

GPE 2020 Country-level Prospective Evaluations

FIRST ANNUAL REPORT: MALAWI (DECEMBER 2018)

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Acknowledgements & Disclaimer

The evaluation team for this prospective country evaluation (Matthew Smith, Christine Fenning and Hancock Kumwenda of Mokoro) expresses its gratitude to all informants who kindly took the time to meet us and share their views with us. Their support is highly appreciated.

The evaluators would also like to thank the GPE Secretariat's Evaluation Manager Anne Guison-Dowdy and GPE Country Lead for Malawi Tariq Khan for their support in the initial phase of the evaluation.

Special thanks go to Edwin Kanyoma, Lena Veierskov, and Sabina Morley for assisting with the planning and facilitation of the visit to Malawi in April 2018, including considerable assistance with the preparatory work, supplying documentation to the evaluation team, and the setting up of meetings with key stakeholders in the education sector in Malawi.

The views expressed in this report are those of the evaluators and should not be attributed to the GPE Secretariat or any other stakeholder referred to in the report. This report was drafted by Matthew Smith and Christine Fenning of Mokoro Limited. However, final editorial control has been exercised by Itad and UMG.

Contents

Acknowledgements & Disclaimer	i
Acronyms	vi
Terminology	x
EXECUTIVE SUMMARY	XI
A) Overview	xi
B) Purpose and objectives	xi
C) Intended Audience	xi
D) Methodology	xi
E) GPE Engagement	xii
F) Key Findings	xii
G) Conclusions	xiii
H) Recommendations	xiv
1 INTRODUCTION	1
1.1 Background	1
1.1.1 Overview of Malawi	1
1.1.2 Education context	2
1.1.3 Structure of the national education system	2
1.1.4 National education policies and plans	3
1.1.5 GPE in Malawi	4
1.1.6 Evaluation background	4
1.1.7 Methodology and Tools	6
1.1.8 About this annual report	6
1.2 Country-specific theory of change	7
1.2.1 Objective	7
1.2.2 Methodology	7
1.2.3 Country-specific theory of change	7
1.2.4 Assembling the Contribution Story	11
1.2.5 Stakeholder mapping	16
2 ASSESSMENT OF GPE CONTRIBUTIONS TO EDUCATION SECTOR PLANNING AND POLICY IMPLEMENTATION, FINANCING, AND SECTOR DIALOGUE/MONITORING IN MALAWI	17
2.1 Situation analysis at Year 1	17
2.1.1 Education sector planning	17
2.1.2 Mutual accountability through sector dialogue and monitoring	21

2.1.3	Education sector financing in Malawi	25
2.1.4	Education sector plan implementation in Malawi	29
2.1.5	Alternative explanations and unintended/unplanned effects	33
2.2	Progress towards a stronger education system	35
2.3	Progress towards stronger learning outcomes and equity	39
2.4	Plausibility of the ToC at Year 1	43
2.5	Available evidence at year 1	44
2.5.1	Data availability and quality at baseline.....	46
3	EVALUATION FOCUS	48
3.1	Focus themes	48
3.2	Gaps to fill	49
3.3	Risks to address	50
3.4	Key steps	51
3.5	Work plan	51
4	CONCLUSIONS AND RECOMMENDATIONS	54
4.1	Conclusions	54
4.2	Recommendations	55
	ANNEXES	57
Annex A	Background to the GPE Country-level Evaluation	58
Annex B	Country Profile and Additional Country Data.....	60
Annex C	Background to GPE and the country-level evaluations.....	71
Annex D	Chronology	73
Annex E	Evaluation Tools	79
i.	GPE 2020 Theory of Change	80
ii.	Generic country-level theory of change	81
iii.	GPE Results Framework	82
iv.	Evaluation Matrix	97
Annex F	Mapping of Malawi-specific Assumptions against IR.....	108
Annex G	Risks to the Evaluation, Quality Assurance and Ethics.....	110
Annex H	Interview Guides	113
Annex I	People Consulted.....	115
Annex J	Plausibility of Contribution Claims: Qualitative Stakeholder Assessment	117
Annex K	Findings of Previous Evaluations & Reviews	119
Annex L	Malawi Stakeholder Analysis.....	122
Annex M	UIS Data	133
Annex N	Evaluation Team Composition & Roles	140
	BIBLIOGRAPHY	141

Figures

Figure 1.	Inferred Theory of Change	9
Figure 2.	Enrolment GPI Trend from Standard 1 to Standard 8 for 2013 and 2017	40
Figure 3.	Differences in the Repetition Rates of Boys and Girls between Standard 1 and 8.....	41
Figure 4.	Trend for Primary School Girls and Boys dropout rate in Malawi	41
Annex Figure 1.	Overview of stages for Prospective Country Evaluations	58
Annex Figure 2.	MESIP Management Set-Up	62
Annex Figure 3.	ODA Commitments to Malawi, Total ODA vs Education Sector Commitments.....	63
Annex Figure 4.	Composition of Education Sector Budget Allocations (2013/14 – 2016/17)	65
Annex Figure 5.	Malawi Map.....	67
Annex Figure 6.	GPE 2020 Theory of Change	80
Annex Figure 7.	Generic country-level theory of change.....	81
Annex Figure 8.	Key Interventions Supported by DPs and CSOs in Malawi.....	127
Annex Figure 9.	Expenditure on education as a percentage of total government expenditure (%), Malawi.....	133
Annex Figure 10.	Pupil-Teacher Ratios, Pre-Primary – Malawi.....	133
Annex Figure 11.	Pupil-Teacher ratios, Primary – Malawi	134
Annex Figure 12.	Pre-Primary teachers trained/ qualified (%) – Malawi.....	134
Annex Figure 13.	Primary teachers trained/ qualified (%) – Malawi	135
Annex Figure 14.	Primary Completion Rates (%) – Malawi.....	135
Annex Figure 15.	Net Primary Attendance (%) – Malawi.....	136
Annex Figure 16.	Gross Enrollment Pre-Primary (%) – Malawi.....	136
Annex Figure 17.	Gross Enrollment Primary (%) – Malawi	137
Annex Figure 18.	OOSC of Primary Age (%), by gender, Household Data – Malawi.....	137
Annex Figure 19.	OOSC of Primary Age (%), by location and gender, Household Data – Malawi.....	138
Annex Figure 20.	OOSC of Primary Age (%), by wealth, Household Data – Malawi	138
Annex Figure 21.	Repetition Rates (%), by school level and gender – Malawi	139
Annex Figure 22.	Cumulative Dropout (%), by level and gender – Malawi.....	139

