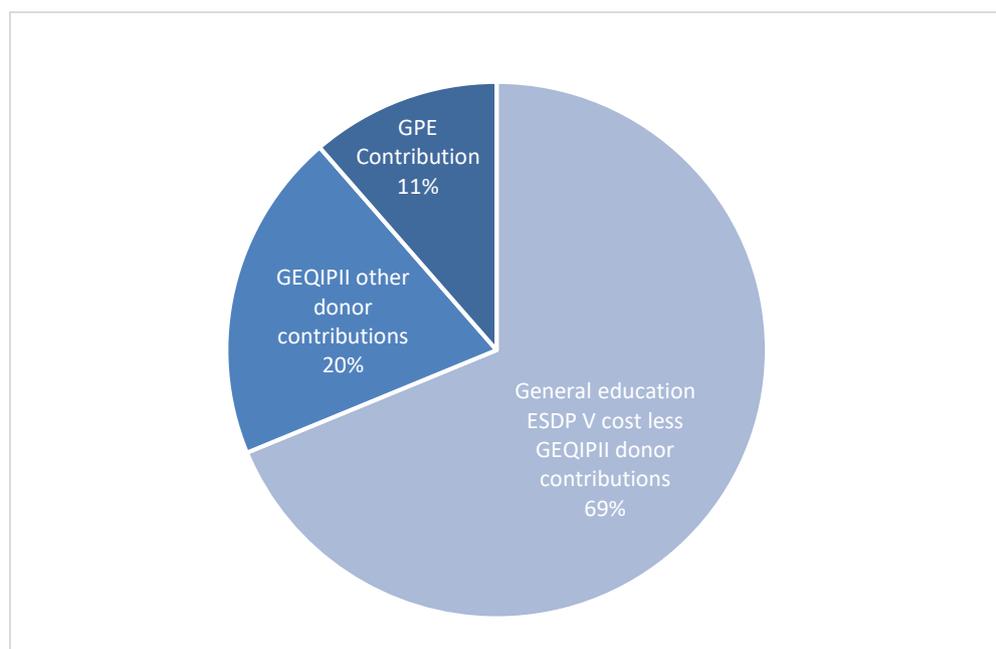
<sup>19</sup> Alongside smaller contributions from Finland: EUR 19.8 million; Italy: EUR 7.5 million; Norway: NOK 80 million; USAID: US\$11 million; UNICEF: US\$1 million.

**Figure 2** GPE and other donor contribution as a percentage of ESDP V implementation costs



Source: Authors' calculation

**Figure 3** GPE and other donor contribution as a percentage of General (Basic and Secondary) ESDP V implementation costs



Source: Authors' calculation

117. In terms of leveraging additional domestic financing, partners highlighted that the focus on increasing expenditure to the basic sector was helpful and, alongside the World Bank and UNICEF analytical reports of education expenditure, provided useful advocacy. It was perceived that this was conducted directly through the GPE Secretariat, rather than indirectly through the GA/Coordinating Agency, and was in part due to the high esteem in which the government held the Country Lead. Through GEQIP-E it was agreed that the GoE will contribute US\$10 million to school grants, which is the first financial commitment made by the government to school grants – showing that GPE and other stakeholders are advocating and influencing allocations to basic education.

118. As Ethiopia already meets GPE's target of 20 percent, there is no space to influence here; rather, the focus has been on the allocation of funds. However, there are issues of comparability here, with differences between the grades to be included in the calculation domestically and internationally, which inhibits strong advocacy. Equally, as the donor support through GEQIP II is highly aligned, there is little scope for GPE to influence further alignment or harmonization.

119. Throughout the stakeholder interviews, while GPE's funding was appreciated and certainly contributes to the existing quality of financing, there was very little to suggest that it contributed to crowding-in additional funding. An assessment of the additionality of GPE in Ethiopia will be undertaken as part of this evaluation prior to endline. There was a perception that GPE support was provided after the design of the pooled fund, rather than that GPE provided support that leveraged new donors.

### 2.1.4 ESP implementation

#### Summary

- *There is limited data available on implementation progress against the ESDP V as a JSR is yet to take place. However, the available data indicates that recommendations on the restructuring of the education sector's organisational structure have been acted on and necessary structures have been installed from the ministry to regional offices and organisations. The lack of data available to monitor ESDP V implementation suggests Component 2 (Regular gathering, processing and sharing of information to inform decision-making) is not on target and progress outside of GEQIP is unknown.*
- *GEQIP, of which the GPE contributes approximately 11 percent of the total cost of implementation, has been rated as moderately satisfactory to satisfactory across all implementation components as at December 2017. Achievements of GEQIP as a whole, as at December 2017, include the distribution of 72 million textbooks, the provision of textbooks in seven mother tongues and braille books for the sight impaired, improving teacher effectiveness, training of 1,000 school leaders, increases in the number of schools developing and using SIPs, increased quality of financing at the school level through SGs, improved data and data utilisation on learning outcomes (through the NLA), an increased number of school inspections. Furthermore, significant progress has been made in compiling and analyzing data generated by the different quality assurance systems (including EMIS).*
- *While there is progress in the area of ICT in education, much remains to be done. There is a tight schedule to deliver to plan and the achievement of targets will require close monitoring and follow-up by MoE.*
- *Through the variable part of the grant, the GPE contribution toward the implementation of ESDP V includes reducing the proportion of low performing schools, the completion of training to O-class teachers in two emerging regions, improving the proportion of female school leaders and increasing the resources available at the school level to support special needs.*

#### Assessment of sector plan implementation

120. There is limited data available to assess progress in implementation as there has not yet been a mid-term review of the fifth ESDP. The last JSR, in 2016, focused on reviewing progress toward the Millennium Development Goals and the ESDP IV. As such, no evidence exists to look at the wider implementation of the fifth sector plan. In order to position the GEQIP program within the wider ESDP V and provide information on implementation, where available, Table 7 outlines the ESDP V components, implementation targets and progress against targets.

Table 7: ESDP V components, implementation targets and progress against targets, where available

ESDP V COMPONENTS <sup>20</sup>	IMPLEMENTATION	TARGET	PROGRESS AGAINST TARGETS
<b>CAPACITY DEVELOPMENT FOR IMPROVED MANAGEMENT</b>			
<b>COMPONENT 1: A RELEVANT STRUCTURE, WITH CLEAR DISTRIBUTION OF MANDATES AND RESPONSIBILITIES AT ALL LEVELS</b>	<ul style="list-style-type: none"> <li>Recommendations for restructuring of education sector's organizational structure implemented</li> <li>Monitoring information on implementation of programs related to all cross-cutting issues is available for every year</li> </ul>	Implemented by 2017 A yearly report and set of data	All the necessary structures have been installed starting from the ministry to regional offices and organizations. Monitoring and evaluations are underway. <sup>21</sup>
<b>COMPONENT 2: REGULAR GATHERING, PROCESSING AND SHARING OF INFORMATION TO INFORM DECISION-MAKING</b>	<ul style="list-style-type: none"> <li>Percentage of key performance indicators for which yearly information is presented and analyzed in the yearly statistical abstract</li> <li>Percentage of a sample of federal, regional, TVET, university and woreda planners and managers who express satisfaction with the quality of the Education Statistical Annual Abstract</li> <li>Percentage of primary and secondary schools that receive yearly school report cards</li> </ul>	100%  80%  50%	No data
<b>COMPONENT 3: GOOD COORDINATION AND</b>	<ul style="list-style-type: none"> <li>Percentage of officers with digitized job specification</li> </ul>	100%  In use at all levels by end	No data

<sup>20</sup> As detailed in the ESDP V Program Action Plan Report (2015).

<sup>21</sup> As reported in the Ethiopia Herald's article *Ethiopia: Education Sector – Striving to scale-up the country's human resources* (16 May 2018) by Yared Gebremeden. The article reports on a recent nine-month performance report presented to the House of Peoples Representative, Dr Tilaye Gete, Education Minister.

ESDP V COMPONENTS <sup>20</sup>	IMPLEMENTATION	TARGET	PROGRESS AGAINST TARGETS
<b>COMMUNICATION WITHIN AND ACROSS LEVELS</b>	<ul style="list-style-type: none"> <li>A comprehensive organizational and administrative procedures/operations manual in Amharic and English available to all staff at all levels</li> </ul>	of 2016	
<b>COMPONENT 4: ADEQUATE SUPPLY OF STAFF WITH THE RIGHT MIX OF SKILLS IN EACH POST/LEVEL</b>	<ul style="list-style-type: none"> <li>Percentage of new staff in technical posts recruited on the basis of a recruitment profile</li> <li>Percentage of woreda officials to have benefitted from professional training related to their area of work</li> </ul>	100% 50%	No data
<b>COMPONENT 5: RESOURCES AND CONDITIONS OF WORK</b>	<ul style="list-style-type: none"> <li>Percentage of regional (including TVET), zone and woreda offices with the minimum level of material and financial resources</li> </ul>	100%	No data
<b>GENERAL EDUCATION QUALITY</b>			
<b>COMPONENT 1: TEACHERS' AND LEADERS' DEVELOPMENT</b>	<ul style="list-style-type: none"> <li>Annual attrition rate of teaching staff</li> <li>Percentage of new intakes to teacher training institutions (including university graduates) who score greater than 2.60 in Grade 10 examination</li> <li>Percentage of pre-primary teachers who are qualified with ECCE multi-year diploma</li> <li>Percentage of teachers who report satisfaction with their job</li> <li>Percentage of appropriately qualified teachers in Grades 1–4</li> <li>Percentage of teachers that are licensed (primary and secondary)</li> <li>Percentage of school leaders (principals and supervisors) that are female</li> <li>Percentage of primary schools with licensed school leaders/principals</li> </ul>	2% 35% 15% 90% 100% 70% 20% 100%	Satisfactory
<b>COMPONENT 2: CURRICULUM, TEACHING AND LEARNING MATERIALS</b>	<ul style="list-style-type: none"> <li>Establish a new curriculum development institute by 2017</li> <li>Percentage of all subjects with revised curriculum relevant to a lower-middle-income economy</li> <li>Student-to-textbook ratio (all institutions, all subjects, all grades)</li> <li>Percentage of primary schools offering varieties of supplementary literacy/numeracy materials</li> <li>Percentage of CTEs with required new curricular resources</li> </ul>	100% 1: 1.2 100% 100%	Satisfactory
<b>COMPONENT 3: SCHOOL IMPROVEMENT PROGRAM</b>	<ul style="list-style-type: none"> <li>School report card displayed on the school notice board</li> <li>Percentage of schools using at least half of their school grant allocation for teaching/learning domain</li> <li>Percentage of schools developing and implementing a high-quality school improvement plan</li> </ul>	50% 60% 100% 96%	Moderately Satisfactory

ESDP V COMPONENTS <sup>20</sup>	IMPLEMENTATION	TARGET	PROGRESS AGAINST TARGETS
	<ul style="list-style-type: none"> <li>Teacher attendance rate</li> <li>Percentage of schools that meet or are above the expected standard of school 'inputs' as per inspection standards</li> <li>Percentage of schools that meet or are above the expected standard of school 'processes' as per inspection standards</li> </ul>	70% 70%	
<b>COMPONENT 4: INFORMATION AND COMMUNICATIONS TECHNOLOGY</b>	<ul style="list-style-type: none"> <li>Percentage of secondary schools with access to computer-assisted instruction</li> <li>Percentage of secondary schools equipped with internet to access digital education resources</li> <li>Percentage of secondary schools with access to television-assisted instruction</li> <li>Percentage of primary schools accessing radio-based learning resources</li> <li>Percentage of digital learning resources with accessible version for students with special educational needs</li> </ul>	50% 50% 100% 100% 100%	Moderately Satisfactory
<b>COMPONENT 5: QUALITY ASSURANCE</b>	<ul style="list-style-type: none"> <li>Percentage of institutions that have been externally inspected once</li> <li>Percentage of woredas that are conducting inspection activities</li> <li>Percentage of schools reaching a higher level upon re-inspection</li> <li>Percentage of teachers who have undertaken the licensing process</li> <li>Percentage of CTEs that are accredited</li> <li>Percentage of questions in G4/G8/G10/G12 NLA and in national examinations at G10/G12 that come from item bank</li> <li>Percentage of woredas with at least one copy of each examination or assessment report produced since 2015</li> <li>Percentage of G10 and G12 children with special needs who sit for the national examination (with adaptations if needed)</li> </ul>	100% 100% 55% 90% 100% 100% 100% 100%	Moderately Satisfactory
<b>ADULT AND NON-FORMAL EDUCATION</b>			
<b>COMPONENT 1: EXPANDING IFAE AND POST-IFAE PROGRAMS IN ALL REGIONS</b>	<ul style="list-style-type: none"> <li>Percentage of illiterate 15–60 year olds having graduated from two-year IFAE program</li> <li>Percentage of IFAE completers participating in post-literacy activities through community learning programs</li> <li>Percentage of adult literacy centers upgraded to community learning centers</li> </ul>	100% 15% 25%	No data
<b>COMPONENT 2: IMPROVING FEMALE PARTICIPATION IN</b>	<ul style="list-style-type: none"> <li>Percentage of two-year IFAE program graduates who are female</li> <li>Percentage of IFAE and post-IFAE facilitators who are female</li> </ul>	70% 40%	No data

ESDP V COMPONENTS <sup>20</sup>	IMPLEMENTATION	TARGET	PROGRESS AGAINST TARGETS
<b>IFAE AND POST-IFAE PROGRAMS</b>			
<b>COMPONENT 3: INTRODUCING CONTINUING EDUCATION PROGRAMS IN EMERGING REGIONS</b>	<ul style="list-style-type: none"> <li>Percentage of emerging region adult students participating in adult continuing education programs (apart from IFAE courses)</li> <li>Number of ministries, NGOs and private organizations offering continuing education programs to adult learners in the emerging regions</li> </ul>	15%  Five per region	No data
<b>COMPONENT 4: IMPROVING THE QUALITY OF ANFE</b>	<ul style="list-style-type: none"> <li>Minimum standards for IFAE and all kinds of ANFE programs developed and implemented</li> <li>EMIS and quality assurance systems supporting IFAE and other ANFE programs developed and operational</li> <li>Minimum standards for community learning centers developed</li> <li>Percentage of IFAE facilitators who have undergone the full cycle of facilitator training</li> <li>Percentage of program managers and experts who have received training on ANFE-related issues</li> </ul>	For all programs by 2016 For all programs by 2017 By 2016 80% 50%	No data
<b>COMPONENT 5: CREATING A STRONG AND EFFICIENT INSTITUTIONAL SYSTEM FOR ANFE AT ALL LEVELS</b>	<ul style="list-style-type: none"> <li>A policy and legislative framework for adult and lifelong learning developed and executed by 2016</li> <li>Number of regional adult education boards providing support to ANFE programs</li> </ul>	July 2016 11	No data
<b>TVET</b>			
<b>COMPONENT 1: OCCUPATIONAL STANDARDS DEVELOPMENT AND ASSESSMENT</b>	<ul style="list-style-type: none"> <li>Percentage of industry sectors using Occupational Standards for their human resource development</li> <li>Percentage of TVET trainees (formal and non-formal) who are assessed on completion of training</li> <li>Percentage of industry workers who are competent</li> </ul>	60% 100% 35%	No data
<b>COMPONENT 2: TRAINEE DEVELOPMENT AND INSTITUTIONAL CAPACITY BUILDING</b>	<ul style="list-style-type: none"> <li>Enrolment in formal TVET (levels one to five)</li> <li>Number of trainees having completed short-term training</li> <li>Percentage of training completers assessed as competent</li> <li>Employment rate of formal TVET training completers</li> <li>Number of internationally certified welders</li> </ul>	564,054 1,470,663 75% 90% 4,000	No data

ESDP V COMPONENTS <sup>20</sup>	IMPLEMENTATION	TARGET	PROGRESS AGAINST TARGETS
<b>COMPONENT 3: INDUSTRY EXTENSION AND TECHNOLOGY TRANSFER SERVICES</b>	<ul style="list-style-type: none"> <li>Number of MSEs supported by industry extension service</li> <li>Number of MSE operators, having received extension services, who are assessed and competent</li> <li>Number of demanded technologies identified through value chain analysis and transferred to MSEs</li> </ul>	567,115 1,950,514 7,379	No data
<b>HIGHER EDUCATION</b>			
<b>COMPONENT 1: UNIVERSITY EXPANSION AND CONSOLIDATION</b>	<ul style="list-style-type: none"> <li>GER in higher education</li> <li>Public university second degree (Master's) enrolment capacity</li> </ul>	15% 56,000	No data
<b>COMPONENT 2: EQUITY ENHANCEMENT</b>	<ul style="list-style-type: none"> <li>Share of female enrolment in undergraduate programs</li> <li>Share of female enrolment in undergraduate science and technology programs</li> <li>Percentage of female teaching staff</li> <li>Number of students with special educational needs</li> <li>GER of students from emerging regions</li> </ul>	45% 45% 25% 3,000 5%	No data
<b>COMPONENT 3: RELEVANCE AND QUALITY ENHANCEMENT</b>	<ul style="list-style-type: none"> <li>Share of graduates with degree-relevant employment within 12 months after graduation</li> <li>Teachers' qualifications mix (first, second and third degrees)</li> <li>Completion rate of first year undergraduates</li> <li>Undergraduate students' graduation rate<sup>1</sup></li> </ul>	80% 0:70:30 95% 70%	No data
<b>COMPONENT 4: RESEARCH, TECHNOLOGY TRANSFER AND COMMUNITY ENGAGEMENT</b>	<ul style="list-style-type: none"> <li>Percentage of research funds secured from industry and international sources</li> <li>Percentage of public universities that have 'adopted' a secondary school for shared learning</li> <li>Percentage of research projects jointly run by universities and industries</li> <li>Number of technologies successfully applied through collaboration with TVET sub-sector</li> </ul>	50%  100% 50% 500	No data
<b>COMPONENT 5: INSTITUTIONAL COLLABORATION, LEADERSHIP AND GOVERNANCE</b>	<ul style="list-style-type: none"> <li>Percentage of universities with clean performance audits</li> <li>Percentage of institutions that implement national leadership and management appointment guidelines</li> <li>Percentage of student cost sharing</li> </ul>	100%  100% 20%	No data

## GPE contribution to sector plan implementation

121. While GPE's financial contribution to the total education sector plan implementation is around 1 percent, the GPE contribution as a percentage of General (Basic and Secondary) ESDP V implementation costs is 11 percent. Implementation reports for GEQIP are available on a six-monthly basis, which allows for a high-level quantitative update on progress toward outcome targets. However, no detailed analysis is publicly available of progress on a regular basis. For example, the ninth JSR reports that the dropout rate fell and is expected to be on target but does not explain this in any more detail or provide discussions of the underlying drivers of these changes (such as gender disaggregation, or if any regions were progressing more quickly or slowly, why, and what is being done to help).

122. **Past and present project ratings:** The project has been rated as moderately satisfactory (MS) or Satisfactory (S) across all components from July 2016 to December 2017, with the exception of ICT in Education, which was rated Moderately Unsatisfactory (MU) in 2016. Table 8 outlines performance ratings across program areas and Table 9 outlines the details of implementation for each component, mapping program components to the broader ESDP V components.

**Table 8:** Summary of project performance in key areas

Performance ratings areas	July 2016	June 2017	December 2017
Progress toward achievement of PDO	MS	MS	MS
Implementation progress	MS	MS	MS
Component 1: Curriculum Implementation and Teaching and Learning Materials	MS	S	S
Component 2: Teachers and Education Leaders' Development Program	MS	S	S
Component 3: School Improvement Program	MS	S	MS
Component 4: System Management and Capacity Building Program	MS	MS	S
Component 5: ICT in Education	MU	MS	MS
Component 6: Program Planning, Coordination, Monitoring and Evaluation, and Communication	MS	S	S
Project Management	MS	MS	S
Financial Management	MS	MS	MS
Procurement	MS	MS	MS

123. Table 9 maps GEQIP II Program components against ESDP V components in order to illustrate how GEQIP implementation contributes to the overall implementation of the sector plan. Progress and milestones are also provided.

Table 9: GEQIP II program components, ESDP V components, progress and milestones

GEQIP II PROGRAM COMPONENT	ESDP V COMPONENTS <sup>22</sup>	PROGRESS AS AT DECEMBER 2017 <sup>23</sup>	MILESTONES TO BE IMPLEMENTED FOR THE PROJECT TO PERFORM SATISFACTORILY
Component 1: Curriculum Implementation and Teaching and Learning Materials	General Education, Component 2: Curriculum, Teaching and Learning Materials	<p>To date, 72 million textbooks have been distributed to regions and woredas for onward distribution to schools and 106 million are either under distribution or development and printing, or procurement.</p> <p>The project has been supporting the provision of textbooks in seven mother tongues, braille books for the sight impaired to promote equity, and supplementary materials in mother tongues, mathematics and science to reinforce knowledge and skills learned in class.</p> <p>Out of the delivered textbooks, 26.7 million are primary mother tongue textbooks. While this has led to nearly reaching the national average of 1:1 textbook–student ratio, there are variations across regions and schools, with some experiencing shortages.</p>	<p>By December 2017, complete BER for Grades 5–8 Amharic for Oromiya. By mid-January 2018, complete BER for G1–8 English.</p> <p>By mid-January 2018, open letter of credit for Grades 7–10 supplementary materials.</p> <p>By mid-February 2018, open letter of credit for G9–12 braille, G1–8 English and G5–8 Amharic.</p> <p>By March 31, 2018, finalize the textbook survey.</p> <p>Between January and March 2018, pilot the textbooks track-and-trace system in 25 schools in selected regions.</p>
Component 2: Teachers and Education Leaders' Development Program	General Education Component 1: Teachers' and leaders' development	<p>The component directly relates to PDO 2 in improving teacher effectiveness, which is measured using an index that is an average value of four school inspection standards related to teachers' practice. Since the Mid Term Review, PDO indicator 2 has improved for both Level 1 and Level 2 schools. In addition, since the MTR in June 2016 progress has been made in the implementation of major activities under the different sub-components.</p> <p>For example, at the end of 2016/17, 1,000 school leaders have graduated from the program and it is expected that 600 will complete their program before project closing on July 7, 2018.</p>	<p>By June 2018, prepare complete and up-to-date information (gender disaggregated) on cumulative number of teachers trained in pre-service and in-service to fully understand the project's support.</p> <p>Also, undertake analysis of re-inspection data to assess progress on teacher effectiveness.</p>

<sup>22</sup> As detailed in the ESDP V Program Action Plan Report (2015).

<sup>23</sup> Aide Memoire. Implementation Support Mission for Ethiopia General Education Quality Improvement Project II. December 2017.

GEQIP II PROGRAM COMPONENT	ESDP V COMPONENTS <sup>22</sup>	PROGRESS AS AT DECEMBER 2017 <sup>23</sup>	MILESTONES TO BE IMPLEMENTED FOR THE PROJECT TO PERFORM SATISFACTORILY
		All of the intermediate indicators related to Component 2 have been met or are very close to being met by the end of the project.	
Component 3: School Improvement Program	General Education Component 3: school improvement program	<p>Due to significant delays with the school grant disbursements in several regions, the rating for Component 3 is downgraded from Satisfactory to Moderately Satisfactory. In the final year of GEQIP II implementation, MoE is focused on strengthening the evidence-based SIP planning and implementation. This is helping to showcase and promote the best practices in SIP and SG utilization, enhancing the links between SIP and the inspection processes, and monitoring and evaluation of the impact of SIP and SG programs. Schools visited during the mission had both annual and strategic SIPs in place.</p> <p>They were clear on the priorities of SIP and SG spending and reported that identification of priorities of SIP and SG budgets was done in partnership with community stakeholders. Schools knew the exact amount of the SG they would receive (they have been informed on the amount of SG allocation via a letter, including for O-class and for special needs students). As required, they plan to spend 50 percent of their SG budget on supporting the teaching and learning process. This will be verified through the SG evaluation to be completed by the end of March 2018 in line with the GEQIP II AF/restructuring Project Paper (PP).</p>	<p>By January 2018, the 2017/18 school grant reaches all schools</p> <p>By Marcy 2018, finalize the SIP/SG evaluation survey</p>
Component 4: System Management and Capacity Building Program	Capacity Development for Improved Management Component 2: Regular gathering, processing and sharing of information to	<p>Quality assurance systems: The NEAEA has undertaken Grade 4, 8, 10 and 12 NLAs under GEQIP II, analyzed the data and prepared several reports. These reports have been shared with other directorates through presentations and the process of printing the reports for wider dissemination is underway. In addition, the NEAEA has prepared calibrated items for Grades 4, 8, 10 and 12</p> <p>NLAs as well as national examination items for Grade 10: These items need to be banked into the newly procured Item Bank Management Software in order to fully meet the intermediate indicator. The Licensing and Relicensing Department has tested more than 227,000 teachers and</p>	By March 2018, pilot field testing on school readiness assessment (MELQO); dissemination of the results of fifth G10 and G12 NLA; validate NLA items stored into Item Bank Management Software; conduct capacity building training for woreda staff

GEQIP II PROGRAM COMPONENT	ESDP V COMPONENTS <sup>22</sup>	PROGRESS AS AT DECEMBER 2017 <sup>23</sup>	MILESTONES TO BE IMPLEMENTED FOR THE PROJECT TO PERFORM SATISFACTORILY
	inform decision-making	<p>school leaders, exceeding the target of the intermediate indicator. Some analysis, including item gap analysis, has been conducted. However, limited progress has been made on sharing the findings with other relevant directorates and teacher training institutions. The GEID has conducted re-inspections of Level 1 and Level 2 schools in 2016/17 and was exceeding the target of the intermediate indicator on conducting school inspections. Although the data collection was delayed, since June 2017 detailed re-inspection data from 22,798 schools has been compiled and partially analyzed. Overall since the June 2017 mission, significant progress has been made, especially with regard to compiling and analyzing data generated by the different quality assurance systems.</p> <p>EMIS: Encouraging progress has been made in collecting and compiling school census data since the June 2017 mission. Specifically, the full 2016/17 EMIS school census data has been collected and currently the EMIS Directorate is in the process of finalizing the annual ESAA. However, the intermediate indicator related to this sub-component, which requires that the ESAA be published by October 2017, has not been met. This delay in data collection and reporting is significantly affecting the capacity of the MoE to properly plan activities and monitor the key indicators of GEQIP II. Based on field visits and preliminary analysis of the data, a number of data quality issues have also been identified and will need to be addressed.</p> <p>In addition, the project is supporting capacity development activities for experts at MoE, REB and woreda levels as well as school leaders through short-term trainings. To provide increased support to emerging regions, 24 consultants hired by the project are continuing their support in Afar, Benishangul Gomez, Gambelia and Eth. Somali regions.</p>	
Component 5: ICT in Education	General Education, Component 4. ICT in Education	The implementation progress of this component has been delayed since the start of the project but picked up pace in 2017. It is rated as moderately satisfactory but much remains to be done. The installation	By February 2018, finalize the selection of consultants for (i) CEICT capacity building, (ii) development of an autonomous agency for ICT in

GEQIP II PROGRAM COMPONENT	ESDP V COMPONENTS <sup>22</sup>	PROGRESS AS AT DECEMBER 2017 <sup>23</sup>	MILESTONES TO BE IMPLEMENTED FOR THE PROJECT TO PERFORM SATISFACTORILY
		<p>of e-cloud infrastructure started in November 2017 in two secondary schools.</p> <p>Installation and commissioning in all 300 secondary schools and 10 universities is planned to be completed by May 2018, which is a very tight schedule and will require very close monitoring and follow-up by MoE. The selection of consultancy services for developing the e-learning management system has been delayed. MoE needs to speed up the selection process in order to set up the system in parallel with the roll-out of the ICT infrastructure.</p>	<p>education; (iii) development of ICT competency framework for teachers; and (iv) development of LMS.</p> <p>By March 2018, finalize procurement of education tablets and mobile phones.</p> <p>By May 2018, complete installation and commissioning of the e-cloud infrastructure.</p>
Component 6: Program Planning, Coordination, Monitoring and Evaluation, and Communication	N/A	<p>The mission notes that the progress of this component remains satisfactory. The project has disbursed or committed about US\$446.6 million. About US\$75 million remains to be disbursed mainly for textbooks, teacher training, additional SGs and capacity building. The MoE is revising the project's work plan and budget to ensure maximum use of the remaining undisbursed balance. The Bank and MoE teams will closely monitor progress and address any implementation bottlenecks, and take remedial actions as required.</p> <p>Key priorities for the next six months include: completion of procurement and delivery of textbooks, including textbooks for G7–10 supplementary materials, G1–8 English, G5–8 Amharic for Oromiya, and G9–12 braille, worth about \$45 million; installation and commissioning of ICT infrastructure in 300 secondary schools and 10 universities; and gathering of credible information on the outcomes of the project to demonstrate its achievements.</p>	<p>By December 31, 2017, submit the revised 2017/18 AWPB and revised procurement plan.</p> <p>By March 2018, complete the textbooks survey, SG evaluation and comprehensive evaluation.</p>

124. As discussed earlier, the GPE grant has two parts – a fixed part and a variable part. The fixed part serves as additional financing for the implementation of GEQIP II and the variable part of the grant is a standalone project both supporting the ESDP V. The fixed part contributes to the financing gap within the program. Table 10 outlines the goals, targets, achievements and eligible payments for Year One, indicating that GPE’s contributions include reducing the proportion of low performing primary schools, improving the capacity of O-class teachers, addressing the gender balance in school leadership and supporting special needs at the school level.

**Table 10: Disbursements linked to indicators for Year One<sup>24</sup>**

GOAL	TARGET	ACHIEVEMENT	ELIGIBLE PAYMENT (USD)
Reducing the proportion of low performing primary schools	Upgrade 40 primary schools from Level 1 to Level 2	20 schools out of the baseline of 179 schools inspected in 2006/07 have upgraded from Level 1 to Level 2	1,250,000
Improving the learning environment of O-classes in two emerging regions by increasing the capacity of O-class facilitators	More than 90 percent of O-class teachers in the Benishangul-Gumuz region completed training package and O-class national minimum teaching and learning material package defined and supplied for Benishangul-Gumuz region	497 O-class teachers have completed the training to deliver an early childhood education curriculum package. Teaching and learning materials have been procured	4,000,000
Addressing the gender balance in school leadership by increasing the number of trained female primary school principals	Appoint an additional 1,020 trained female primary school principals to reach 4,170 females	748 trained female primary school principals (main and vice principals responsible for academic, administrative or organizational issues) have been appointed	1,100,308
Encouraging more inclusive learning environments by increasing the SG allocation to support special needs	Each region receives and uses an additional 2 percent on top of their actual SG allocation to specifically support special needs	The 2 percent additional SGs have been disbursed to all regions. The SG has been utilized by all regions and a sample survey has been produced confirmed this achievement indicating utilization, impact and challenges	1,500,000

### 2.1.5 Alternative explanations and unintended/unplanned effects

125. For prospective evaluations, confirming and refuting alternative explanations is undertaken iteratively throughout the evaluation. In this first Annual Report we have assembled the contribution story and provided a ToC, with indicators to track to confirm or refute alternative explanations. The evaluation team will continue to add to the list of alternative explanations as the evaluation progresses.

<sup>24</sup> Year 1 Report on the Progress Towards Attainment of DLEs under Variable Part Grant Approved by GPE in February 2017 (November 2017).

126. Changes in education sector planning, dialogue and monitoring, financing and implementation can occur due to a wide variety of factors. To be able to assess if GPE has contributed to each at endline, potential alternative explanations will be identified throughout the evaluation process and evidence confirming or refuting each alternative explanation will be sought. Below, potential alternative explanations for observed changes are outlined.

### Confirming and refuting alternative explanations

127. At this stage, the alternatives are in their infancy, so it is not possible to fully list each alternative explanation or confirm or deny them. During the review period, it will be necessary to track the review documentation for these programs to ascertain the extent to which these could be driving forces behind changes.

128. Emerging alternative explanations to changes in mutual accountability for education sector progress include:

- The rise in donors trying alternative approaches, such as the DFID Quality Education Strategic Support Program, which seeks to implement reforms and enhance policy dialogue with the Ministry of Education.
- The changing political situation in Ethiopia over the last few years. Ethiopia has been experiencing recurrent mass protests and ethnic conflicts that have led to displacement and even deaths. The highly centralized development policymaking process has been increasingly challenged, even as party membership has increased substantially. This has, in some ways, led to an opening up of the political space, with a new Prime Minister being appointed in early 2018.

129. Emerging alternative explanations to changes in the effective and efficient implementation of sector plans includes the move within the wider GEQIP program and the education community toward results-based management of programming.

130. For the purposes of this evaluation, it is important to note other programs that may be taking place during the evaluation period. One such example is GEQIP-E, the new sector funding modality that GPE may or may not support in the future. In addition, DFID had a smaller (£10 million) Quality Education Strategic Support Program (QESSP), which provided technical assistance to the Ministry from 2013 to 2018 to improve evidence-based programming and support capacity building. Focal areas for QESSP II included sector strategic planning, communications and M&E.

### Unintended consequences of GPE financial and non-financial support

131. Little evidence on this area was identified in the First Annual Mission, however the possibility of moving to a fully results-based program for GEQIP-E may have the unintended consequence of forcing a discussion on funding modalities for the next GPE grant. This will be explored in the next annual report.

132. The introduction of the variable tranche had the unintended positive consequence of empowering the LEG in the sector dialogue, by shifting away from the predetermined results within the GEQIP program. This influenced the local politics of education support within Ethiopia and was praised by stakeholders for reinvigorating technical discussions with the regular meetings.

## 2.2 Progress toward a stronger education system

### Summary

- *Ethiopia has made substantial progress in education, however the massive expansion of enrolment into primary school in recent years has placed pressure on the education system.*
- *There have been improvements in the structures and features of Ethiopia's education system, however the system still requires improvement. Pupil-teacher ratios remain high, with inequalities across regions. Pupil to trained teacher ratios are higher and vary across regions and within the school cycle.*
- *The EMIS in Ethiopia is functioning but has several weaknesses. There are regional disparities in the quality of data. Only five of the 12 key GPE indicators were reported to UIS in 2015, with gaps in relation to primary school survival and transition rates from primary to secondary. The EMIS system has grown in strength throughout its operation for the past two sector plans. Achievements include EMIS offices in all woredas/districts and the annual survey of schools effectively completed. The EMIS also includes a School Management Information System (SMIS) and a Teacher Management Information System (TMIS) to support the collection of data needed to improve planning and evidence-based decisions.*
- *A National Learning Assessment (NLA) is in place and has taken place since 2000 at Grades 4 and 8 until 2008, when Grade 10 and 12 were added. The national public examination system has been in place since 1950 for grades 8, 10 and 12 and is used for the purpose of promotion, selection and certification of students.*
- *Primary 1 completion was last reported in UIS data in 2014 at 8 percent, suggesting many children do not progress successfully through the entry grade each year and often used as an indicator of system efficiency.*
- *The improvements in EMIS through the implementation of ESDP III, IV and V support the contribution claim that ESP implementation contributes to system level change. However, the contribution of ESDP V to other system level changes remains to be observed. Future Annual Reports will examine whether any additional noticeable changes have taken place within the system and assess to what extent this have been influenced by ESDP implementation.*

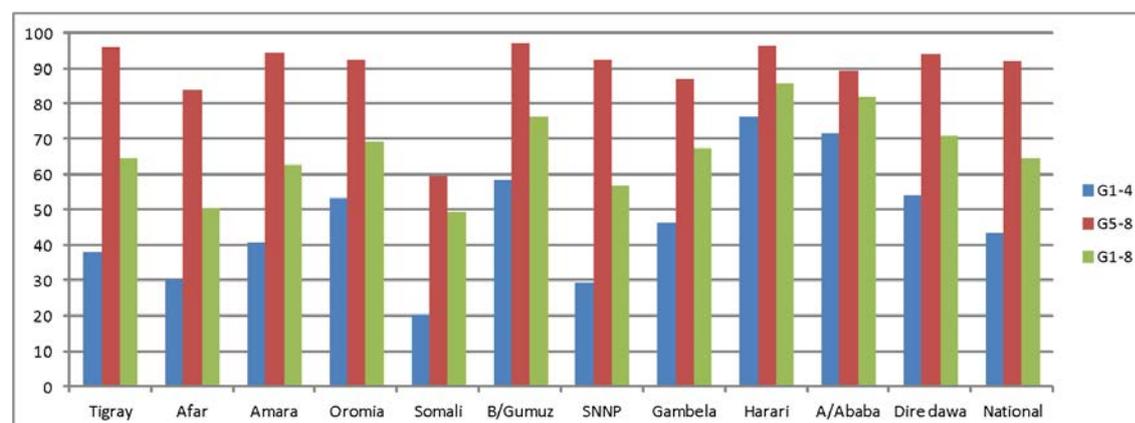
### 2.2.1 Teachers

133. The GoE has built a relatively robust system within education with respect to access, although there are noticeable issues around quality. At the system level, Ethiopia, as with many developing countries, has seen a massive expansion of enrolment into primary school in recent years. It is unsurprising that this has placed pressure on the education system, with evidence showing that existing challenges have increased as large numbers of first-generation learners have entered schools, changing the composition of the classrooms.

134. Teachers are at the heart of the education system and are the most obviously amenable to policy inputs by governments. Teachers play a critical role in improving learning outcomes and are the most important school-based factor in predicting student learning. However, teachers are often the most complex educational input, as they involve many (usually) civil servants, who often suffer from weak incentives, management and oversight. Teacher salaries usually encompass the largest share of recurrent education expenditure.

135. At the simplest level, one systemic measure of the quantity of teachers is the pupil-teacher ratio. In Ethiopia, UIS data on teachers was last available for the school year 2011/12. This shows, in primary school, a pupil-teacher ratio of 55:1 in 2011; falling to 43:1 in lower-secondary. As expected, the ratio of pupils to trained teachers is higher, and is last reported in UIS at 68:1 in primary school for 2009. DFID's annual report shows that the pupil-to-qualified-teacher ratio stood at 57:1 in 2015/16 for primary schools. These figures vary across regions, as well as within the school cycle. Figure 4 uses data reported in the 2014 Education Sector Situation Analysis to look at the share of teachers who were qualified in 2012/13.

**Figure 4: Share of teachers that are qualified, by region and grade**



Source: ESDP Situation Analysis 2014

136. Across all regions, the share of teachers who are qualified is far higher for upper-primary grades than for lower primary. For grades 5–8, over 90 percent of teachers are qualified; compared to just over 40 percent for the earlier grades. Given the high levels of need and importance of getting the foundations right for children to progress, this could be an inefficient allocation of resources. These figures vary across regions, from a low of 50 percent in Somali region to a high of over 85 percent qualified in Harari.

137. A regulatory body for teachers was established in 2011/12 and is responsible for the effective deployment of professionally competent teachers and leaders. Its system of licensing and relicensing can assess professional competencies based on predetermined standards. In 2012/13 and 2013/14, a total of 27,809 primary teachers and 4,781 secondary teachers sat a licensing exam for credentialization. At the primary level, the majority (59 percent) of teachers scored less than 50 percent, with only 3 percent scoring above 70 percent.

**Table 11: Teacher licensing exam pass rates (2012–2014)**

	Teachers who scored 70% and above			Teachers who scored between 49.5% and 69.5%			Teachers who scored less than 49.5%			Total examinees		
	M	F	T	M	F	T	M	F	T	M	F	T
Secondary	668	97	765	1,628	287	1,915	1,652	386	2,038	3,948	770	4,718
	17%	13%	16%	41%	37%	41%	42%	50%	43%			
Primary	610	357	967	6,094	4,248	10,342	7,823	8,667	16,490	14,537	13,272	27,809
	4%	3%	3%	42%	32%	37%	54%	65%	59%			

Source: ESDP Situation Analysis 2014

138. There are further indicators on teachers that could potentially be utilized over the evaluation period, which are detailed in turn below. However, these indicators have not been available or have only been provided for one point in time.

1. An outcome indicator of an improvement in teacher effectiveness, as measured by an index of average scores of inspection standards on teachers' knowledge, lesson planning, teaching practices and assessment practices.
2. GPE R<sup>2</sup> ratio of teacher allocation.
3. Gender of teachers.

### 2.2.2 EMIS, Teacher Management Information System, Geographic Information System and School Management Information System

139. The EMIS has several weaknesses but is functioning, although stakeholders raised challenges around the quality of the decentralized data. In Ethiopia, access to raw data seems to be limited. Ethiopia does not participate in regional or international testing exercises but does report regularly to UIS. The latest year for which education sector data are available within the UIS database is 2015, however only five of the 12 key GPE indicators were reported in 2015. Whilst sector data are available within UIS from 2005 (except for 2012/13 in which no data were provided), there are gaps in relation to recent data on primary school survival and transition rates from primary to secondary. The Education Statistical Abstract has not been published online since 2011/12, creating issues for external parties attempting to access information (although these were available easily within the country).

140. The ESDPs III, IV and V all focus on improved reliability, capacity for use and utilization of EMIS. The ESDP IV suggests strengthening the EMIS system at the decentralized levels, as a precondition for strengthening decentralized planning capacities. As part of the ESDP IV monitoring framework, the development of school WASH indicators integrated into the EMIS and the development of a TVET EMIS for strategy monitoring were included as targets. In addition, developing and linking a school mapping database using a Geographic Information System (GIS) with EMIS for educational planning was an area identified for strengthening and in addition to capacity development to support the use of GIS and EMIS at federal, regional and *woreda* levels. Professional development programs in EMIS and the reinforcement of communication and collaboration between policymakers, planners and EMIS experts at all levels was identified as part of the ESDP IV.<sup>25</sup>

141. The ESDP V states that Ethiopia's EMIS system had grown in strength throughout its operation for the past two sector plans. Achievements include EMIS offices in all *woredas/Districts* and the annual survey of schools being completed effectively, although there have been delays. The ESDP V identified the following challenges: limited capacity in the collection, analysis and use of data, as well as a lack of skilled staff; poor ICT infrastructure; and a need to improve the reliability, analysis and distribution of EMIS information to facilitate its use (for decision-making and resource allocation).<sup>26</sup>

142. Based on the historical achievements in growing the EMIS, the ESDP V identified the need for two new functions: A School Management Information System (SMIS) and a Teacher Management Information System (TMIS). The SMIS was planned to focus on school-level performance data related to activities to be implemented by school leaders, beginning with a trial in selected schools and regions before a larger rollout.

143. The TMIS was designed to collect detailed information on teachers throughout their career and a process to begin tracking the distribution of teachers in school across the country was identified for implementation. TMIS is a module within the overall EMIS system and provides data on teacher

<sup>25</sup> ESDP IV 2010. Available at <https://www.globalpartnership.org/content/ethiopia-education-sector-development-program-iv-2010-2015>

<sup>26</sup> ESDP V 2015.

qualifications, licensing status, career progression and years of experience, among others. Each teacher has a record in the system, linked to schools in order to identify distribution.

144. The ESDP V identified that the EMIS and TMIS system was functional but weak. ESDP V prioritized investment in the system to ensure the system collects and records reliable data, that data are linked and that linking to the GIS progressively takes place. In addition, linking at the school level for data from previous years (five to 10 years) was identified to be undertaken. A training program to strengthen capacity in the application of current technologies was undertaken.

145. In August 2016, the JSR reported that a strength of the EMIS administrative data system was that it captures data on in-school children with special education needs and categorizes these needs. However, more broadly, the report recommends revitalizing and strengthening the EMIS national taskforce with clear terms of reference and a roadmap to advise, coordinate and strengthen EMIS at all levels. This indicates there is some continued work to be undertaken to realize the investments in Ethiopia's information systems, which will be undertaken through the GEQIP-E program.

---

### 2.2.3 Learning assessment system

146. National learning assessment systems are relatively well developed, institutionalized and are used as part of the ESDP V monitoring strategy. The Ethiopia National Learning assessment (ENLA) have taken place since 2000 and included Grades 4 and 8 until 2008, when Grades 10 and 12 were added. Grade 4 assessments include English, mathematics, environmental science and reading comprehension in mother tongue and Grades 8, 10 and 12 include English, mathematics, biology, chemistry and physics. The NLA instruments have been designed in such a way that: (i) comparison of learning achievement can be made between 2011 and 2015; and (ii) inferences can be made on the impacts of interventions on learning improvement. In addition to subject content (based on Minimum Learning Competencies), the NLA includes a background questionnaire (student characteristics, teacher/principal characteristics, school-related characteristics) to allow for simple regression analysis of government performance.

147. A national public examination system, with the purpose of promotion, selection and certification of students, has also been in place since 1950 for grades 8, 10 and 12. These annual examinations cover all subjects, including mother tongue reading, and are administered to all students in the relevant grade. Very little analysis is publicly available using this data, with it seeming less well used for policy making than the national learning assessments. The education sector situation analysis (2014) provided a very good review of the state of data, raising concerns in several areas. In brief, it found that examination data were hard to obtain (as they are managed by regions) and a lack of piloting raised concerns over the reliability of items. It also raised issues around malpractice in administration of the examinations.