Tables

Table 1	Education policies and official documents	3
Table 2	Timeline of events in the Malawian Education Sector, 2009 - 2020	5
Table 3	Theory of Change – Assumptions	10
Table 4	Contribution Claims, critical underlying assumptions, indicators	12

Table 5	Rating by GPE Secretariat of Malawi NESP against Indicator 16 of the GPE Results Framework	18
Table 6	Components of NESP, MESIP, their focus and the latest update	30
Table 7	ESPIG components and associated costs	33
Table 8	Assessment of Assumptions at year 1	44
Table 9	Pupil:Toilet Ratio for boys and girls in the Primary Sector	36
Table 10	School environment data readily available in Malawi	36
Table 11	Assessment of plausibility of contribution claims	43
Table 12	Summary of main anticipated risks to country-level evaluations	50
Table 13	Key activities and due dates for specific tasks	51
Table 14	Indicative Education Sector Country Calendar for Malawi	52
Table 15	Recommendations	55
Annex Table 1.	Government expenditure on education 2007-2016	62
Annex Table 2.	Trend in education expenditure over Total Government Recurrent (MK million)	63
Annex Table 3.	Education system in Malawi	64
Annex Table 4.	GPE Funding Modality Assessment for current ESPIG (2017-2020)	65
Annex Table 5.	Activities and Key dates	72
Annex Table 6.	Malawi - Chronology	73
Annex Table 7.	GPE grants to Malawi (2010-2020)	77
Annex Table 8.	GPE Global and Regional Activities Grants, including Malawi	78
Annex Table 9.	GPE 2016-2020 Results Framework – 1/15	82
Annex Table 10.	Evaluation Matrix	97
Annex Table 11.	Underlying TOC assumptions – comparison	108
Annex Table 12.	Key Anticipated Risks and Limitations, and Proposed Mitigation Mechanisms	110
Annex Table 13.	Quality Assurance Mechanisms	112
Annex Table 14.	Interview template	114
Annex Table 15.	List of people consulted	115
Annex Table 16.	Participants in debriefing session	116
Annex Table 17.	Summary of evidence	117
Annex Table 18.	Stakeholder analysis	122
Annex Table 19.	Interventions and programs supported by DPs and CSOs	128
Annex Table 20.	Roles and Responsibilities	140

Boxes

Annex Box 1.	Key evaluation questions	72
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Acronyms

AfDB	African Development Bank
CA	Coordinating Agency / Contribution Analysis
CBE	Complementary Basic Education
CEQ	Country evaluation question
CFM	Common Financing Mechanism
CLPG	Country Level Process Guide
CPD	Continuing professional development
CSEC	Civil Society Education Coalition
CSEF	Civil Society Education Fund
CSO	Civil Society Organization
DCP	Developing Country Partner
DFID	(UK) Department for International Development
DLI	Disbursement Linked Indicator
DP	Development Partner
ECD	Early Childhood Development
EFA	Education For All
EGRA	Early Grade Reading Assessment
EMIS	Education Management Information System
EQ	Evaluation Question
ESIP	Education Sector Implementation Plan
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Program Implementation Grant
ESPR	Education Sector Performance Report

FTI	Fast Track Initiative
GA	Grant Agent
GER	Gross Enrollment Ratio
GIZ	Gesellschaft für Internationale Zusammenarbeit (German aid agency)
GNI	Gross National Income
GoM	Government of Malawi
GPE	Global Partnership for Education
GPI	Gender Parity Index
GRA	Global and Regional Activities
IFMIS	Integrated Financial Management Information System
ITRP	Independent Technical Review Panel
JSR	Joint Sector Review
KfW	German development bank
LEG	Local Education Group
M&E	monitoring and evaluation
MCA	Maximum Country Allocation
MERIT	Malawi Early Grade Reading Improvement Activity
MESIP	Malawi Education Sector Improvement Project
MGDS	Malawi Growth and Development Strategy
MK	Malawian Kwacha
MLA	Malawi Learning Assessment
MoEST	Ministry of Education, Science and Technology
NER	Net Enrollment Ratio
NESP	National Education Sector Plan
NGES	National Girls Education Strategy
NGO	Non-Governmental Organization
NSO	National Statistics Office

OOSC	Out-of-school children
ORT	Other Recurrent Transactions
PAD	Project Appraisal Document
PCR	Pupil-Classroom Ratio
PDG	Program Development Grant
PDO	Project Development Objective
PE	Prospective Evaluation
PEA	Primary Education Adviser
PFM	Public Financial Management
PFT	Program Facilitation Team
PIQEM	Program to Improve Quality of Education in Malawi
PqTR	Pupil-Qualified Teacher Ratio
PTA	Parent Teacher Association
QA	Quality Assurance
QAR	Quality Assurance Review
RNE	Royal Norwegian Embassy
SACMEQ	Southern and Eastern Africa Consortium for Monitoring Educational Quality
SDG	Sustainable Development Goal
SMC	School Management Committee
SNE	Special Needs Education
SWAp	Sector Wide Approach
SWG	Sector Working Group
TEVET	Technical Entrepreneurial and Vocational Education Training
ToC	Theory of change
TOR	Terms of Reference
TTC	Teacher Training College
TVET	Technical and Vocational Education and Training

TWG	Technical Working Group
UIS	UNESCO Institute for Statistics
UMG	Universal Management Group
UNICEF	United Nations Children's Fund
WB	World Bank