148. EGRA for seven mother tongue languages and for English have been administered in Ethiopia as well as an Early Grade Mathematics Assessments (EGMA). While the headline results are referred to within planning and program documents, as with the NLA assessment the source document cannot easily be found online – although it can be obtained through the National Educational Assessment and Examination Agency.

149. Therefore, while there are improvements in the structures and features of Ethiopia's education system, the efficiency of the system still requires improvement. For example, the Primary 1 repetition rate was last reported in UIS data in 2014 at 8 percent, suggesting that many children do not progress successfully through the entry grade each year. However, these concerns have been identified as an outcome of interest for the latest GPE program, which aims to reduce P1 dropout rate and will be monitored throughout the evaluation.

### 2.2.4 ESP implementation contribution to change

150. The improvements in EMIS throughout implementation of ESDPs III, IV and V support a contribution to EMIS system strengthening. For other system-level changes described above, it is too early to assess whether and to what extent they derive from specific interventions put in place as part of ESDP implementation. However, future Annual Reports will need to examine whether any additional noticeable changes have taken place within the system and then assess to what extent these have been influenced by ESDP implementation.

## 2.3 Progress toward stronger learning outcomes and equity

### Summary

- *Improvements in learning outcomes are varied, with improvements in math, scores remaining stable in reading, and falling in English. Extremely high levels of children not grasping the basics by the end of P2 were observed, with proportions as high as three-quarters of children in one district being observed.*
- *Equity remains a concern, with large differences across regions and income groups. The number of children enrolling at the pre-primary level has increased from just 300 000 in 2010 to 2.5 million in 2015. At the primary level, school expansion efforts continue, with the number of students enrolled in primary schools increasing from 5 million in 2000 to over 16 million in 2015. The Net Enrolment Rate in 2014 was 95 percent at the primary level, with a Gross Enrolment Rate of 102 percent.*
- *Gender inequality remains a critical issue, with the GER at 0.91 and 60 percent of the children out-of-school at the primary level, being girls. Poor girls and boys and rural girls and boys have comparatively lower completion rates than their less-poor counterparts. Boys largely perform better than girls, and urban children outperform rural children in learning outcomes. Regional differences are also observable, with 13 percent of children achieving the basics in Benishangul-Gumuz and 56 percent of children achieving the basics in Addis Ababa.*
- *Effective and efficient system contribution to learning access and equity can not yet be assessed due to the lag between inputs and impact level change in education and lags in reporting on outcome level data.*

### 2.3.1 Assessment of learning outcomes

151. As there have been no assessments since the start of the evaluation period, it is not possible at this stage to comment on any changes or on plausible contributions to such changes set against other plausible contributory factors. The ESDP V has outcome-level targets on the number of children obtaining 50 percent or above on the NLA, with a 2019/20 target of 50 percent (both genders in grades 4 and 8) and 70 percent for grade 12.

152. The NLA 2015 results found that in Grade 4:

- In Math the share of students not reaching Basic level was 37 percent;
- In Reading the share of students performing at Below Basic Level was 44 percent;
- For Environmental Sciences, 32 percent of students were below basic levels; and
- For English, 53 percent of children were performing at below the basic level.

153. It is possible to compare scores between 2011 and 2015. A simple comparison of proficiency levels showed that in Grade 4 Math the share of students not reaching Basic level in 2011 was 50 percent but this has now reduced to 37 percent. The share of students achieving Proficient and Advanced levels has increased significantly from 13 percent in 2011 to 21 percent in 2015. In Reading

the shares of students performing at Below Basic and Basic levels stay almost the same between 2011 and 2015, and the share of students reading at Proficient and Advanced levels decreased slightly. For English the share not reaching Basic increased noticeably, from 42 to 53 percent.

154. These scores need to be taken in the context of widening access to primary education, including the changes in the socio-economic status of children within the classroom – as previously noted, enrolment in primary school increased from 14.3 to 16.2 million over this period. In Grade 4, the total number of students achieving basic proficiency or higher in all subjects increased from 505,000 in 2011 to 792,000 in 2015, a 57 percent increase<sup>27</sup>.

155. An EGRA found extremely high levels of children not grasping the basics by the end of P2 – and more worryingly, very high shares (up to three-quarters of children in one region, but no less than a quarter in any region) being unable to read a single word despite at least two years of schooling. This issue is confounded by the high shares of children enrolled in the early grades. By P4 the share not achieving the basics in reading is still approximately 44 percent, which is very high. An assessment of items shows that large numbers of children were unable to grasp fundamental concepts such as how to calculate the areas of shapes<sup>28</sup>.

---

### 2.3.2 Assessment of equity, gender equality and inclusion in education

156. Ethiopia has made impressive improvements in the number of children enrolling, particularly at the pre-primary level, where the number of children has increased from just 300,000 in 2010 to 2.5 million in 2015. At the primary level, there have been continued school expansion efforts, including through the provision of Alternative Basic Education since 2006. Efforts since 1996 have increased the number of students enrolled in primary schools from 5 million in 2000 to over 16 million in 2015, leading to a Net Enrolment Rate in 2014 of 95 percent at the primary level<sup>29</sup> and a Gross Enrolment Rate (GER) of 102 percent.

157. Gender inequality remains a critical issue, with the gender parity rate for the primary GER remaining at about 0.91 for the last few years. Of those who are out of school at the primary level, 60 percent are girls.

158. Primary completion rates (or more accurately intake into P6 in the UIS data) have remained at approximately 50 percent over the last few years, suggesting issues with repetition and on-time progression through the system. This is shown by the numbers enrolled in each grade in the latest UIS data, from 2015, with just 1.4 million children enrolled in P6 compared to 4.3 million in P1. There is a substantial reduction in the number of students in the lower-secondary and upper-secondary levels, with GERs of 43 percent and 17 percent respectively.

159. In terms of systemic measures, school absence rates were reported in the 2016 JSR as 20 percent for the Afar region and flagged as a serious concern in the other regions visited. No systematic data were available during this the evaluation period thus far, but the JSR reports findings suggest this will be an issue.

160. While education is nominally free in Ethiopia for primary school, many other costs exist that may constitute a barrier for poorer parents. Hidden fees, often to cover items such as uniforms, contributions to parent-teacher associations or examination fees, are pervasive across Africa. These

---

<sup>27</sup> World Bank (2016) “Striving for Excellence”.

<sup>28</sup> World Bank (2016) “Striving for Excellence”.

<sup>29</sup> It should be noted that UIS data on OOSC in 2015 report 2.2 million primary school aged children out of school and 16.4 million in school, giving some slight inconsistencies between numbers.

fees can be a high share of household expenditure, putting pressure onto poorer households. Weir found that while attitudes to schooling were generally positive, households faced strong credit constraints that limited access to schooling<sup>30</sup>.

161. Pre-primary enrolment rates have traditionally been low, as this level is usually fee-paying, so poorer families cannot afford it. Pre-primary GERs have also seen a dramatic increase, from 4 percent in 2011 to 30 percent in 2015, with a gender parity rate of 0.95. Early childhood received a policy boost in 2010 through the publication of a 'National Policy Framework for Early Childhood Care and Education (ECCE)'. During the period from 2010 to 2015, the GoE, through the Ministry of Education and regional education bureaus, supported large-scale implementation of pre-primary education, in all areas of the country. From a level of just over 340,000 in the 2009/10 academic year, enrolment reached over 3 million in 2014/15<sup>31</sup>.

162. Repetition poses a major equity challenge, as children who are over-age are substantially more likely to drop out of school than those who progress on time. Repetition rates are quite high in Ethiopia, particularly in the early grades, although they have been falling over time from 15 percent to about 6/7 percent. These data show a convergence in rates for boys and girls in recent years.

163. The GER for lower-secondary has been relatively stable at approximately 43 percent over recent years after rising during the early 2000s. No obvious reason for this can be discerned from documentation, but it could be the case that the creation of GEQIP in 2009 led donors to focus more on primary and pre-schooling rather than expansion of secondary school opportunities. Equally at this time the GoE sought to improve access to higher education, which takes up the largest share of the budget. The gap between boys and girls initially widened but has now narrowed, although gender gaps remain in lower-secondary.

164. Looking at issues of equity, the net attendance rates provide another view of the school system. These data are usually drawn from household surveys. The last data for this are from 2011 and show an increase in rates since 2000 and larger increases for rural areas, which are now approximately 60 percent compared to 80 percent for urban boys and girls. Indeed, the gender gap between rural girls and boys, which was pronounced in 2000, had closed by 2011, although a small (two percentage point) gender gap remained in urban areas. In all years for which data are available, the net attendance rate was substantially higher for urban areas compared to rural areas.

165. The Ethiopian system is a 4+4 primary cycle and thus the data reported to UIS are converted to the ISCED standard classifications, which relates in this case to completion rates of P6.

166. When comparing the primary school completion rates of the poorest (quintile) girls, the poorest boys, the least poor boys, the least poor girls, rural girls, rural boys and urban boys and urban girls, no group has a completion rate of higher than 75 percent. Rates are then much lower for the poorest households (16 percent for boys in 2011 and 21 percent for girls). Urban children have a completion rate of 74 percent compared to a rural completion rate of just 30 percent. This indicates an inequitable system.

167. Following the increases in enrolment, the out-of-school rate for primary school children has fallen over the last decade but is still very high for certain subgroups. In 1999, approximately 70 percent of all primary aged children in Ethiopia were out of school. For the poorest households, the OOSC rate fell from 70 percent in 2005 to 50 percent in 2011. For rural girls the fall was greater, from over 75 percent in 2000 to 41 percent by 2011.

168. Focusing especially on gender, there is a pro-male gender gap in terms of enrolment at all levels, which increases as children progress through the system. At the primary level, the Gender Parity Index

<sup>30</sup> Weir, Sharada. Parental Attitudes and Demand for Schooling in Ethiopia. *Journal of African Economies*, Volume 20, Issue 1, 1 January 2011, Pages 90–110

<sup>31</sup> Woodhead, Rossiter, Dawes and Pankhurst, 2016. Scaling-up Early Learning in Ethiopia: Exploring the Potential of O-Class

has been maintained at 0.93 for the last five years. This gap increases as children age, although substantial improvements have been made over the last decade – with the gender imbalance in lower-secondary now slightly better than in primary (0.94 vs 0.03). For upper-secondary education the Gender Parity Index (GPI) improved significantly from 0.4, which meant that two girls were enrolled for every five boys, to almost 0.85 over the same period. The ESDP translates these issues into specific targets on gender parity, aiming to get to gender parity by 2019/20 at all levels of schooling.

169. In addition to the equity issues outlined above, the barriers to learning while in school are greater for some groups than others, resulting in learning outcome gaps. It is important to acknowledge the challenge and pressures on the education system in Ethiopia, where nearly half of women (48 percent) and 28 percent of men age 15–49 have no education and only 6 percent of women and 9 percent of men have more than secondary education. Only about four in 10 women (42 percent) and seven in 10 men (69 percent) are literate<sup>32</sup>. As such, the ability of parents to help children with their education, either through homework or ensuring they are adequately prepared, is differentiated by social group. Urban residents are much more likely than rural residents to be educated. Twenty-four percent of females age 6 and older in urban areas have no education, as compared with 54 percent of females in rural areas.

170. Boys in general perform better than girls. For Grade 8, girls still underperform relatively but to a smaller degree (five percentage points in Math and four percentage points in English). Urban students outperform rural ones. For the NLA 2015, the share of students failing to achieve the basic level is lower in urban areas than rural, by up to 10 percentage points (in English at P4, Chemistry at P8). Urban pupils consistently score higher than rural pupils in all subjects for both grades. These urban vs rural divides were also found in the Young Lives data<sup>33</sup>, where only 54 percent of 12-year-old children could read sentences in rural areas compared to 81 percent in urban sites. There are also differences by location – both urban and rural but also across regions.

171. Regional variations are also noticeable. Looking at scores in 2015, the variation across regions is large – with the share of children achieving the basics being as low as 13 percent in Benishangul-Gumuz and as high as 56 percent in Addis Ababa or 61 percent in Somali. The learning gap between best- and worst-performing regions is high for both grades and all subjects. For example, 70 percent of Grade 4 children scored at the Below Basic proficiency level in English in the worst-performing region (Gambella), as opposed to 9 percent in the best performing region (Somali).

172. An EGRA was conducted in Ethiopia in 2014 and the results are shown in Table 12. The assessment found high proportions of Grade 2 children scoring below basic levels of fluency across seven languages. In Amharic, 73 percent of children were found to be at below basic levels of fluency, with just 6 percent being proficient. This is also suggestive of differences across language groups, with Af-Somali being the strongest performers (34 percent proficient and 39 percent below basic or none). However, without access to the underlying technical information<sup>34</sup> on how the thresholds were calculated, it is impossible within this desk review to comment further.

**Table 12: Percentage of P2 children at each level of an oral reading assessment in 2014 EGRA**

Region	Proficient	Basic	Below Basic	Zero Score	Below Basic or None
Afaan Oromo	5	20	21	54	75
Af-Somali	34	27	13	26	39
Amharic	6	21	48	25	73
Hadiyyisa	4	7	13	76	89
Sidaamu Afoo	3	13	15	69	74

<sup>32</sup> Ethiopia Demographic Health Survey (2016)

<sup>33</sup> Woldehanna and Gebremedhin (2016)

<sup>34</sup> Furthermore, research highlights the need for caution when comparing results across language groups.

Region	Proficient	Basic	Below Basic	Zero Score	Below Basic or None
<b>Tigrinya</b>	2	33	34	31	65
<b>Wolayttatto</b>	12	20	18	50	68

Source: ESDP V

### 2.3.3 Effective and efficient system contribution to learning, access and equity

173. As part of this evaluation, we outline how it is intended that education system-level improvement results in improved learning outcomes and in improved equity, gender equality and inclusion in education. The plausibility of this contribution will be assessed based on the baseline situation, progress thus far and the wider evidence base.

174. Because of the lag between inputs and impact level change in education<sup>35</sup> and lags in reporting on outcome level data (the most recent data actually reflect the situation in 2015), future Annual Reports will need to test whether any significant change can be noted in outcomes as a result of system-level changes and will examine how ESDP implementation contributed to such changes. At the time of this report it is too early to judge (given the early stages of implementation) and there is insufficient data to be able to consider whether GPE has indirectly contributed to any meaningful change in learning outcomes and equity.

## 2.4 Plausibility of the ToC at Year 1

175. The assumptions outlined in Section 1.2 that underpin the ToC from context, to inputs, to activities and intermediary outcomes are tabled below, including an assessment of the extent to which they are likely to hold.

**Table 13: Summary of findings against assumptions at baseline**

ASSUMPTION	ASSESSMENT
<b>Inputs to activities and outputs</b>	
There will be continued support and commitment by the GoE to increase education expenditure, particularly in primary education.	It is highly plausible that the GoE remains committed to education expenditure. Within this, higher education is likely to remain a key focus, meaning increased expenditure is likely to rely upon increased tax revenues, which is again plausible. As construction is completed, the weight of higher education in education spending will decline.
The interventions by DPs, government, professional bodies and CSOs continue to align with and be complementary to the national objectives as defined in the ESDP. Country-level partners align and work through GEQIP-E.	This is highly likely to be the case – though stakeholders did raise questions about the implications of the fully results-based GEQIP-E program for GPE’s fixed tranche.
DPs honor their financial commitments to the sector.	This is very plausible, and there were no concerns raised regarding this by stakeholders.
The GoE deploys adequate human resources and systems to implement the ESDP V.	The ambition of ESDP V, and the high levels of need in Ethiopia, mean that there is a risk that this assumption will not hold.

<sup>35</sup> Time taken for inputs into education or policy reform to affect learning outcomes. April 2013. HEART Desk Report.

Available funding is sufficient to implement all elements of the sector plan and mechanisms for priority setting through reviews make it possible to focus on the most critical elements of the plan when funding is not sufficient.	As above – the scale and need, as well as reliance on continued economic growth with local and global political uncertainty, mean there is a risk this assumption will not hold.
<b>Activities to outputs</b>	
Relevant actors have adequate technical capacity to implement all elements of the sector plan.	It is too early to assess the technical capacity of relevant actors to implement the sector plan.
There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve the EMIS and undertake the NLA.	This is a risk, given the low technical capacity to use EMIS, and it is of higher risk at the decentralized levels.
Country-level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews.	This is plausible, though the internal politics of the education sector and wider political economy of Ethiopia mean that there is a risk.
GPE has sufficient leverage to influence domestic and international education sector financing, LEG approaches and national policy.	This is plausible, dependent on the QAR process and the ability of the Secretariat to influence the Coordinating Agency and the GA/World Bank (if GEQIP-E is the favored modality).
No significant disruption to ESDP or related initiatives and services by droughts or internal displacement [Also affects output–outcome linkages].	Given recent climatic events, this assumption may not hold.
<b>Outputs to intermediate outcomes</b>	
External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing.	As above
Challenges presented by reallocation of responsibilities for education within a decentralized system are successfully overcome.	Given the scale of existing challenges, this assumption is likely to not, or only partially, hold.
There is political will and institutional incentives to use evidence and best practice in sector analysis and planning.	This is a plausible assumption.
CSOs and teacher organizations have the political space and capacity to monitor sector plan implementation.	There is a risk that the wider political space does not allow for this.
Government has increased political will to create space for country-level stakeholders – including teachers and CSOs – to engage in policy dialogue, priority setting and monitoring.	There is a risk that the wider political space does not allow for this.
All stakeholders (government at all levels, donor partners, professional bodies, NGOs, CSOs, private sector) work together and improve coordination and communication.	There is a risk that the wider political space does not allow for this.
Changes in personnel due to staff turnover or redeployment would not be at a level that diminishes the effectiveness of staff and institutional capacity development.	This is an active risk in all organizations and holds for GoE.
<b>Intermediate outcomes to outcomes</b>	
ESP implementation leads to improvements of previous shortcomings in the education system. Government support for reformed sectoral planning	This is plausible, although system-level changes are always difficult to implement.

and budget processes and demand for timely data grows.	
There are sufficient human resources (including teachers) to facilitate improved teaching and learning, and the curriculum is sufficiently suited to the Ethiopian educational context with high numbers of first-generation learners.	There is a risk here, due to the scale of the issue and the rapid development of Ethiopia, that insufficient numbers of suitably educated people are available to fill the gaps in the teacher workforce at the skill levels required.
Political and economic situation is conducive to service delivery.	This is plausible, given the improvements in the political space in recent years.
Other obstacles to education, such as hunger and health issues that children may face, are addressed and mitigated adequately and in a timely manner.	This is an active risk.
Removal of barriers to school participation is sufficiently effective to achieve a positive impact on learning, equity, equality and inclusion.	It is plausible that access will not automatically equal learning – but this risk is mitigated by the changes to the learning environment.
There is political will to make institutional, management and governance changes that ensure the education sector is effectively managed at all levels.	This is plausible, given existing GoE commitments to the sector.

Source: Authors' elaboration

176. The following table outlines each of the GPE contribution claims and assesses the plausibility of contribution, based on the evidence available at the point of drafting this first Annual Report.

**Table 14: Assessment of plausibility of Contribution Claims of GPE's support in Ethiopia**

CONTRIBUTION CLAIM	ASSESSMENT OF PLAUSIBILITY/LIKELIHOOD
<b>Claim A:</b> "GPE (financial and non-financial) support and influence contribute to the development of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning."	<b>Plausible.</b> The planning system in Ethiopia is strong, which potentially limits GPE's ability to influence directly. Over the evaluation period there will be the development of the next ESP, allowing for an assessment of GPE's ability to influence.
<b>Claim B:</b> "GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to mutual accountability for education sector progress."	<b>Plausible</b> but will depend on the modality chosen for the future fixed program – it could be hindered by an alignment to the World Bank reporting cycles, which are not deemed to be inclusive by stakeholders.
<b>Claim C:</b> "GPE advocacy and funding requirements contribute to more and better financing for education in the country".	<b>Not Plausible.</b> Ethiopia allocates a high share of its budget to education, but there are concerns over the share allocated to the basic level.. There is no evidence so far that GPE advocacy has influenced the amount or quality of Official Development Assistance (ODA).
<b>Claim D:</b> "GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans."	<b>Somewhat plausible.</b> The assessment at this stage of the evaluation has determined that this is possible – though it is dependent on the modality of support for the next grant.

CONTRIBUTION CLAIM	ASSESSMENT OF PLAUSIBILITY/LIKELIHOOD
<p><b>Claim E:</b> “The implementation of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system”.</p>	<p><b>Too early.</b> It is currently too early to assess the extent to which a range of systemic changes have taken place due to plan implementation.</p>
<p><b>Claim F:</b> “Education system-level improvements result in improved learning outcomes and in improved equity, gender equality and inclusion in education”.</p>	<p><b>Too early.</b> As it is too early to assess system changes, it is also too early to assess the contribution of system change on outcomes.</p>

Source: Authors’ elaboration

## 2.5 Available evidence at Year 1

177. Data availability is mixed at this stage. In general, where data exist they are of reasonable quality, though stakeholders flagged issues around local-level information and data on decentralized regions or disaggregation. One major challenge was the inability to obtain information on GPE program outputs from the World Bank, as only GEQIP II outputs are reported on. As such, it is not possible to identify what GPE funds have been spent on, and when, although it is possible to track expenditure on a six-monthly basis through the public documentation. As the GoE equally does not differentiate between the funding sources, developing a clear line between GPE funding and activities is not possible under this modality.

178. At this point of the evaluation it was possible to review the country’s policies (mainly the ESDP V from 2016) and compare them with GPE’s goals and objectives. Data availability for sector-level outcomes is suitable to develop baselines. This should be sufficient over the timeframe of the evaluation as the next round of the national learning assessment is conducted. Trend data are available for enrolment, completion rates at the national level and for learning outcomes at Grade 4. Data are also available from EGRA tests in 2010 and 2014, but there are concerns about the comparability of these data over time.

179. Specific policies, such as on gender (2010) and inclusive education (2012), are available and seem to have been integrated within the ESDP, which has headline targets on gender parity and on the enrolment of children with special educational needs.

180. Documentation is available to evaluate the questions of alignment across donors, as well as on how donors align with domestic plans and expenditure. The QAR I document, and the back to office report during the design of the current GPE proposal,<sup>36</sup> show the LEG’s agreement and request to use GPE funds to continue support to the pooled fund. However, there is no documentation relating to alternative modalities of support.

<sup>36</sup> GPE Ethiopia, “Back to Office Report May 2016”.

## 3 Evaluation focus

### 3.1 Focus themes

181. Following discussions with key stakeholders, as well as an extensive document review, it is suggested that the evaluation focuses on two key areas in the ToC where GPE contributions will be observable.