Terminology

Basic education	Pre-primary (i.e. education before Grade 1), primary (Grades 1-6), lower secondary (Grades 7-9), and adult literacy education, in formal and non-formal settings. This corresponds to International Standard Classification of Education (ISCED) 2011 levels 0-2.
Capacity	In the context of this evaluation we understand capacity as the foundation for behavior change in individuals, groups or institutions. Capacity encompasses the three interrelated dimensions of <i>motivation</i> (political will, social norms, habitual processes), <i>opportunity</i> (factors outside of individuals e.g. resources, enabling environment) and capabilities (knowledge, skills). ¹
Education systems	Collections of institutions, actions and processes that affect the educational status of citizens in the short and long run. ² Education systems are made up of a large number of actors (teachers, parents, politicians, bureaucrats, civil society organizations) interacting with each other in different institutions (schools, ministry departments) for different reasons (developing curricula, monitoring school performance, managing teachers). All these interactions are governed by rules, beliefs, and behavioral norms that affect how actors react and adapt to changes in the system. ³
Equity	In the context of education, equity refers to securing all children's rights to education, and their rights within and through education to realize their potential and aspirations. It requires implementing and institutionalizing arrangements that help ensure all children can achieve these aims. ⁴
Financial add- ditionality	This incorporates two not mutually exclusive components: (a) an increase in the total amount of funds available for a given educational purpose, without the substitution or redistribution of existing resources; and (b) positive change in the quality of funding (e.g. in terms of predictability of aid, use of pooled funding mechanisms, co-financing, non-traditional financing sources, alignment with national priorities).
Gender equality	The equal rights, responsibilities, and opportunities of women, men, girls, and boys, and equal power to shape their own lives and contribute to society. It encompasses the narrower concept of gender equity, which primarily concerns fairness and justice regarding benefits and needs. ⁵
Inclusion	Adequately responding to the diversity of needs among all learners, through increasing participation in learning, cultures, and communities, and reducing exclusion from and within education. ⁶

¹ Mayne, John. *The COM-B Theory of Change Model*. Working paper. February 2017.

² Moore, Mark. 2015. *Creating Efficient, Effective, and Just Educational Systems through Multi-Sector Strategies of Reform*. RISE Working Paper 15/004, Research on Improving Systems of Education, Blavatnik School of Government, Oxford University, Oxford, U.K.

³ World Bank. 2003. *World Development Report 2004: Making Services Work for Poor People*. Washington, DC: World Bank; New York: Oxford University Press.

⁴ Equity and Inclusion in Education. A guide to support education sector plan preparation, revision and appraisal. GPE 2010; p.3.

⁵ GPE Gender Equality Policy and Strategy 2016-2020. GPE 2016, p. 5f.

⁶ GPE 2010, p.3.

Executive Summary

A) Overview

1. This is the first of three annual reports to be submitted during the three-year prospective evaluation (PE) of the Global Partnership for Education (GPE) in Malawi – one of eight country PEs, to be complemented by 22 summative country evaluations that will be carried out between 2018 and 2020. It follows a baseline report on Malawi (the complete draft of which was prepared prior to the field visit in April 2018 with the final version submitted on 26 June 2018) and reproduces some of the material that was included in that report. It incorporates the findings of the first PE mission to the country, which took place from 9 to 13 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 the GPE's inputs and influence are orienting education sector planning, dialogue, monitoring, implementation and financing towards the intermediary outcomes outlined in its theory of change (ToC). They 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 in order to understand whether progress is being made and whether GPE is making a contribution.

3. The objective of the prospective evaluations, including the current one for Malawi, 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.

C) Intended Audience

4. The primary intended users of the country-level evaluations are members of the Global Partnership for Education, including the Government of Malawi, the Coordinating Agency, the Grant Agent, other members of the local education group (LEG), and the GPE Secretariat, particularly senior management and members of the country support team. Secondary 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 (CA) approach, and the guiding framework is provided in an Evaluation Matrix (EM) and a country-level ToC, developed according to the GPE's existing overall ToC. 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.

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 (the report includes full lists of people and documents consulted).

E) GPE Engagement

7. Malawi joined the Fast Track Initiative (FTI), GPE's predecessor, in 2009, and has received four plan-related grants since, as well as two Civil Society Education Fund (CSEF) allocations to the Civil Society Education Coalition (CSEC), with another one being determined for 2018.

8. Currently Malawi is implementing the Malawi Education Sector Improvement Project (MESIP), funded by the Education Sector Program Implementation Grant (ESPIG). The total amount of the ESPIG is US\$44,900,000, of which the variable tranche is 30 per cent (i.e. \$13,470,000). The ESPIG was approved on 15 June 2016, with implementation beginning 1 January 2017, and is scheduled to be completed on 31 December 2020.

9. GPE also aims to provide a wide range of non-financial inputs, primarily through the work of the Secretariat, the Grant Agent, the Coordinating Agency, and from the GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements).

F) Key Findings

10. **Planning:** Education sector planning was strong in Malawi prior to GPE involvement, and the most recent plan benefitted from the GPE quality assurance process.

11. **Implementation:** Implementation and monitoring of sector plans remains a challenge.

12. **Mutual Accountability:** Good dialogue but little accountability for implementation and monitoring.

13. **Financing:** Improved harmonization through Common Financing Mechanism (CFM), and most non-salary expenditures financed by donors.

14. **Performance of the education system:** As already noted in the baseline report, considerable challenges remain with regards to accessing valid and reliable data that are current and provide an accurate picture of progress towards stronger learning outcomes and equity. Learning outcomes remain relatively low and have shown little improvement; high repetition and drop-out rates continue to create major bottlenecks in the basic education system. In addition, available data continue to highlight the inequities in the system (for example, the dropout rates for boys are lower than for girls, and the completion rate for girls is lower than for boys).

15. **Systems strengthening.** The pupil-qualified teacher ratio (PqTR) remains high and there are difficulties in attracting teachers (particularly women) to rural areas coupled to issues relating to the rural teachers' allowance. Challenges remain with implementing policies and little attempt has been made to systematically monitor the roll-out of these policies. Data reliability remains a major concern in the sector. Inter-ministerial coordination in the sector is weak and is aggravated by high staff turnover and staff vacancies at all levels.

G) Conclusions

16. Whilst Malawi has clearly benefited from the material support provided by the partnership to date, the results have been mixed. Reviews conducted of the two Education Sector Investment Plans (ESIPs) suggest that whilst some progress is being made as a result of both the significant material and strategic investments, noticeable challenges remain in the sector. Although it is too early to tell whether the most recent material and strategic investments made by GPE will significantly contribute to the attainment of the objective of ensuring inclusive and quality education for all in Malawi, there are nevertheless several areas where it is plausible that the partnership will make a difference. For instance, while there has been a strong focus on inclusivity within sector dialogue, it remains to be seen whether an emphasis on inclusivity contributes to mutual accountability in the sector. Respondents were of the opinion that whilst the application process was onerous it did nevertheless promote inclusivity with regards to sector planning and subsequent monitoring.