182. Firstly, identifying a story around GPE's contribution to changes in learning outcomes, access and equity (including gender equality) between 2015 and 2019. While the early years (2015/16) are technically outside the scope of the evaluation period, GPE's continued support to the GEQIP program, under the ESDP V plan, means that there is a smooth flow of activities within this area (with the GEQIP II program now likely to end in mid-2018).

183. Secondly, it is proposed that the evaluation looks at the differences in GPE's ability to influence at the beginning of the results chain, its grant application process (both the fixed and variable part) and its support to sector planning. The contribution of the Secretariat's activities, GPE partner activities and the frameworks within which these applications operate (including stronger requirements on what is required within the variable tranche) can be assessed in terms of their contribution to changes in the quality of sector planning, inclusive dialogue and monitoring and the quality of education financing.

184. As the evaluation will cover a few stages of GPE intervention, a few themes are possible. Firstly, it is theoretically possible to look at intermediate outcomes to outcomes using the NLA data (which was collected in 2015 and should be collected again in 2019).

185. One additional area of focus is at the start of the results chain, rather than at the earlier links to the results chain. During the review mission, many stakeholders commented on the increased sector participation due to the introduction of the variable tranche funding, which revitalized discussions around how it should be used. As the new World Bank program (GEQIP-E) is 97.7 percent PforR, using DLI, to follow the same modality would require adaptation of the funding modality, or for Government to undertake a program which is 100 percent variable. The other option is to restructure the Investment Project Financing, which is currently just US\$10 million and below the GPE maximum country allocation for Ethiopia. A suggested focus in Ethiopia is therefore the differing impacts of GPE's ToC dependent upon the fixed vs variable split, in the context of a misalignment between GPE program development and World Bank program development.

186. An additional repeated theme from stakeholder discussions was the tension between GPE as a harmonized vertical fund and GPE as a country-level donor partner. As GPE looks to increase its impact within the country, and at having more input from the Secretariat, this raises tensions with the pooled funding model, which relies exclusively on the World Bank administrative structures. This may be at odds with LEG ownership of the program (that is, GPE funds are treated equally to all others, and there is one report providing information on the fund rather than on the specific donor contributions). Given the timing of the development of GEQIP-E vs the GPE grants, there is little room for GPE to influence the program objectives – unless it moved away supporting the harmonized fund or GEQIP-E was restructured to increase the IPF component. While this is not an issue within itself (as the GEQIP fund was developed to align to GoE priorities and is also aligned to GPE headline results, which aligns with the Paris Principles), it will be hard to influence post-hoc.

187. Due to these factors, one area of focus will be on the earlier steps in the results chain, as well as on how the GPE model in Ethiopia is able to influence sector planning, mutual accountability and better financing.

## 3.2 Gaps to fill

188. The data are baseline stage are of reasonable quality and sufficient to address many of the questions relating to the outcomes. Data on equity are reliant on household surveys, which will not cover the evaluation period (these were collected in 2016 and are usually collected every 5/6 years). As such, the evaluation will be reliant on improvements in the EMIS system to speak to equity issues.

189. For implementation, the public progress reports are likely to be insufficient if the current modality continues, as they offer little information on why things are delayed, only reporting headline quantitative movements toward targets. They also do not differentiate GPE funding from the wider pooled funds, meaning it is hard to speak to GPE's funds and their influence on outputs.

## 3.3 Risks to address

190. There are a few risks to address at this stage:

- Firstly, the annual timing of the visits and evaluation means that many important decisions will be taken in the period between the visits, with some of these not being documented. Given that the timing of the next visits is Q2 next year, there is a risk of respondent bias. Given the importance of the discussions of how to allocate the next grant to the GPE ToC, it is important to ensure that there is sufficient information on the discussions around modality, to assess the impact of the GPE model on systemic issues within the country. To mitigate this risk, it is suggested that the evaluation considers an additional virtual mission toward the end of the year to discuss the progress of the new grant.
- A second risk is around the Grant Agent selection process and the discussions around the new financing model's alignment with the local-level modalities that are available. These discussions are sensitive (commercially as well as politically) and as such it may be hard to access information on what drives decisions externally.
- A further risk, dependent on the modality chosen, stems from the Grant Agent's processes, which make it difficult to obtain information, either documents or through interviews, that is not in the public domain. This risk is pertinent to a few areas, though lies mainly around developing the contribution story of GPE funds to the changes between 2015 and 2019 to assess the output to outcome/impact-level changes within the ToC.

## 3.4 Key steps

191. This report concludes the first phase of the evaluation (baseline), including the first four stages as per the described methodology. Continuing from the country-specific work planning, data collection and elaboration of country-specific tools, the next phase will focus on assessing how progress is being made toward education goals and envisaged country-level intermediary outcomes. It will include:

- **Stage Five:** Assembling the contribution story and seeking out additional evidence over time
- **Stage Six:** Revising and strengthening the contribution story
- **Stage Seven:** Elaboration of the GPE contribution story

## 3.5 Workplan

192. Key activities and dates for this project are detailed below in Table 15.

*Table 15: Activities and key dates*

DELIVERABLE	DATE
Inception Report	November 2017
Baseline studies (desk review)	April 2018
Country mission I	Q2 2018
Eight prospective country mission annual reports (first year)	June 2018
CY18 Synthesis Report	December 2018
Country mission II	Q2 2019
2nd annual country mission report	TBD 2019
2019 Synthesis Report	January 2020
Learning	Ongoing

Source: Project work plan and timeline

## 4 Conclusions and recommendations

193. This first annual report on the prospective country-level evaluation aimed to assess: (i) GPE contributions to strengthening education systems and, ultimately, the achievement of education results within Ethiopia in the areas of learning, equity, equality and inclusion; and hence (ii) the relevance, efficiency and effectiveness of GPE's ToC and country-level operational model.

### 4.1 Conclusions

194. Education in Ethiopia is a story of progress in access and challenges in efficiency and learning outcomes. Enrolment rates have increased noticeably in recent years, while learning outcomes have remained low and repetition rates in the early grades are stubbornly high.

195. GPE's contributions to date have mostly centered around support to the GEQIP (I & II) program, with the exception of the current grant's variable tranche support, which is structured through five DLI parallel to the GEQIP trust fund.

196. This report has found that the GPE contribution claims could be plausible in Ethiopia, though the extent to which its contributions can be isolated will be framed by decisions around the next grant. It has also found that a tension exists between harmonization with country and having clearly specified contributions from the Secretariat.

197. In Ethiopia, discussions around the GPE country-level operational model were generally positive. The role played by the GPE Secretariat country lead was particularly praised. Stakeholders did comment, however, that GPE was not formally represented in-country by the Grant Agent; rather, the Grant Agent just saw GPE funds as an additional contribution to a pooled fund. It was also noted that the variable tranche was the exception to this, with stakeholders noting that this offered opportunities to empower the LEG to be more involved in the decision-making and ongoing monitoring.

198. The Planning Directorate and the GPE Grant application and reporting processes seem to be clear and well understood. However, in-country stakeholders raised questions over the perceived disconnect between the fixed allocation and the new DLI-led MDTF, which may cause complications in the grant application process. In addition, the variable tranche process took longer than expected, with stakeholders finding it difficult to understand the requirements.

199. GPE has an opportunity to influence sector planning directly within the timeframe of this evaluation, through potential<sup>37</sup> support to the development of the ESDP VI, which is expected to be approved by August 2019. The overwhelming view of all stakeholders was that the planning process in Ethiopia was strong, in terms of it being evidence-based and realistic, as well as government owned. The difficulties were acknowledged in planning for learning outcomes rather than planning for access (which has been more successful) and implementation.

200. It is difficult to discern the implementation status of GPE funds due to the highly harmonized nature of the funding modality, i.e. GEQIP does not report on activities or outputs from funding lines

---

<sup>37</sup> This is potential as the last sector plan was developed without this grant support.

individually. Implementation of the wider project is reported on a biannual basis at the output level, with quantitative reports against targets. However, very limited *detailed* information is available on the processes of implementation of the GEQIP program.

201. The education system dialogue in Ethiopia is becoming more inclusive, but stakeholders highlighted the need to see this in the wider political context. Hence, while certain NGOs and CSOs are now included in some aspects of dialogue, any recent improvements have been limited to those occurring in the broader GoE relationship with non-governmental organizations, which is limited (particularly for international civil society). The ability of any external partners, particularly those without in-country presence, to influence the wider political settlement is extremely limited – GPE’s ability to influence, directly or indirectly, should be seen using this lens. Financing in Ethiopia has historically been very aligned around the pooled funding modality: stakeholders deemed this situation unlikely to change, offering GPE less scope to influence than in more fragmented contexts.

## 4.2 Recommendations

202. At this stage it is too early in the evaluation process to make detailed recommendations on GPE’s strategy in Ethiopia. However, three themes emerged from the stakeholder analysis and baseline review that are worth raising:

- The Secretariat should be aware of perceptions from stakeholders of an inherent tension between the current GPE model in Ethiopia and its ability to seek explicit change in certain areas. GPE should also consider explicitly the requirements for Grant Agents who are the management agents for a MDTF, relative to project management agents, as the current guidelines do not differentiate.
- The Secretariat should continue to be proactive in managing its relationships with the Coordinating Agency and the GA in Ethiopia. These relationships are key to GPE representation and require management, as changes in individuals within organizations can influence how successfully harmonized delivery mechanisms work. Equally, the Secretariat should work to empower the CA to facilitate the LEG, which is a key asset, and relies on good will to a considerable extent as it is unfunded.
- The Secretariat should review the approach to education funding targets to appropriately deal with disproportionate funding to specific subsectors. This would enable a more sensible discussion around funding levels in contexts such as Ethiopia, where education funding meets the target, despite only 9 percent of government spending going to primary education.

# Annexes

## Annex A Country profile

204. Ethiopia is a large country, with a GDP per capita of US\$660, a population of over 99 million and more than 90 ethnic and linguistic groups. It is one of the least urbanized countries in the world, with 80 percent of the population being rural. It is a young country, with nearly half of the population being under 14, and population growth remains high at 2.5 percent, meaning that population is predicted to be 138 million by 2030<sup>38</sup>. It is landlocked and surrounded by poor and fragile states, making it a key strategic country for peace and regional stability. It is also susceptible to climate shocks, given the high dependence on agriculture for livelihoods, with droughts being a frequent challenge.

205. It is a federalized system, with nine regional states (Afar, Amhara, Benishangul-Gumuz, Gambella, Harari, Oromiya, Somali, SNNP and Tigray) and two city administrations (Addis Ababa and Dire Dawa). Since 1991, Ethiopia has been transitioning to a democratic state, currently under the leadership of the EPRDF. In this period, there have been five elections and the country has established a decentralized system of governance with many fiscal and decision-making powers devolved to regional levels.

206. Ethiopia aspires to become a middle-income country by 2025. The economy has been strong, with per capita growth averaging about 8 percent over the last decade, which has led to poverty reduction, though Ethiopia remains one of the poorest countries in the world, with a GDP per capita far below the SSA average<sup>39</sup>.

207. Agriculture remains dominant in the economy and is the main source of income for a great majority of the population. Eighty percent of the population live in rural areas, which are prone to climatic shocks like the recent El Nino droughts. Ethiopia is trying to diversify and is experiencing industrial growth.

208. Sustained economic growth brought with its positive trends in reducing poverty, in both urban and rural areas. While 39 percent of Ethiopians lived in extreme poverty in 2005 (using the national poverty line of less than US\$0.6 per day), by 2011 this was reduced to 30 percent – a decrease of nine percentage points<sup>40</sup>. The continued decrease in poverty is attributed to the pro-poor programs that have been implemented in rural areas, including the extension programs to support commercialization of smallholder agriculture and the Productive Safety Net Program (the world's largest development assistance program).

209. Ethiopia's middle-income goal requires a strong investment in human capital. In 2015, the GoE launched its latest development strategy, the GTP II. This targets structural transformation by increasing productivity in manufacturing, particularly light manufacturing. It has a long way to go though, with education attainment among the richest 60 percent population low at 2.8 years and even lower at 1.5 years for the poorest 40 percent<sup>41</sup>.

210. The education system in Ethiopia follows a 4 + 4 + 2 + 2 model; four years primary first cycle, four years second cycle, then primary leaving exams, two years of junior secondary, the general secondary exam, followed by two years of secondary preparatory; followed by the higher education entrance certificate exam then higher education. For mapping across to the ISCED classification for

<sup>38</sup> UN DESA 2017

<sup>39</sup> World Bank Ethiopia 2017

<sup>40</sup> Ibid.

<sup>41</sup> Ethiopia World Bank Country Diagnostic 2016

statistical reporting, ISCED 2, primary, is defined as primary 1 through 6, lower-secondary grades 7 through 10 and upper-secondary grades 11 and 12.

211. The GoE is now following its fifth Education Sector Development Plan (ESDP V), which was endorsed by the ESWG in July 2016. The government launched the GEQIP in 2009. GEQIP is an eight-year program to help implement ESDP IV and V. It was designed to create the conditions for improved learning outcomes in primary and secondary education.

212. The country has made impressive improvements in the number of children enrolling, particularly at the pre-primary level, where the number of children has increased from just 300,000 in 2010 to 2.5 million in 2015. At the primary level, there have been continued school expansion efforts, including through the provision of Alternative Basic Education since 2006. Efforts since 1996 have increased the number of students enrolled in primary schools from 5 million in 2000 to over 16 million in 2015, leading to a Net Enrolment Rate in 2014 of 95 percent at the primary level<sup>42</sup> and a GER of 102 percent.

213. Gender inequality remains an important issue, with the gender parity rate remaining at about 0.91 for the last few years – meaning that for every 100 boys who enroll in school, only 91 girls do. Of those who are out of school at the primary level, 60 percent are girls. Primary completion rates, or more accurately intake into P6, has remained at approximately 50 percent over the last few years, suggesting issues with repetition and on-time progression through the system. This is shown by the numbers enrolled in each grade in the latest UIS data, from 2015, with just 1.4 million children enrolled in P6 compared to 4.3 million in P1. There is a substantial reduction in the number of students in the lower-secondary and upper-secondary levels, with GERs of 43 percent and 17 percent respectively.

214. School absence rates were reported in the 2016 JSR as 20 percent for the Afar region and flagged as a serious concern in the other regions visited. No systematic data were easily found during this baseline review, but the JSR report findings suggest this will be an issue.

215. Dropout rates, especially in the early grades, are a concern, and have been identified as an outcome of interest for the latest GPE program, which aims to reduce P1 dropout from 25 percent in SNNP region. This is a tremendously high dropout rate for the entry grade into school. Rates were reported of 12 (Amhara region) to 25 percent (Afar region) in the 2012/13 school year in the 2016 JSR report. The P1 repetition rate was last reported in UIS data in 2014 at 8 percent, suggesting that many children do not progress successfully through the entry grade each year.

216. In addition to the national examinations, Ethiopia has two main sources of information on learning outcomes – two waves of EGRA (in 2010 and 2014) and a NLA, which is conducted in grades 4, 8, 10 and 12 every four years, and was last conducted in 2015. The headline data for this, which are discussed in more detail in Section 4, show that there are great challenges in Ethiopia around ensuring that children reach basic competencies. In primary four, 44 percent of children did not reach basic standards in Reading, while 37 percent of children did not reach this standard in Math. The EGRA results also make tough reading, with a very high proportion of children unable to read across all languages.

217. Specifically, the GEQIP II program aims to improve the curriculum and number of textbooks available, undertake teacher training, provide grants to schools to implement improvement plans, improve the capacity and management of educational leaders and to develop the information and communication system to improve the quality of teaching and learning. A new program of support, worth US\$300 million and entitled GEQIP-E, has just been designed, and is expected to run from April 2018 until July 2023.

---

<sup>42</sup> It should be noted that UIS data on OOS children in 2015 report 2.2 million primary school aged children out-of-school and 16.4 million in school, giving some slight inconsistencies between numbers.

218. Overall, the Ethiopian education sector context is one of progression, matched with great challenges. Recent years have mirrored the story of educational changes across most developing countries – substantial investments have been made to ensure that children can access primary schooling, which has resulted in a dramatic upsurge in enrolment in the early grades. This has created pressures on the system, which results in a churn within the early grades, as children who are first-generation learners struggle to match the expectations of the curriculum. This results in high enrolment rates but also high repetition and dropout rates, low primary completion rates and a fall in enrolment as you look through the grades. The data suggest this is the case for Ethiopia. However, the GoE commitment to education appears strong (albeit perhaps overly tilted toward higher education) and donor support is well harmonized.

## Annex B Background to the GPE country-level evaluation

219. GPE is the only global fund solely dedicated to education in developing countries. Established in 2002, it is a multi-stakeholder partnership and funding platform that aims to strengthen education systems in developing countries to increase the number of children who are in school and learning. GPE brings together developing countries, donors, international organizations, civil society, teachers' organizations, the private sector and foundations.

220. GPE works closely with partner countries to help them develop and implement quality ESPs. At the national level, GPE convenes all education partners in a collaborative forum, the LEG, which is led by the Ministry of Education. The LEG participates in the development, implementation, monitoring and evaluation of ESPs and programs. A Coordinating Agency is selected among its members to facilitate the work of the LEG. Additionally, a Grant Agent is chosen by the government, and approved by the LEG, to oversee the implementation of GPE grants.

221. GPE's country-level approach is set out in a series of Country-Level Process Guides. GPE supports DCPs through financial and non-financial support, through the following:

- ESPDGs: support the development of national ESPs, and are complementary to government and other development partner financing.
- Program Development Grants: support the development of an ESPIG program proposal.
- ESPIGs: support the implementation of national ESPs.
- CSEFs: support civil society engagement in education sector policy, planning, budgeting and monitoring.
- Global and Regional Activities program: engages education stakeholders in researching and applying new knowledge and evidence-based practices to resolve education challenges.

222. GPE adopted as its vision the new Global Goal for education, SDG4, which aims to 'ensure inclusive and equitable quality education and promote lifelong learning opportunities for all' by 2030. In June 2016, the GPE Strategic Plan 2016–2020 aligned its vision and mission to the SDGs, and recognized that education is pivotal to the achievement of all of the other SDGs. It also articulated this vision in actionable goals, as well as both country and global objectives.

223. The GPE Strategic Plan 2016–2020 adopted an M&E strategy for the 2016–2020 period. This includes a results framework for monitoring progress across three goals and five strategic objectives in GPE's ToC, and a set of 37 indicators. The strategy includes linked evaluation studies, including programmatic, thematic, and country-level evaluations, which in combination will inform a summative 2020 evaluation on the entire GPE portfolio.

224. There are three key evaluation questions for the GPE country-level evaluations (both the prospective and summative evaluation streams), which are presented below.

### **Annex Box 1. Key evaluation questions**

Key Evaluation Question 1: Has GPE's support to the country contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education? If so, how?

Key Evaluation Question 2: Has the achievement of country-level objectives contributed to making the overall education system in the reviewed country/countries more effective and efficient?

Key Evaluation Question 3: Have changes at education system level contributed to progress toward impact?

## Annex C Ethiopia GPE program details

225. Ethiopia has been a GPE partner since 2004. To date, it has received over US\$280 million in grants, as shown in Table 3. Since the advent of GPE (renamed from the FTI in 2009), the support has been aligned to the GEQIP program and managed through the World Bank MDTF. This means that GPE provides on-budget support through a managing agent. While not technically sector budget support (as it relates to specific outcomes within the sector) it is, in theory, a highly aligned mode of development assistance.

226. For the current grant, it was agreed with DPs in 2015 that the program would align with the GEQIP II program, which would undertake a restructuring to allow for absorption of these funds, particularly those funds that related to the variable part of the grant.

227. The current support is condensed into the final year of the GEQIP program, which is also the last year of the maximum country allocation period (Ethiopia was allocated US\$100 million to fund projects in the period of 2016 and 2018). There is, however, a disconnect between GPE funding, the GEQIP programming and the ESDP cycle, which aligns with wider GoE plans. In line with the country's second Growth and Transformation Plan, the fifth phase of the ESDP was to be launched on July 8, 2015 – the start of the 2015/16 fiscal year. This was early in the GPE funding cycle and, as such, they did not follow the usual route of obtaining a grant for the ESP development. Instead, they agreed their ESDP V in September 2015, prior to external review and the development of a MYAP, which were both new requirements of the new funding model. To align these documents to GPE requirements, as the Plan did not have a multi-year implementation plan for the entire sector, Ethiopia was awarded an ESPDG in February 2016 to complete the MYAP. UNICEF was the Grant Agent for this and prepared the MYAP with the Federal Ministry of Education.

228. For the GPE Program Implementation Grant, a restructuring paper was prepared by the World Bank in July 2016, which allowed for an additional two components to the GPE trust fund for the fixed allocation, updated the results framework and proposed DLIs for the variable tranche indicator. The variable tranche indicators were, however, rejected by GPE, as the timeframe with which they sought to achieve these (within one year) was deemed too short for catalytic changes to be seen. Following this, the fixed part was approved in December 2016 to allow for the fixed funds to be used to finance the funding gap within GEQIP II. This required substantial changes to the variable part indicators.

229. There is a slight disconnect between the activities specified in the application form (which covers the whole GEQIP II program to date, not just the additional activities) and the activities in the restructuring memo. For example, under component 1.2 (Teaching and Learning Materials) the application states that the project will finance textbooks for G1–12, while the restructuring paper states that these funds are already secured (as at July 2016) and the new funds allocated will finance the procurement of "O" class teaching-learning materials and reprinting of other materials in short supply. As such it is hard to understand precisely what activities GPE will fund just from the application form. Similar examples can be found in the other components. This is natural when using a pooled fund modality but the nature of the timing of the grant makes it more difficult to attribute previous results to the GPE grant, meaning that the GPE funds can be tied more easily to specific activities.

230. GPE provides a range of support to education in Ethiopia, both financial and non-financial. At this baseline stage, GPE is providing US\$99.5 million in support, US\$69.5 million through GEQIP and US\$30 million through the variable tranche. Over the evaluation period they will also provide up to an additional US\$100 million (Ethiopia's Maximum Country Allocation for 2018 to 2020). The process of obtaining this grant means that additional support will be provided through the Secretariat's QAR processes, which are conducted first at conception note phase, next at draft proposal phase and finally upon submission of the final application form. In addition, the GPE Country Lead is expected to visit as part of the application development process, and to join the routine monitoring visits. In addition

to these, Ethiopia also participated in four global and regional activities programs, one of which will be active in the baseline period (finishing in June 2018) (it focuses on school gender-based violence). GPE has also provided funds, through the CSEF, to the Basic Education Network in Ethiopia – this was US\$200,000 over two years (2016/17).

231. The financial support through the fixed tranche is a contribution to the wider GEQIP II program, which is a large MDTF.