17. There is also growing evidence that GPE advocacy has contributed to better financing for the sector, this will become more apparent once the CFM has been fully operationalized. However, whilst an implementable plan is in place, and the likelihood remains that resources will continue to be increased to support the implementation of the plan, actual implementation remains problematic. This suggests that sufficient attention has not been paid to the existing capacity within the Ministry, and that unless addressed the plan will not be implemented in the expected timeframe.

18. A particular challenge for the PE in the future will be (a) to assess not only *whether* GPE is making a difference in Malawi, but also (b) to make a qualitative assessment of the contribution that GPE has made and how this has been achieved, and (c) to draw lessons on how GPE's contribution could be strengthened.

H) Recommendations

19. Recommendations are listed here below.

#	Topic	Finding	Recommendation	Timing
1	How could GPE's support to Malawi be strengthened?	An analysis of evidence suggests that the rigorous design process has not necessarily provided the most effective institutional/ operational arrangement. There is ongoing debate in Malawi as to whether the Planning Department is the 'right' home for MESIP. There is some overlap between the role and responsibilities of the Component Managers and the Project Facilitation Team (PFT), and several key aspects of the organizational structure appear to be inadequately resourced (in particular the Coordinating Agency).	The forthcoming Mid-Term Review should reflect further on this point, namely, what is the best institutional arrangement for the implementation plan?	September, 2018
2	How could GPE support to Malawi be made more relevant?	Whilst considerable effort has gone into the development of the implementation plan, the same rigor has not gone into implementation. In particular, the evidence to date suggests that additional capacity is required to ensure effective delivery. Moreover, respondents were of the opinion that incorrect assumptions have been made about the resourcing of management staff and the relevant role-players (such as component managers, the Coordinating Agency (CA) and the Grant Agency (GA)).	Need for further reflection on the modality being used in Malawi, with particular focus on whether or not the approach to implementation is feasible, and whether the different structures within the model have been appropriately resourced.	September, 2018
3	How could GPE support to Malawi be made more effective?	There was a strong view amongst respondents that there needs to be a GPE Secretariat presence in country to ensure the GPE is more conversant with ongoing implementation challenges and to facilitate resolution in areas of disagreement between, for instance, the GoM and the GA.	There is need for more regular/continuous presence by the GPE Secretariat to oversee the resolution of implementation challenges, and to facilitate more effective sector dialogue premised on mutual accountability.	With immediate effect

1 Introduction

1. This section first provides a brief overview of significant political, economic and social contextual factors in Malawi which are relevant to the evaluation and to understanding the GPE support in the wider country context. Secondly, an overview of the education sector is provided, including main features and trends. A chronology of important national events has been included in Annex D.

1.1 Background

1.1.1 Overview of Malawi

2. Malawi is a landlocked, low-income country in southern Africa with a total population of 17.2 million people (see Malawi Map, Annex Figure 5 in Annex B). It is one of Africa's most densely populated countries. The rapid population growth creates continued pressure on the education system. 45 percent of the population are aged 14 years and younger.⁷ As the Project Appraisal Document⁸ from 2016 states (p. 1-2), this pressure is "undermining progress since the system is always in a 'catch-up' mode concurrently leading to high chronic repetition and dropout rates and low learning outcomes."

3. With a per capita GNI of US\$320 in 2016, Malawi is among the poorest countries, ranking 170 out of 188 on the Human Development Index.⁹ 70.9 percent of the population live below the poverty line of US\$1.9 a day, and a quarter of the overall population live in severe multidimensional poverty, with another 27 percent near severe multidimensional poverty.¹⁰

4. Severe poverty levels have serious consequences for children and their general wellbeing, including health and education. Malnutrition levels remain high with 37 percent of children under the age of five stunted¹¹ (with low height for age), indicating chronic food and nutrition insecurity. Child malnutrition negatively impacts on educational performance, health and immunity, as well as on the national economy.¹² A recent study for Malawi found that 10.3 percent of GDP is lost annually due to the effects of stunting.¹³

5. The Cashgate scandal, which occurred in late 2013 and is reportedly Malawi's biggest corruption scandal, caused several donors to suspend aid or withdraw their support altogether. This lack of external assistance, which the Government did not expect, negatively impacted on budget execution in 2013-2014, also affecting the education budget (see Chronology in Annex D, Paragraph 10 and section 2.1.3).

⁷ UIS website, Malawi country profile.

⁸ World Bank, 2016b.

⁹ UNDP, 2016.

¹⁰ UNDP, 2016.

¹¹ Children are defined as stunted if their height-for-age is more than two standard deviations below the WHO Child Growth Standards median. (http://www.who.int/nutrition/healthygrowthproj_stunted_videos/en/)

¹² GoM, 2015: The Cost of Hunger.

¹³ GoM, 2015: The Cost of Hunger. More facts about stunting and education: <http://www.wfp.org/stories/10-things-everyone-should-know-about-child-nutrition-malawi>

6. A variety of donors support Malawi through different aid projects or direct budget support. A list of those active in the education sector has been compiled by the World Bank and is attached in Annex L, Annex Table 19.

1.1.2 Education context

7. Responsibility for the education sector lies with the MoEST. Under the MoEST's overall leadership, the coordination of the education sector in Malawi was initially the responsibility of two groups, the Sector Working Group (SWG) and the Local Education Group (LEG).

Education financing

8. Malawi has shown strong commitment to supporting the education sector through higher national allocation of resources to education over the last decade.¹⁴ As per MoEST information, in 2015/16 18 percent of the national budget was allocated for the education sector, out of which approximately 55 percent was allocated to primary education (grades 1-8). Furthermore, recurrent expenditure in education was 86 percent in 2015/16.¹⁵

9. The Government has shown full commitment to continuing the current level of funding to the education sector. However, given the fiscal constraints due to the rise in inflation and the devaluation of the local currency, there is a higher risk of limited fiscal space leading to limited domestic financing to the sector.

10. Following the Cashgate scandal in 2013, the majority of development partners (DPs) withdrew their support from the pool fund and are now implementing and/or planning to support ESIP II through discrete projects. However, there has been a growing interest among DPs to develop a Common Financing Mechanism (CFM) to re-align their support to the government system, which the latest implementation status report now reports as functional¹⁶.

1.1.3 Structure of the national education system

11. The Malawian education system encompasses pre-primary (ages 3-5), albeit this is not part of the formal system, primary (ages 6-13), secondary (ages 12-17) and tertiary (18-22) education (see Annex B). Eight years of schooling are compulsory (from age 6 to age 13), though children often enter the education system when they are older than six years.¹⁷ The academic year starts in September and ends in July.

12. The language of instruction for standards 1 to 4 is Chichewa and from standard 5 it is English.¹⁸ The National Reading Strategy clarified the issue of mother tongue instruction (after the Revised Education Act of 2013), stating that English is to be the language of instruction except when learning Chichewa. The Act makes no reference to Malawian languages other than Chichewa. An abrupt switch to English as the language of instruction will have a significant impact on learning. There is also the possibility to undertake vocational or technical training instead of following the academic path into secondary school.

¹⁴ GPE, 2016b Quality Assurance Review – Phase III

¹⁵ Malawi is one of the countries where it is difficult to separate primary from basic education. See Annex B, ¶18ff.

¹⁶ World Bank, 2018c.

¹⁷ Wamba & Mgonezulu, 2014, *The crisis in public education in Malawi*.

¹⁸ Revised Education Act 2013.

13. The Ministry of Education, Science and Technology (MoEST) oversees all levels of education in Malawi.¹⁹ Its main priorities²⁰ are to:

- expand equitable access to education to enable all people to benefit;
- improve quality and relevance of education to reduce drop-out and repetition and promote effective learning; and
- improve governance and management of the system to enable more effective and efficient delivery of services.

1.1.4 National education policies and plans

14. The main policies, laws, and official documentation relevant to the education system in Malawi are listed in Table 1 below.

Table 1 Education policies and official documents

Policy	Year
Education Act	1962
Free Primary Education Policy	1994
Policy and Investment Framework	2000
National Strategy for Teacher Education and Development (NSTED)	2007-2017
National Education Sector Plan (NESP)	2008-2017
Education Sector Implementation Plan (ESIP) I	2009-2013
Malawi Growth and Development Strategy II	2011–2016
Revised Education Act	2013
Education Sector Implementation Plan (ESIP) II	2013-2017 ²¹
Malawi National Girls Education Strategy (NGES)	2014
National Plan of Action to Combat Gender-Based Violence in Malawi ²²	2016-2021
Malawi Growth and Development Strategy II	2017-2022

15. The National Education Sector Plan (NESP 2008/09-2017/18) outlines the country's strategy to achieve its goals. The plan aims to expand early childhood education, improve the quality, relevance of and access to basic education, promote technical and vocational training responding to labor market needs, and support higher education and research.

16. The MoEST in collaboration with DPs translated the NESP into two implementation plans: Education Sector Implementation Plans (ESIPs) I and II.

¹⁹ Approximately half of the pupils attend schools that are managed by religious institutions (ACER, 2017). What this means in practical terms should be explored in future visits, e.g. whether there are systematic differences in their performance.

²⁰ Ministry of Education website: http://www.malawi.gov.mw/index.php?option=com_content&view=article&id=24&Itemid=80

²¹ Subsequently extended into 2019 as a result of the ESIP II Action Plan.

²² Published by the Ministry of Gender, Children, Disability and Social Welfare (November 2016); GoM, 2016.

17. The ESIP II recognizes the fact that the quality improvement goals formulated in the NESP are ambitious and therefore sets out a major shift at primary and secondary levels and a number of reforms to be targeted with an increased focus on improving the quality of primary education and increased access to secondary education.²³ It also acknowledges that the system is not delivering the services as required and expected and that the country's biggest challenge is the unacceptably low level of academic performance and learning.

18. Malawi started developing a new ESIP in 2017; however, the ESIP II has been extended beyond 2017 until the new ESIP is in place.

1.1.5 GPE in Malawi

19. Malawi joined the Fast Track Initiative (FTI), GPE's predecessor, in 2009, and has received four grants since, as shown in Annex Table 7 in Annex D, as well as two Civil Society Education Fund²⁴ (CSEF) allocations²⁵ to the Civil Society Education Coalition (CSEC), with another one being determined for 2018 (for details see Annex Table 7 in Annex D). GPE also aims to provide a wide range of non-financial inputs, primarily provided by the work of the Secretariat, the grant agent, the coordinating agency, and from the GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements).

20. Malawi is also involved in the Global and Regional Activities (GRA) program which supports research, capacity development and knowledge sharing at the regional and global levels through technical workshops, peer-learning events and conferences, focusing on learning outcomes, education financing, and out-of-school children (for details see Annex Table 8 in Annex D).²⁶

1.1.6 Evaluation background

21. In June 2016, the GPE's strategic plan (GPE 2020)²⁷ aligned its vision and mission to the 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 (a broader background to the GPE is in Annex C). 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 theory of change (ToC) and a set of 37 indicators (fully detailed in Annex E). The strategy comprises independent evaluation studies, including programmatic, thematic, and country-level evaluations, which will lead to an evaluation of the GPE's entire portfolio.

The country-level evaluations

22. The country-level evaluations comprise independent prospective and summative analyses. Prospective evaluations focus on eight selected countries to assess 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.

²³ It is worth noting that the junior secondary leaving exam (Standard 10) was discontinued in 2016.

²⁴ CSEF is a global program supporting civil society engagement in education sector policy, planning, budgeting and monitoring. It is managed by the Global Campaign for Education on behalf of GPE and gives grants to national civil society coalitions to support their advocacy activities, build their capacity to strengthen planning, implementation and impact, and promote cross-country learning and networking.

<https://www.globalpartnership.org/funding/gpe-grants>

²⁵ Malawi CSEF Profile (GPE, n.d.).

²⁶ GPE global regional activities program report, June 2017 (GPE, 2017f).

²⁷ GPE, 2016d.

23. The prime aims of the country-level evaluations are to assess: (i) the 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 ToC and country-level operational model.

The prospective evaluations

24. The purpose of the prospective evaluations is to assess if the GPE's inputs and influence are orienting education sector planning, implementation and monitoring towards the intermediary outcomes as outlined in the ToC. They 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 in order to understand whether progress is being made and whether GPE is making a contribution.

25. 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 whether and how GPE inputs and activities contribute to outcomes and potential impact at country level. They are designed to assess the GPE's progress on its goals and objectives towards its mission and vision of inclusive and equitable quality education and lifelong learning opportunities for all.