232. The fixed part of the GPE four-funded program funded the pre-existing GEQIP program, and has six components:

- 1) Curriculum implementation and teaching and learning materials, which emphasizes improving the quality of learning and relevance of curriculum and increasing the supply of teaching and learning materials from kindergarten to Grade 12;
- 2) A teacher development program, which seeks to enhance the quality of teaching in general education through pre-service and in-service teacher training and continuous professional development;
- 3) A school improvement program, which supports the strengthening of school planning to improve learning outcomes and to partly fund school improvement plans through school grants;
- 4) A system management and capacity building program, which includes the EMIS, quality assurance systems and capacity building programs;
- 5) ICT in education, which aims to build ICT infrastructure and skills within the education sector by:
  - a) supporting the development of a policy framework that will guide all ICT in general education initiatives by establishing a national institution;
  - b) provision of E-cloud infrastructure to improve learning conditions in 300 secondary schools and 10 teacher training institutions; and
  - c) integration of ICT into teaching and learning through a Learning Management System; and
- 6) Program planning and coordination, M&E and communication, which focuses on institutional strengthening by developing capacities in all aspects of program coordination, M&E and communication to increase awareness and ownership and to ensure effective participation of all stakeholders.

233. The overall cost of the GEQIP II program, which is the MDTF under which the majority of donor support to Ethiopian education sits, was US\$550 million between the end of 2013 and July 2018. Of this, US\$510 million was funded, with US\$169.50 million (33 percent) coming from GPE funding. GPE funding has been increasing over the period, with the current allocation of US\$69.5 million over the final year of GEQIP II being potentially the largest single year allocation to education in GPE's portfolio, and a large share of ODA. As at January 2018, GPE is financing 65 percent of the GEQIP project.

234. The wider GEQIP program aims to improve education delivery by harmonizing support behind one pooled sector funding, alongside targeting specific sector-level outcome changes through the variable tranche activities. These variable tranche activities are structured as DLIs, which means that it is essentially a payment by results mechanism, where funds are provided up front by the GoE (or other donors) with GPE refunding the government once results are achieved.

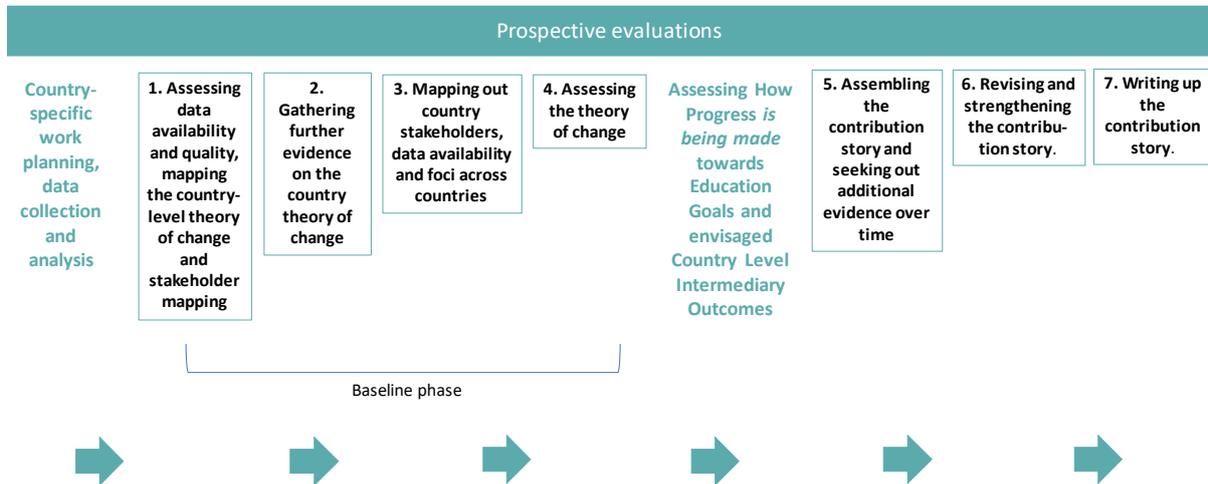
235. The variable part of the program is not within the GEQIP program for management purposes (the GEQIP program closes in July 2018, but the variable tranche indicators cover up to 2019) but is aligned to the ESP. It will pay up to US\$30 million for the achievement of the following DLIs between 2017 and 2019. It is a reimbursement mechanism, with the funds being used to reimburse the upfront expenditure to achieve the following variable tranche goals:

- 1) Reducing the proportion of low performing primary schools (Level 1 in inspection standards) in the region with the highest share of these schools

- 2) Improving the learning environment of O-classes (pre-primary class) in two emerging regions by increasing the capacity of O-class facilitators to deliver an early childhood education curriculum package
- 3) Addressing the gender balance in school leadership by increasing the number of trained female primary school principals
- 4) Encouraging more inclusive learning environments by increasing the School Grant allocation to support special needs
- 5) Reducing Grade 1 dropout rates in the region with the highest Grade 1 dropout rate

## Annex D Evaluation tools

Annex Figure 1. *Prospective evaluations – Stages of the evaluation*



## i. GPE results framework

Annex Table 1: GPE 2016–2020 Results Framework – 1/10

IMPACT										
Strategic Goal 1: Improved and more equitable learning outcomes										
Strategic Goal 2: Increased equity, gender equality, and inclusion										
Strategic Goal 1: Improved and more equitable student learning outcomes through quality teaching and learning										
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020	
1. Proportion of developing country partners (DCPs) showing improvement on learning outcomes (basic education)	UNICEF, others <sup>1</sup>	Every other year	Overall: <sup>2</sup>	54%	n/a	n/a	60%	n/a	65%	
			FCAC: <sup>3</sup>	33%	n/a	n/a	40%	n/a	50%	
			Baseline timeframe = CY2000-2013 N = 14 DCPs with international assessment data available							
2. Percentage of children under five (5) years of age who are developmentally on track in terms of health, learning, and psychosocial well-being <sup>4</sup>	UNICEF	Every other year	Overall:	66%	n/a	n/a	70%	n/a	74%	
			FCAC:	62%	n/a	n/a	-	n/a	-	
			Female:	68%	n/a	n/a	71%	n/a	75%	
			Baseline timeframe = CY2011-2014 N = 22 DCPs							
Strategic Goal 2: Increased equity, gender equality, and inclusion for all in a full cycle of quality education, targeting the poorest and most marginalized, including by gender, disability, ethnicity, and conflict or fragility										
3. Cumulative number of equivalent children supported for a year of basic education (primary and lower secondary) by GPE	UIS and GPE Secretariat	Yearly	Overall:	7.2 million	11.3 million	17.3 million	22.3 million	n/a	n/a	
			FCAC:	5.6 million	7.2 million	9.5 million	11.4 million	n/a	n/a	
			Female:	3.4 million	5.4 million	8.3 million	10.7 million	n/a	n/a	
			Baseline timeframe = CY2015 N = 49 DCPs							

<sup>1</sup> Including international, regional and national assessments.

<sup>2</sup> Throughout this table, the "Overall" fields display data for all DCPs for which data are available.

<sup>3</sup> Fragile and conflict-affected countries.

<sup>4</sup> "Children under five years of age" refers to children between 36 and 59 months of age.

[cont.] GPE 2016–2020 Results Framework – 2/10

Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020			
4. Proportion of children who complete: (a) primary education; (b) lower secondary education	UIS	Yearly [two-year time lag]	<b>(a) Primary Education:</b>									
			Overall:	72.5%	73.7%	74.8%	76.0%	77.1%	78.3%			
			FCAC:	68.1%	69.3%	70.6%	71.9%	73.3%	74.6%			
			Female:	70.1%	71.1%	72.3%	73.5%	74.7%	75.9%			
			<b>(a) Lower Secondary Education:</b>									
			Overall:	47.9%	48.6%	49.5%	50.3%	51.2%	52.1%			
			FCAC:	41.1%	41.9%	42.7%	43.6%	44.5%	45.4%			
			Female:	45.7%	46.9%	48.1%	49.3%	50.6%	51.8%			
			Baseline timeframe = 2013 N = 61 DCPs									
			5. Proportion of GPE DCPs within set thresholds for gender parity index of completion rates for: (a) primary education; (b) lower secondary education	UIS	Yearly [two-year time lag]	<b>(a) Primary Education:</b>						
Overall:	62%	64%				65%	66%	68%	69%			
FCAC:	54%	54%				55%	57%	59%	61%			
<b>(b) Lower Secondary Education:</b>												
Overall:	49%	52%				56%	59%	62%	66%			
FCAC:	36%	32%				38%	43%	48%	54%			
Baseline timeframe = 2013 N = 61 DCPs												
6. Pre-primary gross enrollment ratio	UIS	Yearly [two-year time lag]				Overall:	28.2%	29.0%	29.8%	30.6%	31.4%	32.2%
						FCAC:	22.6%	23.3%	24.0%	24.6%	25.3%	26.0%
						Female:	27.5%	28.3%	29.1%	29.9%	30.8%	31.6%
			Baseline timeframe = 2013 N = 61 DCPs									
7. Out-of-school rate for: (a) children of primary school age; (b) children of lower secondary school age	UIS	Yearly [two-year time lag]	<b>(a) Children of Primary School Age:</b>									
			Overall:	20.3%	19.6%	19.0%	18.3%	17.7%	17.0%			
			FCAC:	25.8%	25.0%	24.2%	23.4%	22.5%	21.7%			
			Female:	22.7%	21.9%	21.1%	20.2%	19.4%	18.6%			
			<b>(b) Children of Lower Secondary School Age:</b>									
			Overall:	33.4%	32.7%	32.0%	31.3%	30.6%	29.9%			
			FCAC:	38.4%	37.2%	36.0%	34.8%	33.6%	32.4%			
			Female:	35.3%	34.3%	33.3%	32.2%	31.2%	30.2%			
			Baseline timeframe = 2013 N = 61 DCPs									

## [cont.] GPE 2016–2020 Results Framework – 3/10

Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
8. Gender parity index of out-of-school rate for: (a) primary education; (b) lower secondary education	UIS	Yearly [two-year time lag]	<b>(a) Primary Education:</b>						
			Overall:	1.27	1.26	1.25	1.24	1.23	1.22
			FCAC:	1.34	1.33	1.32	1.31	1.30	1.29
			<b>(b) Lower Secondary Education:</b>						
			Overall:	1.12	1.10	1.09	1.07	1.05	1.04
			FCAC:	1.19	1.17	1.15	1.14	1.12	1.10
			Baseline timeframe = 2013 N = 61 DCPs						
9. Equity index	UNICEF	Yearly	Overall:	22%	24%	26%	28%	30%	32%
			FCAC:	13%	15%	17%	19%	21%	23%
			Baseline timeframe = CY2010-2014 N = 59 DCPs						

[cont.] GPE 2016–2020 Results Framework – 4/10

OUTCOME									
Strategic Goal 3: Effective and efficient education systems									
Strategic Goal 3: Effective and efficient education systems delivering equitable, quality educational services for all									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
10. Proportion of DCPs that have (a) increased their public expenditure on education; or (b) maintained sector spending at 20% or above	DCPs / GPE Secretariat	Yearly	Overall:	72% (a - 26%; b - 47%)	76%	79%	83%	86%	90%
			FCAC:	71% (a - 29%; b - 43%)	74%	77%	80%	83%	86%
			Baseline timeframe = CY2015 N = 47 DCPs						
11. Equitable allocation of teachers, as measured by the relationship (R <sup>2</sup> ) between the number of teachers and the number of pupils per school in each DCP	DCPs / GPE Secretariat	Every other year	Overall:	29%	n/a	n/a	38%	n/a	48%
			FCAC:	18%	n/a	n/a	n/a	n/a	n/a
			Baseline timeframe = CY2010-2014 N = 21 DCPs						
12. Proportion of DCPs with pupil/trained teacher ratio below threshold (<40) at the primary level	UIS	Yearly [two-year time lag]	Overall:	25%	27%	29%	31%	33%	35%
			FCAC:	13%	13%	17%	17%	21%	21%
			Baseline timeframe = 2013 N = 55 DCPs						
13. Repetition and drop out impact on efficiency, as measured by the internal efficiency coefficient at the primary level in each DCP	DCPs / GPE Secretariat	Every two years	Overall:	26%	n/a	n/a	32%	n/a	42%
			FCAC:	17%	n/a	n/a	n/a	n/a	25%
			Baseline timeframe = CY2010-2014 N = 19 DCPs						
14. Proportion of DCPs reporting at least 10 of 12 key international education indicators to UIS (including key outcomes, service delivery and financing indicators as identified by GPE)	UIS	Yearly [two-year time lag]	Overall:	30%	30%	38%	43%	54%	66%
			FCAC:	32%	32%	39%	43%	46%	54%
			Baseline timeframe = 2012-2013 N = 61 DCPs						
15. Proportion of DCPs with a learning assessment system within the basic education cycle that meets quality standards	UIS, UNESCO, World Bank, DCPs	Every other year	Overall:	32%	n/a	n/a	38%	n/a	47%
			FCAC:	21%	n/a	n/a	29%	n/a	36%
			Baseline timeframe = CY2011-2015 N = 60 DCPs						

[cont.] GPE 2016–2020 Results Framework – 5/10

COUNTRY-LEVEL OBJECTIVES									
Strategic Objective 1: Strengthen education sector planning and policy implementation									
(a) Support evidence-based, nationally owned sector plans focused on equity, efficiency and learning									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
16.a Proportion of endorsed (a) education sector plans (ESP) or (b) transitional education plans (TEP) meeting quality standards	GPE Secretariat	Every two years	Overall:	58% of ESPs/TEPs met at least the minimum number of quality standards	n/a	n/a	95%	n/a	100%
			ESPs:	56% of ESPs met at least 5 quality standards out of 7	n/a	n/a	95%	n/a	100%
			TEPs:	67% of TEPs met at least 3 quality standards out of 5	n/a	n/a	95%	n/a	100%
			Baseline = CY2014-2015 N = 19 sector plans (16 ESPs and 3 TEPs)						
16.b Proportion of ESPs/TEPs that have a teaching and learning strategy meeting quality standards	GPE Secretariat	Every two years	Overall:	58% of ESPs/TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			ESPs:	50% of ESPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			TEPs:	100% of TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			Baseline = CY2014-2015 N = 19 sector plans (16 ESPs and 3 TEPs)						
16.c Proportion of ESPs/TEPs with a strategy to respond to marginalized groups that meets quality standards (including gender, disability, and other context-relevant dimensions)	GPE Secretariat	Every two years	Overall:	68% of ESPs/TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			ESPs:	63% of ESPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			TEPs:	100% of TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			Baseline = CY2014-2015 N = 19 sector plans (16 ESPs and 3 TEPs)						
16.d Proportion of ESPs/TEPs with a strategy to improve efficiency that meets quality standards	GPE Secretariat	Every two years	Overall:	53% of ESPs/TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			ESPs:	50% of ESPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			TEPs:	67% of TEPs met at least 4 out of 5 quality standards	n/a	n/a	95%	n/a	100%
			Baseline = CY2014-2015 N = 19 sector plans (16 ESPs and 3 TEPs)						

[cont.] GPE 2016–2020 Results Framework – 6/10

<b>(b) Enhance sector plan implementation through knowledge and good practice exchange, capacity development and improved monitoring and evaluation, particularly in the areas of teaching and learning and equity and inclusion</b>									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
17. Proportion of DCPs or States with a data strategy that meets quality standards	GPE Secretariat	Yearly	n/a		100%	100%	100%	100%	100%
			<i>Baseline timeframe = FY2015 N = 1 ESPIG application identified with data gaps to inform key indicators.</i>						
<b>COUNTRY-LEVEL OBJECTIVES</b>									
<b>Strategic Objective 2: Support mutual accountability through effective and inclusive sector policy dialogue and monitoring</b>									
<b>(a) Promote inclusive and evidence-based sector policy dialogue and sector monitoring, through government-led local education groups and the joint sector review process, with participation from civil society, teachers' organizations, the private sector and all development partners</b>									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
18. Proportion of joint sector reviews (JSRs) meeting quality standards	GPE Secretariat	Yearly	Overall:	29% of JSRs met at least 3 quality standards out a total of 5	41%	53%	66%	78%	90%
			FCAC:	25% of JSRs met at least 3 quality standards out of a total of 5	38%	51%	64%	77%	90%
			<i>Baseline timeframe = CY15 N = 35 JSRs</i>						
<b>(b) Strengthen the capacity of civil society and teacher organizations to engage in evidence-based policy dialogue and sector monitoring on equity and learning, leveraging social accountability to enhance the delivery of results</b>									
19. Proportion of LEGs with (a) civil society and (b) teacher representation	GPE Secretariat	Yearly	Overall:	44% (a – 77%; b – 48%)	n/a	48%	52%	55%	59%
			FCAC:	55% (a – 77%; b – 58%)	n/a	59%	63%	66%	70%
			<i>Baseline timeframe = FY16 N = 61 LEGs</i>						
<b>COUNTRY-LEVEL OBJECTIVES</b>									
<b>Strategic Objective 3: GPE financing efficiently and effectively supports the implementation of sector plans focused on improved equity, efficiency and learning</b>									
<b>(a) GPE financing is used to improve national monitoring of outcomes, including learning</b>									
20. Proportion of grants supporting EMIS/learning assessment systems	GPE Secretariat, Grant agents	Yearly	Overall:	34%	n/a	n/a	50%	n/a	60%
			FCAC:	33%	n/a	n/a	43%	n/a	51%
			<i>Baseline timeframe = FY15 N = 53 active ESPIGs at the end of FY</i>						

[cont.] GPE 2016–2020 Results Framework – 7/10

<b>(b) GPE financing is used to improve teaching and learning in national education systems</b>									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
21. Proportion of textbooks purchased and distributed through GPE grants, out of the total planned by GPE grants	GPE Secretariat, Grant agents	Yearly	Overall:	79%	n/a	82%	85%	87%	90%
			FCAC:	86%	n/a	87%	88%	89%	90%
			<i>Baseline timeframe = FY16 N = 33 active ESPIGs with data available</i>						
22. Proportion of teachers trained through GPE grants, out of the total planned by GPE grants	GPE Secretariat, Grant agents	Yearly	Overall:	76%	n/a	79%	82%	86%	90%
			FCAC:	66%	n/a	69%	72%	76%	80%
			<i>Baseline timeframe = FY16 N = 33 active ESPIGs with data available</i>						
<b>(c) GPE financing is used to improve equity and access in national education systems</b>									
23. Proportion of classrooms built or rehabilitated through GPE grants, out of the total planned by GPE grants	GPE Secretariat, Grant agents	Yearly	Overall:	67%	n/a	70%	74%	77%	80%
			FCAC:	50%	n/a	55%	60%	65%	70%
			<i>Baseline timeframe = FY16 N = 33 active ESPIGs with data available</i>						
<b>(d) The GPE funding model is implemented effectively, leading to the achievement of country- selected targets for equity, efficiency, and learning</b>									
24. Proportion of GPE program grant applications approved from 2015 onward: (a) identifying targets in Funding Model performance indicators on equity, efficiency and learning; (b) achieving targets in Funding Model performance indicators on equity, efficiency and learning	GPE Secretariat	Yearly	Overall:	(a) Not applicable <sup>5</sup> (b) Not applicable <sup>6</sup>	(a) 95% (b) 90%				
			FCAC:	(a) Not applicable (b) Not applicable	(a) 90% (b) 90%				
			<i>Baseline timeframe = FY15 N = (a) 3 ESPIG applications; (b) 0 active ESPIGs with such performance indicators due for assessment in FY15</i>						
<b>(e) GPE financing is assessed based on whether implementation is on track</b>									
25. Proportion of GPE program grants assessed as on-track with implementation	GPE Secretariat, Grant agents	Yearly	Overall:	78%	n/a	79%	81%	83%	85%
			FCAC:	77%	n/a	79%	80%	82%	83%
			<i>Baseline timeframe = FY16 N = 54 active ESPIGs at the end of FY</i>						

[cont.] GPE 2016–2020 Results Framework – 8/10

GLOBAL LEVEL OBJECTIVES								
Strategic Objective 4: Mobilize more and better financing								
(a) Encourage increased, sustainable, and better coordinated international financing for education by diversifying and increasing GPE's international donor base and sources of financing								
Indicator	Source for Data	Periodicity	Baseline	Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
26. Funding to GPE from non-traditional donors (private sector and those who are first-time donors to GPE)	GPE Secretariat	Yearly	5.0 million USD	6.4 million USD	8.5 million USD	11.3 million USD	n/a	n/a
			<i>Baseline timeframe = FY15</i>					
27. Percentage of donors pledges fulfilled	GPE Secretariat	Yearly	100% of pledges fulfilled	100%	100%	100%	100%	100%
			<i>Baseline timeframe = FY15</i>					
28. Proportion of GPE donors that have (a) increased their funding for education; or (b) maintained their funding	OECD/DAC	Yearly	48% (a – 38%; b – 10%)	n/a	50%	52%	54%	56%
			<i>Baseline timeframe = CY2010 - 2014 N = 21 donors</i>					
(b) Advocate for improved alignment and harmonization of funding from the Global Partnership and its international partners around nationally owned education sector plans and country systems								
29. Proportion of GPE grants aligned to national systems	GPE Secretariat	Yearly	Overall: 34% of ESPIGs meet at least 7 elements of alignment out of a total of 10	37%	41%	44%	47%	51%
			FCAC: 27% of ESPIGs meet at least 7 elements of alignment out of a total of 10	29%	31%	34%	37%	38%
			<i>Baseline timeframe = FY15 N = 68 active ESPIGs at any point during FY</i>					
30. Proportion of GPE grants using: (a) co-financed project or (b) sector pooled funding mechanisms	GPE Secretariat	Yearly	Overall: 31% of ESPIGs are co-financed or sector pooled (a – 18%; b – 13%)	34%	37%	40%	43%	46%
			FCAC: 30% of ESPIGs in FCAC are co-financed or sector pooled (a – 19%; b – 11%)	32%	34%	37%	40%	42%
			<i>Baseline timeframe = FY15 N = 68 active ESPIGs at any point during FY</i>					

[cont.] GPE 2016–2020 Results Framework – 9/10

<b>(c) Support increased, efficient, and equitable domestic financing for education through cross-national advocacy, mutual accountability, and support for transparent monitoring and reporting</b>									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
31. Proportion of country missions addressing domestic financing issues	GPE Secretariat	Yearly	Overall:	47%	51%	54%	58%	61%	65%
			FCAC:	62%	65%	65%	65%	65%	65%
			<i>Baseline timeframe = FY15 N = 57 missions</i>						
<b>GLOBAL LEVEL OBJECTIVES</b>									
<b>Strategic Objective 5: Build a stronger partnership</b>									
<b>(a) Promote and coordinate consistent country-level roles, responsibilities, and accountabilities among governments, development partners, grant agents, civil society, teacher's organizations, and the private sector through local education groups and a strengthened operational model</b>									
32. Proportion of (a) DCPs and (b) other partners reporting strengthened clarity of roles, responsibilities, and accountabilities in GPE country processes	GPE Secretariat	Yearly	<b>All respondents</b>						
			DCPs:	n/a	n/a	65%	70%	75%	80%
			Other partners:	n/a	n/a	65%	70%	75%	80%
			<b>Respondents in FCAC</b>						
			DCPs:	n/a	n/a	65%	70%	75%	80%
			Other partners:	n/a	n/a	65%	70%	75%	80%
<i>Baseline timeframe = FY16 N = 70 respondents in 28 DCPs</i>									
<b>(b) Use global and cross-national knowledge and good practice exchange effectively to bring about improved education policies and systems, especially in the areas of equity and learning</b>									
33. Number of policy, technical and/or other knowledge products developed and disseminated with funding or support from GPE	GPE Secretariat	Yearly	4		6 <sup>7</sup>	21	37	50	64
			<i>Baseline timeframe = FY15</i>						

<sup>7</sup> The target for FY16 was set by the Organization Indicators, which, by definition, does not include KPs developed by partners through GPE funding (GRA KPs).