26. Table 2 below shows the timeline of the policy cycle, GPE activities and the current evaluation timeline.

Table 2 Timeline of events in the Malawian Education Sector, 2009 - 2020

Category	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Legislation					Revised Education Act							
Planning	National Education Sector Plan (2008 – 2017)											
Implementation Plan	ESIP I				ESIP II							
GPE Grant	EFA FTI Grant				Education Sector Plan Development Grant			Program Development Grant	ESPIG (MESIP)			
										MESIP MTR		
Evaluation Fieldwork for Prospective Evaluation Reports										1 st Field visit (April 2018)	2 nd Field visit (2019)	
GPE Prospective Evaluation Reports										1 st Annual Prospective Evaluation Report	2 nd Annual Prospective Evaluation Report	

Source: Authors based on information compiled during literature review and consultations.

1.1.7 Methodology and Tools

27. There are three Key Evaluation Questions for the GPE country-level evaluations (both the prospective and summative evaluation streams) which are presented below. The full details of the evaluation questions is presented in an evaluation matrix (included in Annex E).

- Key question 1: Has the GPE's support to Malawi contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?²⁸ If so, then how?
- Key question 2: Has the achievement of country-level objectives²⁹ contributed to making the overall education system in the reviewed country more effective and efficient?
- Key question 3: Have changes at education system level contributed to progress towards impact?

28. The methodology for the prospective evaluations is a theory-based Contribution Analysis (CA) approach, and the guiding framework is provided in an evaluation matrix (EM) and a generic country-level ToC, developed according to the GPE's existing overall ToC. 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 E and in the inception report.³⁰

29. This approach is consistent with that of the summative evaluations and thus contributes to their final combination for a summative 2020 evaluation. In the application of CA, prospective evaluations are forward-looking and assess whether inputs and influence into the education sector planning are conducive to intermediary outcomes, as per the ToC. Conversely, summative evaluations trace the ToC ex-post to assess the contribution of inputs to intermediate outcomes, outcomes and impact. The country-level ToC, the evaluation matrix and the generic TOC are the evaluators' tools and guiding documents. They are presented in section 1.2 and Annex E.

30. 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' education sector plans. The evaluation team has not collected primary quantitative data but has instead drawn on secondary data to base evaluation findings on a solid quantitative basis. In addition, data collection took place in 2018, and two more rounds of data collection will be conducted in 2019 and 2020. Each of these will contribute to their respective annual reports.

1.1.8 About this annual report

31. This report frames the country-level evaluation throughout 2020 and provides a first indication of progress in Malawi to date. It includes: a country-specific ToC; a stakeholder mapping; the evaluation matrix; an analysis of GPE alignment, coherence and harmonization at baseline 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 stock-taking of available data for all levels of the ToC, highlighting data gaps that could be addressed in subsequent reporting.

32. 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 F. As per this report, it presents a snapshot of relevant information and data

²⁸ OECD DAC evaluation criteria of relevance, effectiveness, and efficiency.

²⁹ GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

³⁰ *Design and Implementation of GPE 2020 Country-level Evaluations 2017-2020: Final Inception Report*. Universalialia, Results for Development, Itad and Mokoro, December 21, 2017 (Universalialia et al., 2017).

available on the country at this time, gathered via desk review. It constitutes the baseline for subsequent analysis and will contribute to the first synthesis report (November 2018). The second annual country mission and report for Malawi are foreseen for the second quarter of 2019 (which in turn will contribute to the cross-country synthesis for the last quarter of 2019). The third annual country mission and report for Malawi will occur between March and April 2020. It will feed into the Final Synthesis which will be finalized between April and May 2020.³¹

1.2 Country-specific theory of change

1.2.1 Objective

33. The evaluations are based on a generic country-level ToC that elaborates on the key changes targeted by the GPE and their main causal explanations, factors, and underlying assumptions that determine them. The generic 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 that has been tailored to each country's context in the form of a country-level ToC.

1.2.2 Methodology

34. 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 ToC on the basis of the evidence assembled in construct of a baseline ToC for each country in the prospective evaluation sample.

What is presented in this evaluation is an emergent ToC. It reflects the information gathered for Malawi during the review period. This ToC will continue to be reviewed and updated during the course of the evaluation.

1.2.3 Country-specific theory of change

35. This evaluation is based on a ToC approach as shown in Figure 1 below. This ToC has been inferred from the ToC submitted in the Project Appraisal Document (PAD).³² The purpose of the ToC (as illustrated below) is to map out the causal chain through which GPE's intervention is to bring about change in Malawi. By identifying the assumptions in the ToC analysis (see Table 3 below), the evaluation may find that some assumptions were inaccurate, that other assumptions should have been identified but were not, or that assumptions about causality prove to be correct, underscoring appropriate design.

36. The assumptions that underpin the ToC – as numbered in Figure 1 – are listed in Table 3. Some of these are external and beyond the control of the GPE, but others may have implications for the design of the programs and the ability to learn from experience.

³¹ Findings across the country-level evaluations will be analysed in two annual reports and the final synthesis report to facilitate learning across countries.

³² World Bank, 2016b.

37. The ToC depicting GPE's support to Malawi is predicated on a series of causal pathways, which, if valid and successfully followed, will achieve the stated objective, namely for the sector to deliver equitable, quality education for all in Malawi.

38. The ToC is predicated on the assumption that the mix of inputs is suitable for the context in Malawi and that these inputs are aligned to the education needs of the country. As the ToC notes, inputs include not only support (both financial and non-financial) provided by GPE but also importantly the ToC signals inputs provided by a range of important stakeholders, including MoEST and a number of DPs. What is being recognized is that multiple stakeholders will be contributing to the ultimate achievement of the stated objective, and what the evaluation will be doing is trying to explore the extent to which any of the GPE inputs, activities and so on have made a contribution in the case of Malawi.

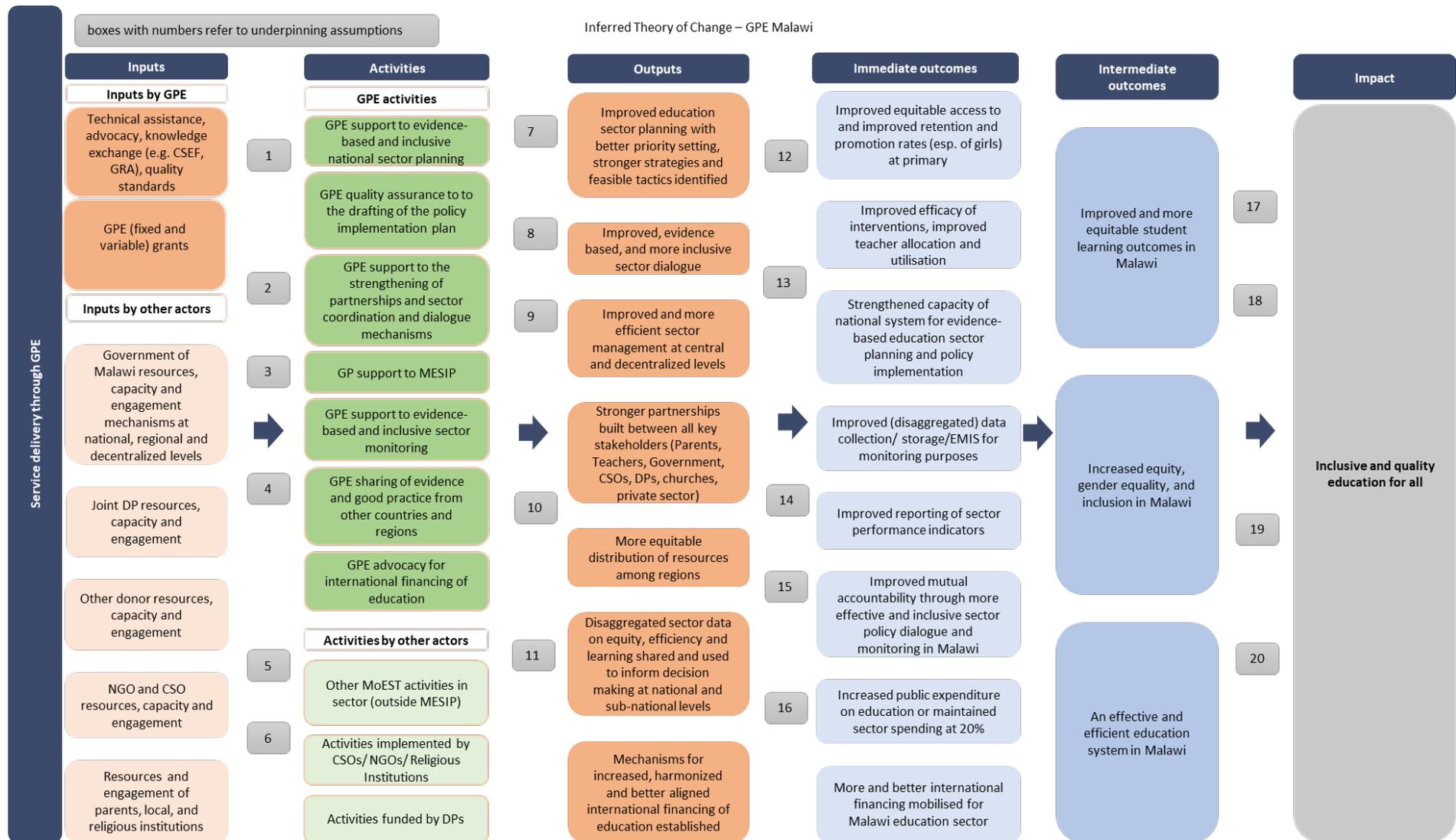
39. Provided the relevant stakeholders meet their commitments and provide the expected inputs, a range of activities will be undertaken to ensure ESIP II is implemented as planned. It is important to note that whilst the GPE-funded Malawi Education Sector Improvement Project (MESIP) focuses on key aspects of ESIP II, it is not delivering all of the relevant aspects of ESIP II to the Basic Education Sector. Thus, whilst MESIP activities will be undertaken, so will other activities coordinated by MoEST to target the Basic Education sector. GPE financial support will fund many of the activities undertaken by MESIP; however, GPE non-financial support should be seen as broader than simply MESIP; it will focus on influencing change across the whole sector.

40. If the planned activities are undertaken successfully, and within the programmed schedule, the ToC notes a number of outputs that are expected, not all of which are specific to GPE's influence in Malawi. These outputs not only include the expected outputs of MESIP, but also refer to other expected outputs of ESIP II including improved data gathering and sharing, improved sector dialogue, stronger partnerships between all the key stakeholders, an improved and revised ESP for Malawi, and a mechanism that ensures greater aid predictability for the sector.

41. The immediate outcomes rest on the assumption that the successful delivery of the expected outputs will shape changes in the sector.³³ If GPE quality standards and reporting mechanisms contribute to officials establishing monitoring systems to provide data, then these officials will report on data once it is available and will use this to strengthen education sector planning, monitor learning outcomes and ultimately ensure better accountability and transparency in the sector. Similarly, if a mechanism is developed for ensuring greater aid predictability, improving financial management and so on, this will entice development partners to use the system and ultimately increase their financial support to the sector.

³³ The Malawi TOC is aligned to GPE's generic TOC (see Annex Figure 6 in Annex E). It reflects the objectives set in the NESP, which are summarised under three thematic areas (see Table 1).

Figure 1. Inferred Theory of Change



42. Provided the planned immediate outcomes are achieved, and the expected shift in behavior is realized, then a series of medium-term outcomes can be identified. Importantly, these align with the expectations associated with ESIP II – which itself is built on the NESP – and include an improvement in learning outcomes, the attainment of gender equality, and a system that functions far more effectively and efficiently than it does at present. Ultimately if these three intermediate outcomes are achieved, this will in turn lead to the achievement of the objective of the GPE support. However, as listed in Table 3, there is a fairly sizeable number of assumptions³⁴ that will need to be tested to establish the extent to which the ToC is plausible. Table 8 below test these assumptions.