## [cont.] GPE 2016–2020 Results Framework – 10/10

<b>(c) Expand the partnership's convening and advocacy role, working with partners to strengthen global commitment and financing for education</b>								
Indicator	Source for Data	Periodicity	Baseline	Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
34. Number of advocacy events undertaken with partners and other external stakeholders to support the achievement of GPE's strategic goals and objectives	GPE Secretariat	Yearly	11	n/a	26	38	51	65
			<i>Baseline timeframe = FY16</i>					
<b>(d) Improve GPE's organizational efficiency and effectiveness, creating stronger systems for quality assurance, risk management, country support, and fiduciary oversight</b>								
35. Proportion of significant issues identified through audit reviews satisfactorily addressed	GPE Secretariat	Yearly	<i>In process</i>	n/a	100%	100%	100%	100%
			<i>Baseline timeframe = FY16</i>					
36. Proportion of GPE Secretariat staff time spent on country-facing functions	GPE Secretariat	Yearly	28%	32%	36%	40%	45%	50%
			<i>Baseline timeframe = FY15; N = 2,254.74 total work weeks</i>					
<b>(e) Invest in monitoring and evaluation to establish evidence of GPE results, strengthen mutual accountability and improve the work of the partnership</b>								
37. Proportion of results reports and evaluation reports published against set targets	GPE Secretariat	Yearly	n/a	n/a	n/a	71%	89%	100%
			<i>Baseline timeframe = FY15; N = 1 results report and 0 evaluation reports</i>					

## ii. Evaluation matrix

Annex Table 2: Evaluation matrix

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<b>Key Question I: Has GPE support to [country] contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?<sup>43</sup> If so, how?</b>			
<b>CEQ 1: Has GPE contributed to education sector planning and sector plan implementation in [country] during the period under review?<sup>44</sup> How?</b>			
<b>CEQ 1.1</b> What have been strengths and weaknesses of education sector planning during the period under review?	<ul style="list-style-type: none"> <li>• Extent to which the country's most recent sector plan meets GPE/UNESCO IIEP appraisal criteria<sup>45</sup> <ul style="list-style-type: none"> <li>– Plan preparation process has been country-led, participatory and transparent</li> <li>– Plan constitutes a solid corpus of strategies and actions addressing the key challenges of the education sector</li> <li>– Issues of equity, efficiency and learning are soundly addressed to increase sector performance</li> <li>– There is consistency between different components of the sector plan</li> <li>– Financing, implementation and monitoring arrangements offer a good perspective for achievement</li> </ul> </li> <li>• Extent to which previous sector plans met current GPE or other (e.g. country-specific) quality standards (if and where data are available)</li> <li>• Stakeholder views on strengths and weaknesses of (most recent and previous) sector planning processes in terms of: <ul style="list-style-type: none"> <li>– Leadership for and inclusiveness of sector plan preparation</li> <li>– Relevance and coherence of the sector plan</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Current and past sector plans (including from period prior to country joining GPE, if available)</li> <li>• GPE ESP/TSP quality assurance documents</li> <li>• JSR reports</li> <li>• Other relevant reports or reviews that comment on the quality of previous sector plans</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post analysis (where data on previous policy cycles are available)</li> <li>• Triangulation of data deriving from document review and interviews</li> </ul>

<sup>43</sup> OECD DAC evaluation criteria of relevance, effectiveness and efficiency.

<sup>44</sup> The core period under review varies for summative and prospective evaluations. Prospective evaluations will primarily focus on the period from early 2018 to early 2020 and will relate observations of change back to the baseline established at this point. The summative evaluations will focus on the period covered by the most recent ESPIG implemented in the respective country. However, for selected indicators (and subject to data availability) the summative evaluations will look back up to five years prior to the country becoming a GPE member to conduct a trend analysis of relevant data.

<sup>45</sup> GPE, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Available at: [file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge\\_8wekyb3d8bbwe/TempState/Downloads/2015-06-gpe-iiep-guidelines-education-sector-plan-appraisal.pdf](file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge_8wekyb3d8bbwe/TempState/Downloads/2015-06-gpe-iiep-guidelines-education-sector-plan-appraisal.pdf)

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> <li>– Adequacy of sector plan in addressing equity, efficiency and learning issues</li> <li>– Timeliness of plan preparation processes</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>	
<p><b>CEQ 1.2</b> What have been strengths and weaknesses of sector plan implementation during the period under review?</p>	<ul style="list-style-type: none"> <li>• Progress made toward implementing sector plan objectives/meeting implementation targets of current/most recent sector plan. (If data are available: compared to progress made on implementing previous sector plan)</li> <li>• Extent to which sector plan implementation is fully funded (current/most recent plan compared to earlier sector plan if data are available)</li> <li>• Stakeholder views on timeliness, effectiveness and efficiency of sector plan implementation, and on changes therein compared to earlier policy cycles, due to:               <ul style="list-style-type: none"> <li>– Extent to which plans are coherent and realistic</li> <li>– Implementation capacity and management</li> <li>– Funding</li> <li>– Other (context-specific)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Current and past sector plans (including from period prior to country joining GPE, if available)</li> <li>• DCP government ESP/TSP implementation documents, including mid-term or final reviews</li> <li>• Relevant program or sector evaluations, including reviews preceding the period of GPE support under review</li> <li>• JSR reports</li> <li>• Reports or studies on ESP/TSP commissioned by other DPs and/or the DCP government</li> <li>• CSO reports</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post analysis (where data on previous policy cycles are available)</li> <li>• Triangulation of data deriving from document review and interviews</li> </ul>
<p><b>CEQ 1.3</b> Has GPE contributed to the observed characteristics of sector planning? How?</p>	<p>a) Contributions through GPE ESPDG grant and related funding requirements:</p> <ul style="list-style-type: none"> <li>• ESPDG amount as a share of total resources invested in sector plan preparation.</li> </ul> <p>Evidence of GPE ESPDG grant addressing gaps/needs or priorities identified by the DCP government and/or LEG</p>	<ul style="list-style-type: none"> <li>• ESP implementation data including JSRs</li> <li>• GPE Grant Agent reports and other</li> </ul>	<ul style="list-style-type: none"> <li>• Triangulation of data deriving from document</li> </ul>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>a) Through the GPE ESPDG grant (funding, funding requirements)</p> <p>b) Through other support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice)<sup>46</sup></p>	<p>b) Contributions through other (non-ESPDG-related) support:</p> <ul style="list-style-type: none"> <li>• Support directed at priority needs/gaps identified by the DCP government and/or LEG</li> <li>• Support adapted to meet the technical and cultural requirements of the specific context in [country]</li> <li>• Support aimed at strengthening sustainable local/national capacities for sector planning or plan implementation</li> <li>• Stakeholder views on relevance and appropriateness of GPE technical assistance, advocacy, standards, guidelines, capacity building, facilitation, CSEF and ASA grants, and knowledge exchange in relation to: <ul style="list-style-type: none"> <li>– Addressing existing needs/priorities</li> <li>– Respecting the characteristics of the national context</li> <li>– Adding value to country-driven processes (e.g. quality assurance provided by Secretariat)</li> </ul> </li> </ul>	<p>grant performance data</p> <ul style="list-style-type: none"> <li>• Secretariat reports, e.g. country lead back to office/mission reports</li> <li>• GPE ESP/TSP quality assurance documents</li> <li>• Other documents on technical assistance/advocacy</li> <li>• Country-specific grant applications</li> <li>• Interviews</li> <li>• Education sector analyses</li> <li>• Country's poverty reduction strategy paper</li> </ul>	<p>review and interviews</p> <ul style="list-style-type: none"> <li>• Where applicable: comparison of progress made toward ESPIG grant objectives linked to specific performance targets with those objectives without targets (variable tranche)</li> </ul>
<p><b>CEQ 1.4</b> Has GPE contributed to the observed characteristics of sector plan implementation? How?</p> <p>a) Through GPE ESPDG and ESPIG grants-related</p>	<p>a) Contributions through GPE ESPDG and ESPIG grants, related funding requirements and variable tranche (where applicable)</p> <ul style="list-style-type: none"> <li>• Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education</li> </ul>	<ul style="list-style-type: none"> <li>• ESP implementation data, including JSRs</li> <li>• GPE Grant Agent reports and other grant performance data</li> </ul>	<ul style="list-style-type: none"> <li>• Triangulation of data deriving from document review and interviews</li> </ul>

<sup>46</sup> Technical assistance and facilitation provided primarily through the Secretariat, the grant agent and coordinating agency. Advocacy can include inputs from the Secretariat, grant agent, coordinating agency, LEG, and GPE at the global level (e.g. Board meetings, agreed-upon standards). Knowledge exchange includes cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>funding requirements and the variable tranche<sup>47</sup></p> <p>b) Through non-financial support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, and facilitation, and cross-national sharing of evidence/good practice)<sup>48</sup></p>	<ul style="list-style-type: none"> <li>• Maximum allocation amounts and actual amount a country receives from GPE through the fixed and/or the variable tranche and reasons for not receiving the total MCA</li> <li>• Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG</li> <li>• Progress made toward targets outlined in GPE grant agreements as triggers for variable tranche, compared to progress made in areas without specific targets (where applicable)</li> <li>• Proportion of overall sector plan funded through GPE ESPIG</li> <li>• Proportion of textbook purchases planned under current/most recent sector plan funded through GPE grant</li> <li>• Proportion of teachers trained under current/most recent sector plan funded through GPE grant</li> <li>• Proportion of classrooms built under current/most recent sector plan funded through GPE grant</li> <li>• Progress made toward objectives/targets outlined in GPE grant agreement (where applicable: compare progress made in areas with specific targets as triggers for release of variable tranche compared to progress made in areas without specific targets)</li> <li>• Timeliness of implementation of GPE grants (ESPDG, Program Development Grant, ESPIG)</li> <li>• Grant implementation is on budget</li> <li>b) Contributions through non-financial support <ul style="list-style-type: none"> <li>• GPE support aimed at strengthening sustainable local/national capacities for plan implementation</li> <li>• Stakeholder views on relevance and appropriateness of GPE non-financial support in relation to: <ul style="list-style-type: none"> <li>– Addressing existing needs/priorities</li> <li>– Respecting characteristics of the national context</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Secretariat reports, e.g. country lead back to office/mission reports</li> <li>• GPE ESP/TSP quality assurance documents</li> <li>• Other documents on technical assistance/advocacy</li> <li>• Country-specific grant applications</li> <li>• Interviews</li> <li>• Education sector analyses</li> <li>• Country's poverty reduction strategy paper</li> </ul>	<ul style="list-style-type: none"> <li>• Where applicable: comparison of progress made toward ESPIG grant objectives linked to specific performance targets with those objectives without targets (variable tranche)</li> </ul>

<sup>47</sup>

Where applicable.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> <li>- Adding value to country-driven processes (e.g. quality assurance provided by Secretariat)</li> </ul>		
<p><b>CEQ 1.4</b> Has GPE contributed to leveraging additional education sector financing and improving the quality of financing?</p> <p>a) Leveraging of additional finance from the government?</p> <p>b) Leveraging of additional finance from other partners through GPE multiplier funding mechanisms (where applicable)?</p> <p>c) Leveraging of additional finance from other partners through means other than the multiplier funding mechanism?</p> <p>d) Improvements in the quality of education finance (e.g. short-, medium- and long-term predictability, alignment with government systems)?</p>	<p>a) Leveraging additional finance from government</p> <ul style="list-style-type: none"> <li>• Changes in country's public expenditures on education during period under review (by sub-sector if available)</li> </ul> <p>b) Leveraging additional finance through multiplier funding</p> <ul style="list-style-type: none"> <li>• Extent to which country has achieved, maintained or exceeded 20 percent of public expenditures on education during period under review</li> <li>• Amount received through the GPE multiplier fund (if applicable)</li> </ul> <p>c) Leveraging additional finance through other means</p> <ul style="list-style-type: none"> <li>• Amounts and sources of domestic resources mobilized through GPE advocacy efforts</li> </ul> <p>(b and c):</p> <ul style="list-style-type: none"> <li>• Changes in relative size of GPE financial contribution in relation to other donor' contributions</li> <li>• Trends in external and domestic financing channeled through and outside of GPE, and for basic and total education, to account for any substitution by donors or the country government</li> <li>• Changes in donor aid to country; extent to which GPE Program Implementation Grant-supported programs have been co-financed by other actors or are part of pooled funding mechanisms; Amounts and sources of non-traditional financing (e.g. private or innovative finance) that can be linked to GPE leveraging</li> </ul> <p>d) Quality of education finance</p> <ul style="list-style-type: none"> <li>• Alignment of GPE ESPIGs with GPE's system alignment criteria (including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively)</li> <li>• Possible reasons for non-alignment or non-harmonization (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with national actors (e.g. ministry of finance, ministry of education, LEGs/development partner groups)</li> <li>• GPE data (e.g. grant documents, country commitments and disbursements, donor pledges and contributions)</li> <li>• Creditor Reporting System of OECD DAC</li> <li>• UIS data of UNESCO</li> <li>• National data (e.g. EMIS, school censuses and surveys, National Education Accounts, JSRs, public expenditure reviews)</li> </ul>	<ul style="list-style-type: none"> <li>• Trend analysis for period under review</li> <li>• Comparative analysis (GPE versus other donor contributions)</li> <li>• Triangulation of quantitative analysis with interview data</li> </ul>
<b>CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, how?</b>			
<p><b>CEQ 2.1</b> Has sector dialogue changed during the period under review?</p>	<ul style="list-style-type: none"> <li>• Composition of the country's LEG (in particular, civil society and teacher association representation), and changes in this composition during period under review</li> <li>• Frequency of LEG meetings, and changes in frequency during period under review</li> </ul>	<ul style="list-style-type: none"> <li>• LEG meeting notes</li> <li>• JSRs or equivalent from before and</li> </ul>	<ul style="list-style-type: none"> <li>• Pre-post comparison</li> <li>• Triangulation of results of</li> </ul>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> <li>• Stakeholder views on changes in sector dialogue in terms of:               <ul style="list-style-type: none"> <li>– Inclusiveness</li> <li>– Frequency, consistency, and clarity of roles and responsibilities</li> <li>– Relevance (i.e. perceptions on whether stakeholder input is taken into account for decision-making)</li> <li>– Quality (evidence-based, transparent)</li> </ul> </li> </ul>	<p>during most recent ESPIG period</p> <ul style="list-style-type: none"> <li>• GPE sector review assessments</li> <li>• ESP/TSP, and documents illustrating process of their development</li> <li>• Back to office reports/memos from Secretariat</li> <li>• Interviews</li> </ul>	<p>document review and interviews</p> <ul style="list-style-type: none"> <li>• Stakeholder analysis and mapping</li> </ul>
<p><b>CEQ 2.2</b> Has sector monitoring changed?</p>	<ul style="list-style-type: none"> <li>• Frequency of JSRs conducted, and changes in frequency during period under review</li> <li>• Extent to which JSRs conducted during period of most recent ESPIG met GPE quality standards (if data are available: compared to JSRs conducted prior to this period)</li> <li>• Evidence deriving from JSRs is reflected in DCP government decisions (e.g. adjustments to sector plan implementation) and sector planning</li> <li>• Measures in the current sector plan to strengthen sector monitoring (especially monitoring the quality of teaching and learning, equity, equality and inclusion) are implemented</li> <li>• Stakeholder views on changes in JSRs in terms of them being:               <ul style="list-style-type: none"> <li>– Inclusive and participatory</li> <li>– Aligned to existing sector plan and/or policy framework</li> <li>– Evidence-based</li> <li>– Used for learning/informing decision-making</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• LEG meeting notes</li> <li>• JSRs or equivalent from before and during most recent ESPIG period</li> <li>• GPE sector review assessments</li> <li>• Grant Agent reports</li> <li>• Back to office reports/memos from Secretariat</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post comparison</li> <li>• Triangulating the results of document review and interviews</li> </ul>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> <li>– Embedded in the policy cycle (timing of JSR appropriate to inform decision-making; processes in place to follow up on JSR recommendations)<sup>49</sup></li> <li>• Stakeholder views on extent to which current practices of sector dialogue and monitoring amount to ‘mutual accountability’ for the education sector</li> </ul>		
<p><b>CEQ 2.3</b> Has GPE contributed to observed changes in sector dialogue and monitoring? How?</p> <p>a) Through GPE grants and funding requirements</p> <p>b) Through other support<sup>50</sup></p>	<p>a) Grants and funding requirements</p> <ul style="list-style-type: none"> <li>• Proportion of EMIS-related improvements outlined in current/most recent sector plan funded through GPE grant</li> </ul> <p>b) Non-grant-related support</p> <ul style="list-style-type: none"> <li>• Support is targeted at issues identified as priorities by DCP government and/or LEG</li> <li>• Support is adapted to meet the technical and cultural requirements of the specific context in [country]</li> <li>• Support is aimed at strengthening local/national capacities for conducting inclusive and evidence-based sector dialogue and monitoring</li> </ul> <p>a) and b)</p> <ul style="list-style-type: none"> <li>• Stakeholder view on relevance and appropriateness of GPE grants and related funding requirements, and of technical assistance in relation to: <ul style="list-style-type: none"> <li>– Addressing existing needs/priorities</li> <li>– Respecting characteristics of the national context</li> <li>– Adding value to country-driven processes (e.g. around JSRs)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• LEG meeting notes</li> <li>• JSRs or equivalent from before and during most recent ESPIG period</li> <li>• GPE sector review assessments</li> <li>• Grant Agent reports</li> <li>• Back to office reports/memos from Secretariat</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Triangulation of the results of document review and interviews</li> </ul>
<p><b>CEQ 3: Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring?</b></p>			

<sup>49</sup> Technical assistance and facilitation provided primarily through the Secretariat, the grant agent and coordinating agency. Advocacy – including inputs from the Secretariat, grant agent, coordinating agency, LEG and GPE at global level (e.g. Board meetings, agreed-upon standards). Knowledge exchange – including cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

<sup>49</sup> Criteria adapted from: GPE. Effective Joint Sector Reviews as (Mutual) Accountability Platforms. GPE Working Paper #1. Washington. June 2017. Available at: <https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews>

<sup>50</sup> Technical assistance, advocacy, standards, quality assurance, guidelines, capacity building, facilitation and cross-national sharing of evidence/good practice.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p><b>CEQ 3.1</b> What factors other than GPE support are likely to have contributed to the observed changes (or lack thereof) in sector plan development, sector financing and plan implementation, and in sector dialogue and monitoring?</p>	<ul style="list-style-type: none"> <li>• Changes in nature and extent of financial/non-financial support to the education sector provided by development partners/donors (traditional/non-traditional donors including foundations)</li> <li>• Contributions to sector planning, plan implementation, sector dialogue or monitoring made by actors other than GPE</li> <li>• Changes/events in national or regional context(s) <ul style="list-style-type: none"> <li>– Political context (e.g. changes in government/leadership)</li> <li>– Economic context</li> <li>– Social/environmental contexts (e.g. natural disasters, conflict, health crises)</li> <li>– Other (context-specific)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors with related implications for [country]</li> <li>• Relevant studies/reports commissioned by other education sector actors (e.g. donors, multilateral agencies) regarding nature/changes in their contributions and related results</li> <li>• Government and other (e.g. media) reports on changes in relevant national contexts and implications for the education sector</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Triangulation of the results of document review and interviews</li> </ul>
<p><b>CEQ 3.2</b> During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?</p>	<ul style="list-style-type: none"> <li>• Types of unintended, positive and negative, effects on sector planning, sector financing, sector plan implementation, sector dialogue and monitoring deriving from GPE funding (grants)</li> <li>• Types of unintended, positive and negative, effects deriving from other GPE support</li> </ul>	<ul style="list-style-type: none"> <li>• All data sources outlined for CEQs 1 and 2 above</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Triangulation of the results of document review and interviews</li> </ul>

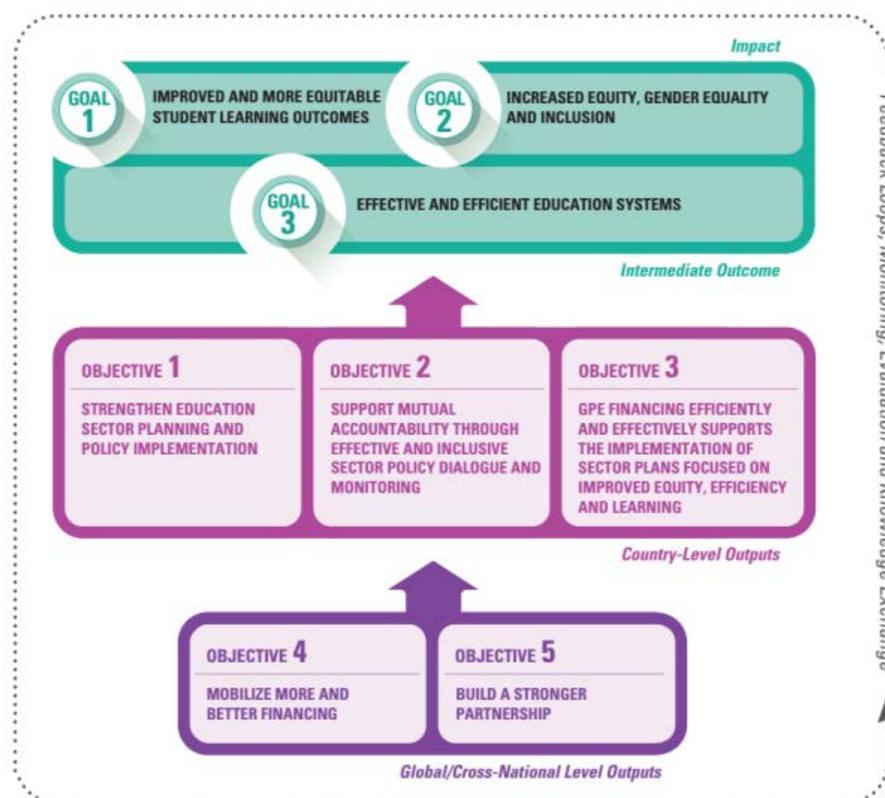
MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<b>Key Question II: Has the achievement of country-level objectives<sup>51</sup> contributed to making the overall education system in [country] more effective and efficient?</b>			
<p><b>CEQ 4</b> During the period under review, how has the education system changed in relation to:</p> <p>a) Quality of teaching/instruction</p> <p>b) Evidence-based, transparent decision-making</p> <p>c) Country-specific areas of system strengthening for furthering equity and/or learning, and for ensuring effective and efficient use of resources</p>	<p>a) Quality of teaching/instruction</p> <ul style="list-style-type: none"> <li>• Changes in pupil/trained teacher ratio during period under review</li> <li>• Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school)</li> </ul> <p>b) Evidence-based, transparent decision-making</p> <ul style="list-style-type: none"> <li>• Changes in number of education indicators that country reports to UIS during period under review</li> <li>• Changes in whether country has quality LAS within the basic education cycle during period under review</li> <li>• Other, country-specific indicators illustrating changes in evidence-based, transparent data collection, reporting and decision-making</li> </ul> <p>c) Indicators for specific areas of education systems strengthening, as outlined in the country's current sector plan, related to:</p> <ul style="list-style-type: none"> <li>• Sector management (e.g. changes in ministerial, district and/or school-level management structures, guidelines, staffing, financing, and approaches to ensuring effective and efficient use of resources)</li> <li>• Learning (appropriate and available education inputs, additional country-specific efforts to enhance the quality of teaching/instruction, e.g. through new/improved incentives for schools/teachers)</li> <li>• Equity (removal of barriers to school participation for all learners; creating inclusive learning environments)</li> </ul> <p>(a-c): Stakeholder perceptions of areas within the education system that have/have not changed during period under review</p>	<ul style="list-style-type: none"> <li>• EMIS</li> <li>• UIS data</li> <li>• World Bank data</li> <li>• Household survey data</li> <li>• ASER/UWEZO other citizen-led surveys</li> <li>• Grant Agent progress reports</li> <li>• Implementing partner progress reports</li> <li>• Mid-term evaluation reports</li> <li>• GPE annual results report</li> <li>• Appraisal reports</li> <li>• Public expenditure reports</li> <li>• CSO reports</li> <li>• SABER database</li> <li>• Education financing studies</li> <li>• Literature on good practices in education system domains addressed in country's sector plan</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post comparison of statistical data for periods under review</li> <li>• Triangulation of the results of document review, with statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening</li> </ul>

<sup>51</sup> GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

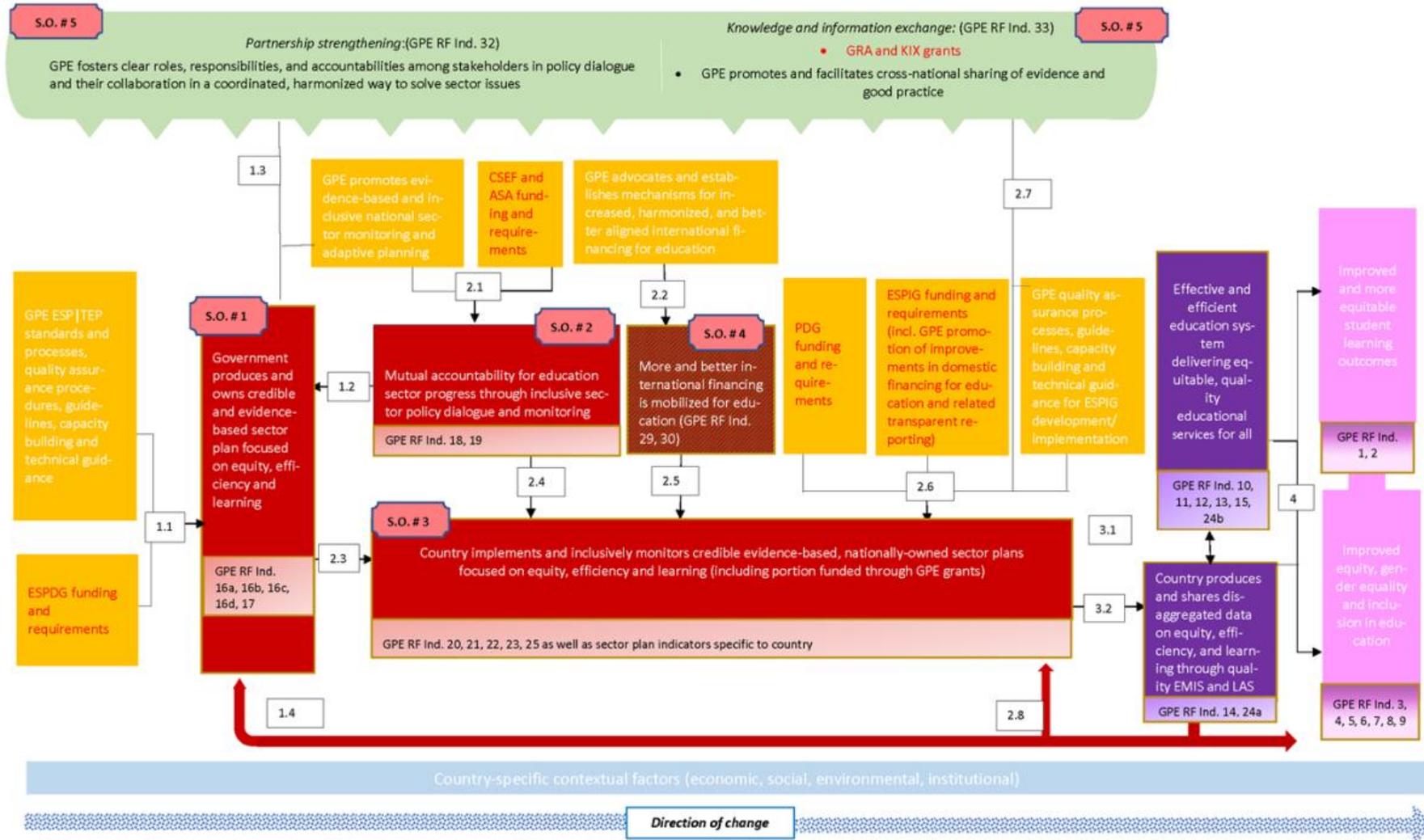
MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<b>CEQ 5</b> How have changes in sector planning, plan implementation, and mutual accountability contributed to observed changes at education system level?	<ul style="list-style-type: none"> <li>The specific measures put in place as part of sector plan implementation address previously identified bottlenecks at system level</li> <li>Alternative explanations for observed changes at system level (e.g. changes due to external factors, continuation of a trend that was already present before current/most recent policy cycle, targeted efforts outside of the ESP)</li> <li>Stakeholder perceptions of reasons for observed changes</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Sources as shown for CEQ 4</li> <li>Literature on good practices in education system domains addressed in country's sector plan</li> <li>Education sector analyses</li> <li>Country's poverty reduction strategy paper</li> </ul>	
<b>Key Question III: Have changes at education system level contributed to progress toward impact?</b>			
<b>CEQ 6:</b> During the period under review, what changes have occurred in relation to: <ol style="list-style-type: none"> <li>Learning outcomes (basic education)?</li> <li>Equity, gender equality and inclusion in education?</li> </ol>	<ol style="list-style-type: none"> <li>Learning outcomes:               <ul style="list-style-type: none"> <li>Changes in learning outcomes (basic education) during period under review.</li> <li>Changes in percentage of children under five years of age in [COUNTRY] who have been developmentally on track in terms of health, learning and psychosocial well-being. Or changes in other early childhood care and education measures from country-level surveys</li> </ul> </li> <li>Equity, gender equality and inclusion:               <ul style="list-style-type: none"> <li>Changes in proportion of children who complete (i) primary, (ii) lower-secondary education</li> <li>Changes in out-of-school rate for (i) primary, (ii) lower-secondary education</li> <li>Changes in the distribution of OOSC (girls/boys; children with/without disability; ethnic, geographic and/or economic backgrounds)</li> <li>ESP sets Gender Parity Index/targets for (i) primary, (ii) lower-secondary education</li> <li>Extent to which these targets have been achieved</li> <li>Stakeholder perceptions of extent of, and reasons for, impact-level changes during period under review</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>Sector performance data available from GPE, UIS, DCP government and other reliable sources</li> <li>Teacher Development Information System</li> <li>EMIS</li> <li>National examination data</li> <li>International and regional learning assessment data</li> <li>EGRA/EGMA data</li> <li>ASER/UWEZO other citizen-led surveys</li> </ul>	<ul style="list-style-type: none"> <li>Pre/post comparison of available education sector data during period under review</li> <li>Triangulation of statistical data with qualitative document analysis and interviews</li> </ul>

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	(a and b): Additional country-specific indicators as outlined in current sector plan and/or related monitoring framework	<ul style="list-style-type: none"> <li>• Grant Agent and implementing partner progress reports</li> <li>• Mid-term evaluation reports</li> <li>• GPE annual results report</li> <li>• Appraisal reports</li> <li>• Interviews</li> </ul>	
<p><b>CEQ 7</b> Is there evidence to link changes in learning outcomes, equity, gender equality and inclusion to system-level changes identified under CEQ 4?</p> <p>What other factors can explain changes in learning outcomes, equity, etc.?</p>	<ul style="list-style-type: none"> <li>• Changes in country's change trajectory related to learning outcomes, equity, gender equality and inclusion during period under review</li> <li>• Additional explanations for observed changes in learning outcomes, equity, gender equality, and inclusion other than system-level changes noted under CEQ 4 and 5</li> <li>• Stakeholder perceptions of extent of, and reasons for, impact-level changes during period under review</li> </ul>	<ul style="list-style-type: none"> <li>• Studies/evaluation reports on education (sub-)sector(s) in country commissioned by the DCP government or other development partners (where available)</li> <li>• Literature on key factors affecting learning outcomes, equity, equality and inclusion in comparable settings</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• Pre/post comparison of available education sector data during period under review</li> <li>• Triangulation of statistical data with qualitative document analysis and interviews</li> <li>• Weighing supporting and refuting evidence of GPE contributions to sector outcomes during period of review</li> </ul>

### iii. GPE 2020 Strategic Plan



### iv. Generic country-level ToC



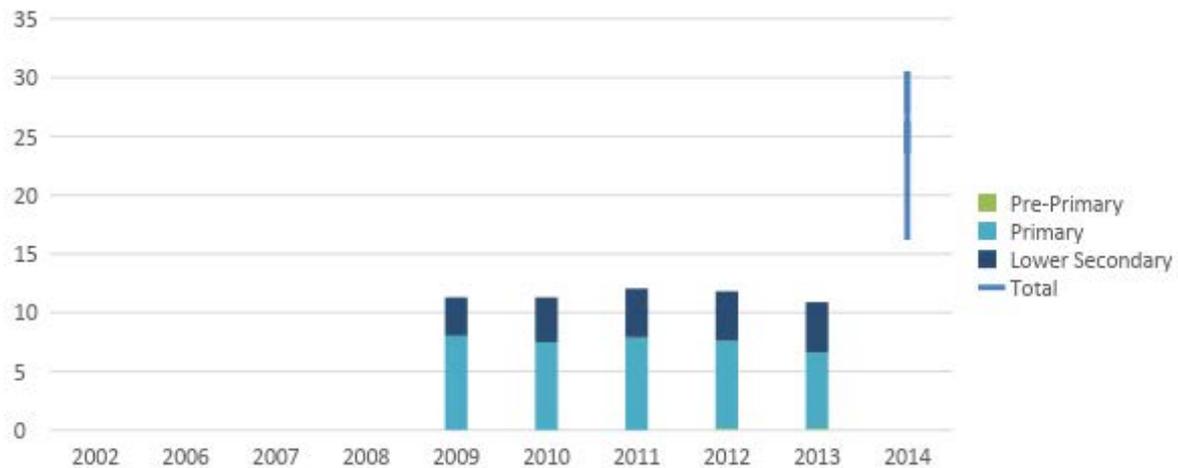
## Annex E People consulted – Ethiopia mission 2018

*Annex Table 3: People consulted*

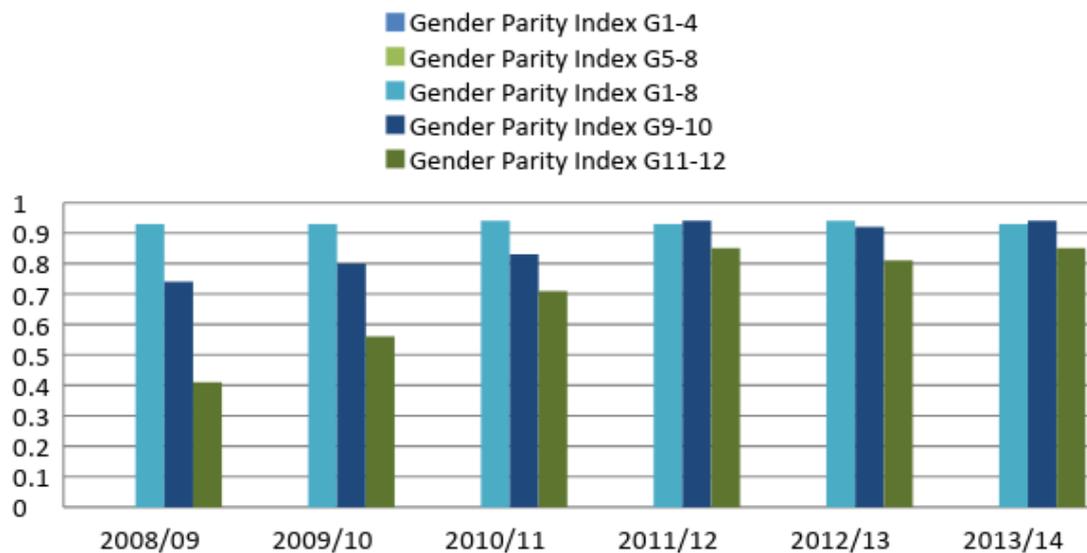
ORGANIZATION	NAME	TITLE	M/F
UNICEF Ethiopia	Emmanuelle Abrioux	Chief, Education	F
Ministry of Education	Elias Wakjira	Director, Planning and Resource Mobilization	M
Ethiopia Teachers' Association	Yohannes Bent	Director	F
World Bank	Hiroshi Saeki	Education Team Leader	M
World Bank	Girma Woldetsadik	Education Co-Team Leader	F
DFID UKAID	Seleshe Legesse	Senior Education Specialist	M
Embassy of Finland	Dr. Sai Vayrynen	Counsellor	M
Ministry of Education	Berhan Hailu	GEQIP Coordinator	M
International Cooperation Directorate, Ministry of Finance and Economic Cooperation	Mr. Fissiha	Director	M
Oromia Regional Education Bureau		Deputy-Director	M
USAID Ethiopia	Marc Bonnenfant	Team Leader, Education and Youth	M
Embassy of Norway	Ms. Sissel Idland	Counsellor	F

## Annex F Additional country data

Annex Figure 1: Education expenditure as share of government expenditure<sup>52</sup>



Annex Figure 2: Gender parity indices<sup>53</sup>

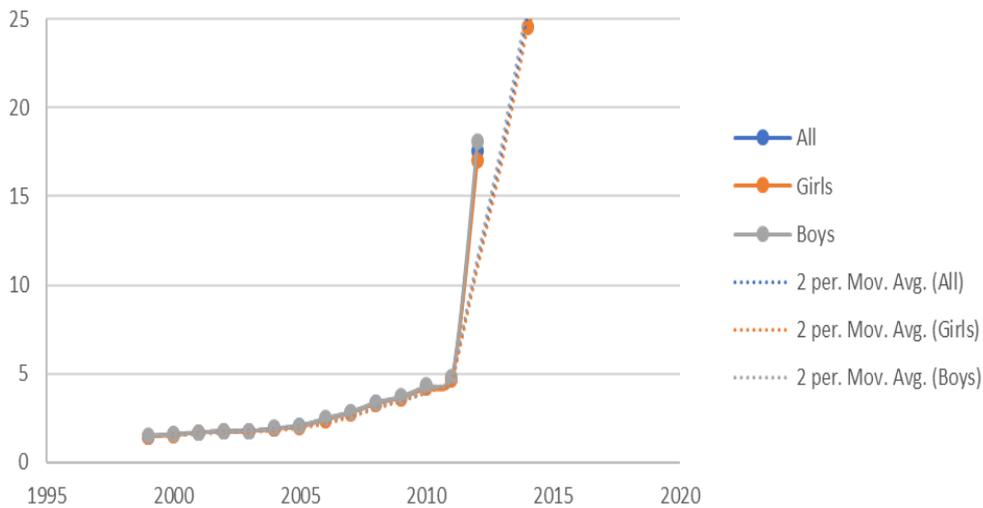


<sup>52</sup> Ethiopia's ESPIG Application to GPE, 2016.

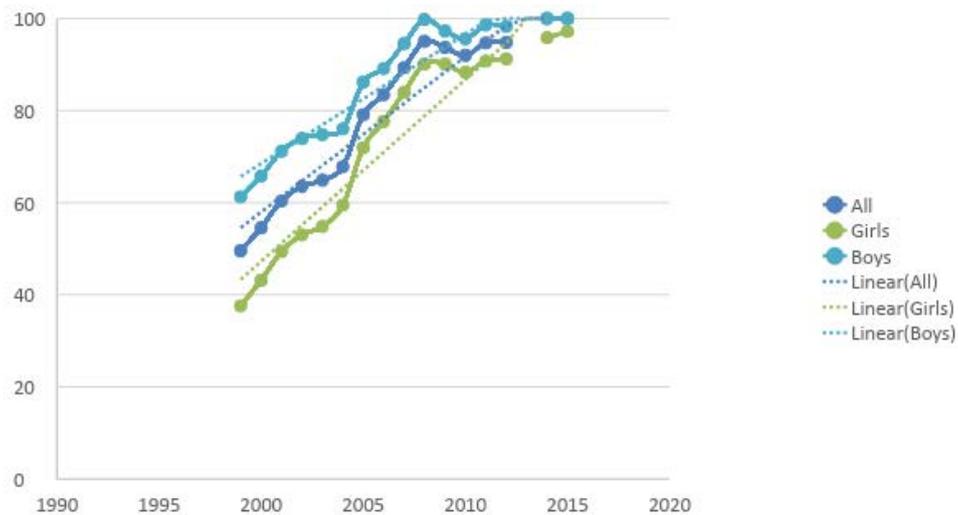
<sup>53</sup> GEQIP Mid-Term Review, 2016

# Annex G UIS data

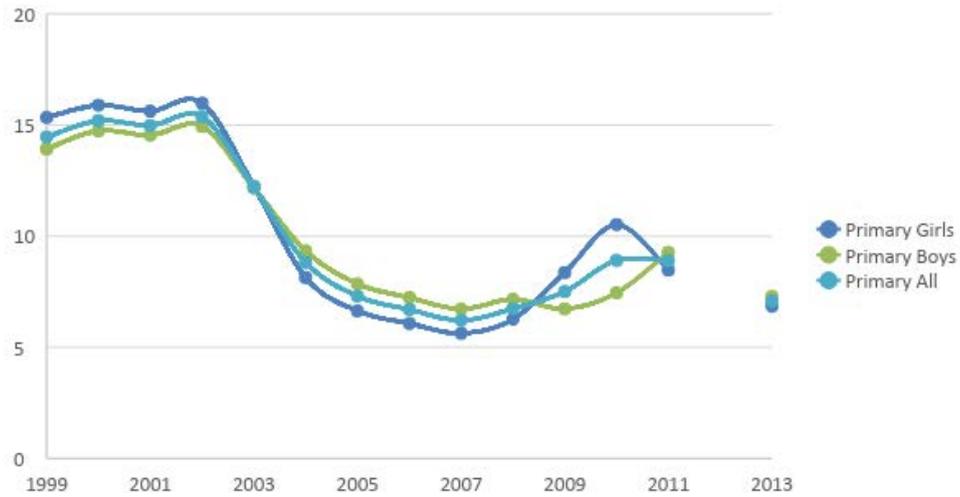
**Annex Figure 3: Pre-primary GER**



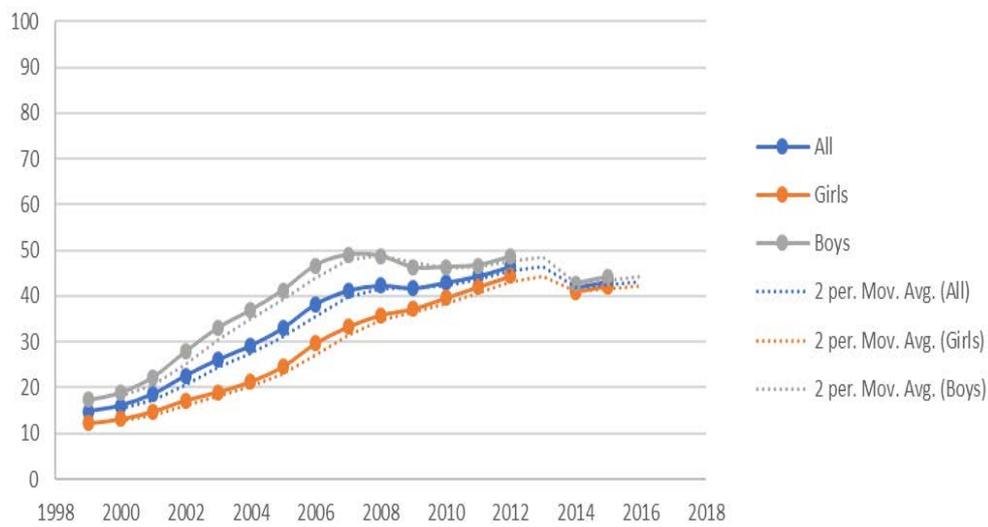
**Annex Figure 4: Primary GER**



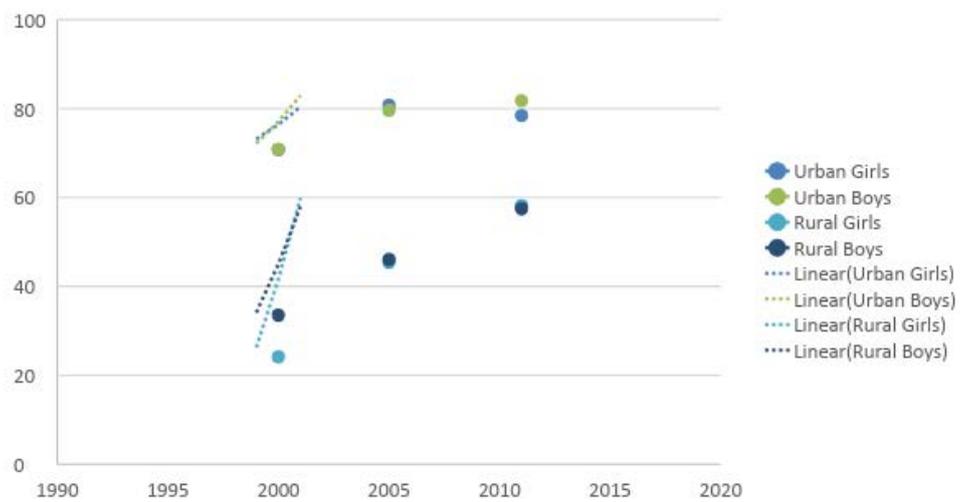
**Annex Figure 5: Primary repetition rates**



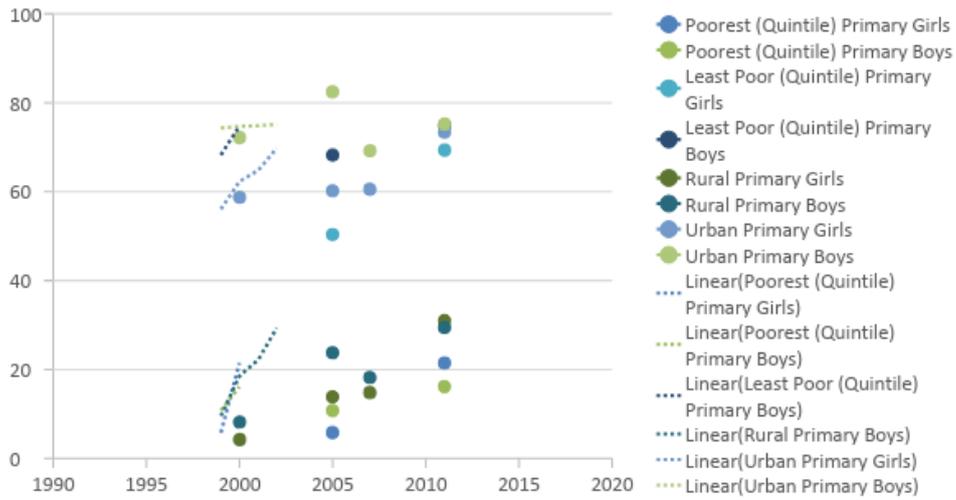
Annex Figure 6: GER lower-secondary



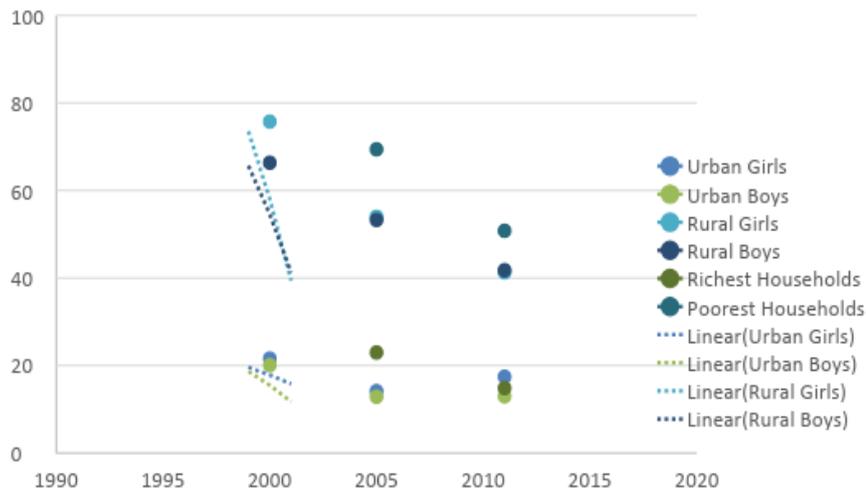
Annex Figure 7: Net primary attendance rate



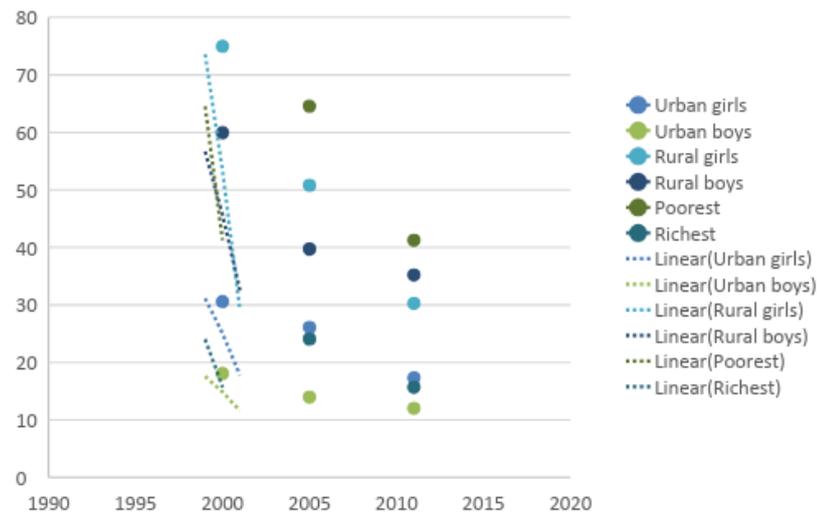
Annex Figure 8: Inequalities in primary completion



Annex Figure 9: Inequalities in primary OOSC



Annex Figure 10: Inequalities in lower-secondary OOSC



## Annex H GPE 2020 results framework data

**Annex Table 4: Number of equivalent children<sup>54</sup>**

	Number of equivalent children supported					
	Primary education boys	Primary education girls	Lower-secondary education boys	Lower-secondary education girls	Total boys	Total girls
Children supported	764,371	694,867	74,938.37	68,124	839,310	762,992

**Annex Table 5: Gross intake ratio (GIR) in last grade<sup>55</sup>**

	GIR	GIR Female	GIR Boys
Primary	54.28	53.15	55.39
Lower-secondary	29.61	29.01	30.19

**Annex Table 6: Pre-primary GER and primary, lower-secondary OOSC rate<sup>56</sup>**

	Total	Female	Male
Pre-primary GER	30.24	29.42	31.03
Primary OOSC rate	13.98	17.16	10.86
Lower-secondary OOSC rate	57.99	61.70	54.42

**Annex Table 7: CSO and teacher representation on LEG**

Country	CSO	Teacher representation	Combined
Ethiopia	1	1	1

**Annex Table 8: Grant supports**

	Grant supports

<sup>54</sup> This has been taken from the internal GPE Secretariat's results framework data on indicator 3, 2017.

<sup>55</sup> UIS, 2015, Data on progress and completion in education in Ethiopia.

<sup>56</sup> *Ibid.*

Country	Only EMIS	Only LAS	Both EMIS and LAS	Either EMIS or LAS
Ethiopia	1	1	1	1

*Annex Table 9: GA ratings*

Country	Grant	GA ratings (or GPE Secretariat ratings in case of disagreement)	Traffic light (On-track /Slightly Behind/Delayed)
Ethiopia	P129828	Moderately satisfactory	Slightly behind

*Annex Table 10: Type of financing*

Country	Active during current FY? (Yes=1; No=0)	Type of financing		
		a. Co-financed (Yes=1; No=0)	b. Sector-pooled (Yes=1; No=0)	c. Stand-alone (Yes=1; No=0)
Ethiopia	1	0	1	0

*Annex Table 11: Country missions addressing domestic financing*

Country	Total missions undertaken	Total country missions addressing domestic financing
Ethiopia	3	2

*Annex Table 12: Number of significant issues from audit reviews satisfactorily addressed*

Audit reviews	Date	Number of significant issues raised at the end of GPE FY 2017	Number of significant issues satisfactorily addressed at the end of GPE FY 2017
35	2016	0	0

Annex Table 13: Outcome, service delivery and financing indicators reported (1=Yes, 0=No)

Country	Year	Category 1: Outcome indicators				Category 2: Service delivery indicators				Category 3: Financing indicators				
		Pre-primary GER	Primary Gross Intake Rate	Primary GER	Primary Completion Rate	Lower-Secondary Completion Rate	Pupil-Teacher Ratio, Primary Education	Pupil-Teacher Ratio, Lower-Secondary Education	Percentage of Teacher trained, Primary Education	Percentage of Teacher trained, Lower-secondary Education	Public Expenditure on education as percentage of GDP	Public expenditure on education as percentage of public expenditure	Educational expenditure in Primary as percentage Of total educational expenditure	Country met criteria of 10 out of 12 key indicators REPORTED (1=Yes, 0=No)
Ethiopia	2015	1	1	1	1	1	0	0	0	0	0	0	0	0

## Annex I Stakeholder mapping

236. A stakeholder mapping exercise identifies and maps key stakeholders at the national level that were to be consulted during the evaluation; it assesses each stakeholder's role and influence with regards to GPE activities, and their role in the Ethiopia evaluation.

**Annex Table 14: Stakeholder mapping for Ethiopia**

STAKEHOLDER	INTEREST IN/INFLUENCE ON GPE COUNTRY-LEVEL PROGRAMMING IMPORTANCE FOR THE EVALUATION	ROLE IN THE COUNTRY-LEVEL EVALUATION
GPE Secretariat	<b>Interest:</b> High. <b>Influence:</b> High. The Secretariat operationalizes guidance on overall direction and strategy issued by the Board. <b>Importance:</b> High.	The main internal stakeholders and users of the evaluation; Key informants; country lead facilitated the evaluation team's contacts with stakeholders.
Board members (from developing countries included in the sample)	<b>Interest:</b> High. <b>Influence:</b> High. Board members influence the direction, strategy development and management of GPE, and they ensure resources. The extent to which DCP Board members are involved in and intimately familiar with GPE grants in their respective countries likely varies. <b>Importance:</b> High.	Ethiopia is represented on the Board through the constituency Africa 3. Current Board members are Liberia (board member) and South Sudan (Alternate). These board members were <i>not</i> consulted during the course of this country evaluation.
<b>GoE</b>		
Ministry of Education	<b>Interest:</b> High <b>Influence:</b> High. Responsible for shaping and implementing education sector policy and managing related financing. <b>Importance:</b> High. Main partner for GPE grant design and implementation.	Key informants at country level. Interviews were held with Director of Planning; Head of GEQIP; Economist within Planning Department during the country visit.
Regional government bureaus with responsibilities for the devolved aspects of education	<b>Interest:</b> High – GEQIP funds flow through Regional Bureaus. <b>Influence:</b> Medium. <b>Importance:</b> Medium.	Stakeholders from the Oromiya region who held responsibilities for education were consulted.
Ministry of Finance and Economic Cooperation	<b>Interest:</b> Medium. Education is a key priority in Ethiopia <b>Influence:</b> High. Responsible for budget allocations to the education sector. <b>Importance:</b> High.	Senior staff members were interviewed during the country visit, including the Director, International Cooperation Directorate.
<b>Key education sector stakeholders (national level)</b>		
GA: World Bank	<b>Interest:</b> High <b>Influence:</b> High. Responsible for managing all ESPIG funds to date in Ethiopia <b>Importance:</b> High.	Met with Education Specialist during visit.
Coordinating Agency: UNICEF	<b>Interest:</b> High <b>Influence:</b> High. Through its facilitating role, the Coordinating Agency plays an important role in the functioning of the LEG. <b>Importance:</b> High.	Key informants at country level - interviewed before and during the country visit.

STAKEHOLDER	INTEREST IN/INFLUENCE ON GPE COUNTRY-LEVEL PROGRAMMING IMPORTANCE FOR THE EVALUATION	ROLE IN THE COUNTRY-LEVEL EVALUATION
Development Partners: DFID, Norway, USAID, Finland	<b>Interest:</b> High <b>Influence:</b> Medium, through their cofounding of GEQIP; participation in the LEG, in sector monitoring exercises, as well as to their own activities in the education sector. <b>Importance:</b> High.	Key informants at country level were interviewed in person during the country visit.
NGOs: Basic Education Network; National NGO forum in Education	<b>Interest:</b> High <b>Influence:</b> Low. Members of the LEG with growing, but very limited influence. <b>Importance:</b> High.	Key informants at country level.
Teacher associations	<b>Interest:</b> High <b>Influence:</b> Low <b>Importance:</b> High.	Key national leaders interviewed during country visit.

Source: Authors' elaboration

## Annex J Risks to the evaluation, quality assurance and ethics

### i. Risks to the evaluation

1. The table below outlines the key anticipated risks and limitations as outlined in the risk management and contingency plan section of the inception report. It also puts forward the anticipated mechanisms to mitigate risks.

*Annex Table 15 Key anticipated risks and limitations, and proposed mitigation mechanisms*

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p><b>Delays in the timing of the 24 country visits</b></p> <p>Consequences: some country evaluation reports are submitted later than required to inform GPE strategy and impact committee and/or Board meetings, or to feed into the synthesis report.</p> <p><i>Likelihood: High</i></p>	<p>If full evaluation/progress reports are not yet complete, the evaluation team will provide the Secretariat with at least an overview of emerging key findings at the agreed-upon timelines that are linked to SIC and Board meetings or the submission of synthesis reports. The full reports will be submitted as soon as possible thereafter and will be reflected in subsequent synthesis reports in case important information was missed.</p>
<p><b>Conflict or fragility undermine the ability of our teams to conduct in-country data collection for summative or prospective evaluations</b></p> <p>Consequences: international consultants cannot conduct in-person data collection on the ground. Delays in conducting of site visits and of subsequent deliverables.</p> <p><i>Likelihood: Medium to high</i></p>	<p>Change timing of site visits, and postpone related deliverables.</p> <p>Change order in which 22 summative evaluations are conducted and/or make use of the contingency provision of two extra countries included in the sample for summative evaluations.</p> <p>Collect data from individual in-country stakeholders via email, telephone, Skype; use electronic survey to reach several stakeholders at once.</p> <p>Increase level of effort of national consultant(s) to ensure in-country data collection.</p>
<p><b>Interventions are not implemented within the lifecycle of the evaluation</b></p> <p>This constitutes a particular risk for the <i>prospective</i> evaluations. While a lack of implementation can create learning opportunities in impact evaluations, such situations do not present value for money.</p> <p><i>Likelihood: Medium</i></p>	<p>If interventions are not implemented within the lifecycle of the evaluation, data on bottlenecks, barriers, contextual factors and the political economy will be able to shed light on why implementation did not take place and the extent to which such factors were within GPE's control.</p>
<p><b>Large data and evidence gaps</b></p> <p>Consequences: inability to conduct reliable trend analysis. Lack of a solid basis on which to assess country progress made in strengthening the overall education system and education outcomes, as well as GPE contributions along the ToC.</p> <p><i>Likelihood: Medium, but varying by country</i></p>	<p>Inclusion of data availability as a consideration in the sampling strategy. Work with the Secretariat and in-country stakeholders to fill data gaps. For prospective evaluations, if gaps identified as baseline cannot be filled, adjust the prospective evaluation focus to make the most of alternative data that may be available.</p> <p>Use of qualitative data – e.g. based on stakeholder consultations – to reconstruct likely baseline for key issues relevant for assembling the contribution story.</p> <p>Clearly identify data gaps and implications for data analysis in all deliverables.</p>

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p><b>Structure of available data is limiting</b></p> <p>To assess education sector progress, the evaluation team will use the best data available at country level. However, the format of available data may vary by country. For example, countries may use different criteria to define 'inclusion' in their data. This can pose challenges to synthesizing findings on GPE contributions in the respective area.</p> <p><i>Likelihood: Medium</i></p>	<p>As qualitative synthesis does not face the same limitations, we will mitigate this risk by describing differences in measurement criteria across countries.</p>
<p><b>Inaccessibility of in-country partners</b>, resulting in incomplete datasets; limited triangulation; partners not fully seeing their views reflected in, and therefore rejecting, evaluation findings and forward-looking suggestions; increases in costs and time required for data collection; and delays in completing data collection and submitting deliverables.</p> <p><i>Likelihood: Medium</i></p>	<p>Reaching out to in-country stakeholders as early as possible before scheduled missions to explore their availability.</p> <p>Data collection via email, telephone, Skype, or through local consultants before or after site visits.</p> <p>Close collaboration with the Secretariat country lead and in-country focal point (e.g. Coordinating Agency) to identify and gain access to all key in-country stakeholders.</p> <p>Consult other individuals from the same stakeholder group if key envisaged informants are not available.</p>
<p><b>Being part of an evaluation changes the behavior of actors, independent of GPE support</b></p> <p>GPE partners within <i>prospective</i> evaluation countries may, involuntarily, perceive the prospective evaluation countries as showcase examples and increase efforts due to the evaluation.</p> <p><i>Likelihood: Medium to low</i></p>	<p>The evaluation team will review the performance data for the full set of GPE countries and see if the prospective evaluation countries have moved in their performance ranking over the lifecycle of the evaluation.</p>
<p><b>Evaluations (perceived to be) not sufficiently independent from the Secretariat</b></p> <p>Consequences: negative effects on credibility of evaluation findings and forward-looking suggestions in the eyes of key stakeholders. Limited use of evaluations to inform decision-making and/or behaviors of key stakeholders. Reputational damage for the Secretariat and consortium members.</p> <p><i>Likelihood: Medium to low</i></p>	<p>Findings, conclusions and forward-looking suggestions will be based on clearly identified evidence.</p> <p>Review of all draft deliverables by an Independent Technical Review Panel (ITRP).</p> <p>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.</p>
<p><b>Prospective country evaluation teams becoming excessively sympathetic to GPE or others through repeat visits</b></p> <p>This can result in overly positive reports that miss areas requiring constructive criticism.</p> <p><i>Likelihood: Medium to low</i></p>	<p>The internal, independent and external quality assurance mechanisms described in Section 4.3, as well as feedback received from the ITRP, will make it possible to identify any cases where prospective evaluation reports provide insufficient evidence for overly positive assessments.</p>

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p><b>Countries no longer willing to participate in, or wish to withdraw partway through, an (prospective) evaluation</b></p> <p>Consequences: an unbalanced sample of summative or <i>prospective</i> evaluations. Difficulty completing all eight prospective evaluations in a consistent manner.</p> <p><i>Likelihood: Medium to low</i></p>	<p>A transparent selection/sampling process.</p> <p>Early work with GPE country leads and in-country implementing partners to build support for all country-level evaluations.</p> <p>Early and ongoing direct engagement with senior decision-makers in DCPs to ensure that key stakeholders understand the nature and anticipated duration – especially of the prospective evaluations.</p>

## ii. Quality assurance

1. Our consortium is committed to providing high-quality reports to GPE. The Team Leader, working with the Itad coordinator, will play the principal role with respect to liaison and coordination with the Secretariat regarding quality assurance throughout the assignment. The table below provides an overview of our approach to ensuring the high quality of all deliverables submitted to the Secretariat.

*Annex Table 16 Quality assurance mechanisms*

<p><b>Prospective country evaluations</b></p>	<ul style="list-style-type: none"> <li>• <b>Internal quality assurance:</b> Rachel Outhred and/or Stephen Lister will review (from drafting stage to finalization stage) all major outputs of country team leaders contracted by Itad or Mokoro for the prospective country evaluations. During finalization of reports, Rachel Outhred and Stephen Lister will ensure that feedback received from the Secretariat and the ITRP has been addressed.</li> <li>• <b>Independent quality assurance:</b> will be provided by the Itad Quality Advisor, Sam MacPherson, an Itad Director external to the evaluation team, who will provide written comments on all major deliverables, once reviewed by Rachel Outhred or Stephen Lister.</li> <li>• <b>External quality assurance:</b> will be provided through members of the Expert Advisory Panel, who will conduct a review of draft deliverables in parallel to reviews conducted by the Secretariat and the ITRP.</li> </ul>
---	--

## iii. Ethics

1. The members of our consortium abide by and uphold internationally recognized ethical practices and codes of conduct for evaluations, especially when they take place in humanitarian and conflict situations, and with affected and vulnerable populations.
2. For this evaluation the team has been guided by: OECD DAC Evaluation Quality Standards for Development Evaluation; UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System; the World Bank's principles and standards for evaluating global and regional partnership programs; ALNAP's Evaluation of Humanitarian Action Guide; the Sphere Handbook and Standards for Monitoring and Evaluation; and Guidance on Ethical Research Involving Children.

# References

- Central Statistical Agency Ethiopia and ICF (2016) “Ethiopia Demographic and Health Survey 2016”, Addis Ababa, Ethiopia, and Rockville, Maryland, USA: CSA and ICF.
- Federal Republic of Ethiopia (2015) “Education Sector Development Programme V (ESDP V)”.
- Global Partnership for Education (2017) “Effective Joint Sector Reviews as (Mutual) Accountability Platforms”. GPE Working Paper #1. Washington. Available at:  
<https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews>
- Global Partnership for Education Ethiopia Country Lead (2016) Back to Office Report, May 2016.
- United Nations Department of Economic and Social Affairs, Population Division (2017) “World Population Prospects: The 2017 Revision, Volume II: Demographic Profiles”. ST/ESA/SER.A/400.
- Woldetsadik (2013) “National Learning Assessment in Ethiopia: sharing experiences and lessons” presentation to the World Bank Learning Week,  
[https://olc.worldbank.org/sites/default/files/Session\\_6\\_Ethiopia\\_Woldetsadik.pdf](https://olc.worldbank.org/sites/default/files/Session_6_Ethiopia_Woldetsadik.pdf) retrieved June 2018.
- Woodhead, M., Rossiter, J., Dawes, A. and Pankhurst, A. (2017). “Scaling-up early learning as a sustainable development priority: A case study of Ethiopia”. In Miller, L., Cameron, C. Dalli, C. and Barbour, N. (eds.). *Sage Handbook of Early Childhood Policy* (pp. 219–235). New York: Sage.
- World Bank (2016) “Ethiopia – Priorities for ending extreme poverty and promoting shared prosperity: systematic country diagnostic (English)”. Washington, DC.
- World Bank Ethiopia (2017) “Program Appraisal Document on a proposed IDA grant and multi-donor trust fund grant” Report No: 121294-ET.
- World Bank Ethiopia (2016) “Striving for Excellence: Analysis of National Learning Assessments”.