Table 3 Theory of Change – Assumptions

	Inputs to activities
1.	There will be continued support and commitment by the Government of Malawi to increase expenditure, and strengthen and improve the national education system.
2.	Malawi has the resources and incentives to improve sector analysis and planning.
3.	Country-level partners (working through LEGs) provide well targeted and useful support to government to assist with sector plan implementation, and align their own activities with the priorities of the sector plan.
4.	Development Partners honor their financial commitments to the sector.
5.	Available funding is sufficient to implement all elements of the sector plan.
6.	Relevant actors have adequate capacity to implement all elements of the sector plan.
	Activities to outputs
7.	There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve EMIS.
8.	LEG existence and functioning is positively influenced by GPE (both through the functioning of the global partnership, and through specific interventions through the Secretariat).
9.	GPE has sufficient leverage within the country for GPE advocacy and support to be effective.
10.	Country level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews.
11.	GPE has sufficient leverage to influence domestic and international education sector financing.
	Outputs to outcomes
12.	External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing.
13.	There is political will to use evidence and best practice in sector analysis and planning.
14.	Civil society organizations and teacher organizations have the capacity and will to monitor sector plans.
15.	Government has the political will to create space for country-level stakeholders - including teachers and civil society organizations - to engage in policy dialogue.
16.	All stakeholders (government at all levels, donor partners, NGOs, ...) work together and improve co-ordination and communication.
	Outcomes to impact (Higher Order Objective)
17.	Education sector plan implementation leads to improvements of previous shortcomings in the education system.
18.	Removal of all barriers to school participation and learning enhances equity, equality and inclusion.
19.	There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level).
20.	Changes in the education system positively affect learning outcomes and equity.

³⁴ Annex F shows how these assumptions map onto the generic assumptions included in the inception report.

1.2.4 Assembling the Contribution Story

43. As depicted in Figure 1 (and further explained in the PAD), the contribution to Malawi that GPE intends to make (and that will be tested as a key component of the evaluation) is through both financial and non-financial inputs within the Basic Education Sector. GPE aims to provide a wide range of non-financial inputs, primarily through the work of the Secretariat, the Grant Agent, the Coordinating Agency, and from the GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements). In financial terms, GPE has provided Malawi with an Education Sector Implementation Grant (ESPIG) of US\$44,900,000 (of which 13 percent is a variable tranche); whilst this is a substantial amount it is not the only contribution being made to the sector (the ToC above, for instance, notes that inputs will include the ongoing support by MoEST, other DPs, CSOs and NGOs, faith-based organizations, philanthropic contributions and so on). Thus, a qualitative assessment will need to be made as it would be impossible to make a quantitative assessment of attribution because there are so many other factors influencing the sector in Malawi.

44. The focus of the qualitative assessment will be on establishing whether GPE support (both financial and non-financial) contributes to change in the sector, and if so how the partnership contributed to this change. The evaluation will pay particular attention to the support provided in terms of sector planning, mutual accountability through sector dialogue and monitoring, education sector financing and sector plan implementation.

45. As signaled in Figure 1 (and extensively described in the PAD), ESPIG will provide substantial support to MESIP primarily to enable it to pilot initiatives within Basic Education aimed at improving equitable access and retention (especially of girls), to strengthen sector planning, improve sector dialogue and monitoring, strengthen the collection and use of data in the sector, and so on. All of these actions are closely aligned to the needs of the sector and have been articulated in both the ESP and the current ESIP. Thus, the evaluation will be exploring to what extent these funded activities have been implemented as planned and to what extent they were done sufficiently right to help contribute to the expected outcomes that the sector so desperately needs to ultimately ensure inclusive and quality education for all in Malawi.

46. From the perspective of non-financial support, the contribution is likely to be more subtle, but equally important. The expectation is that by providing the quality assurance in the drafting of sector policy and implementation plans (such as MESIP, which is aligned to ESIP II), by facilitating the strengthening of sector dialogue to create more effective partnerships in the sector, by promoting the use of evidence-based decision making in the sector, by sharing lessons learnt from similar processes across the globe, and by leveraging international financing for the sector, the GPE will also be contributing to a series of expected outputs in the first instance (such as more inclusive sector dialogue and monitoring, stronger implementation plans, effective partnerships between all key stakeholders and so on). Contributing to the successful delivery of these outputs will mean that these in turn will lead to a series of expected immediate and intermediate outcomes. Again, the question to assess will be to what extent the contribution by GPE has been meaningful and will help shape the ultimate objective, namely inclusive and quality education for all.

47. The table below lists the contributions claims, underlying assumptions (numbered as per Table 3 above) and some key indicators to be tracked.

Table 4 Contribution Claims, critical underlying assumptions, indicators

Explanatory Mechanism	Critical Underlying Assumptions	(Implicit) Contribution Claim
BECAUSE (1) GPE provides Education Sector Plan Development Grants 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.	(2) Malawi has the resources and incentives to improve sector analysis and planning. (6) Relevant actors have adequate 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 EMIS. (19) There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level).	Contribution claim A: 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.
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.	(6) Relevant actors have adequate capacity to implement all elements of the sector plan. (19) There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level). (10) Country level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews.	Contribution claim B: GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to <i>mutual accountability</i> or education sector progress.
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 – there is more and better financing for education is mobilized in the country.	(4) Development Partners honor their financial commitments to the sector. (11) GPE has sufficient leverage to influence domestic and international education sector financing.	Contribution claim C: GPE advocacy and funding requirements contribute to more and better financing

Explanatory Mechanism	Critical Underlying Assumptions	(Implicit) Contribution Claim
<p>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</p>	<p>(12) External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing. (19) There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level). (4) Development Partners honor their financial commitments to the sector. (10) Country level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews. (12) External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing. (14) Civil society organizations and teacher organizations have the capacity and will to monitor sector plans. (15) Government has the political will to create space for country-level stakeholders - including teachers and civil society organizations - to engage in policy dialogue. (16) All stakeholders (government at all levels, donor partners, NGOs, ...) work together and improve coordination and communication.</p>	<p>Contribution claim D: GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans.</p>
<p>BECAUSE (1) countries implement and monitor realistic, evidence-based education sector plans based on equity, efficiency and learning – the education system becomes more effective and efficient towards delivering equitable quality educational services for all.</p>	<p>(19) There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level). (3) Country-level partners (working through LEGs) provide well targeted and useful support to government to assist with sector plan implementation, and align their own activities with the priorities of the sector plan. (4) Development Partners honor their financial commitments to the sector. (7) There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve EMIS. (10) Country level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews. (11) GPE has sufficient leverage to influence domestic and international education sector financing.</p>	<p>Contribution claim E: 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>BECAUSE (1) sector plan implementation includes provisions for strengthened EMIS and LAS and (2)</p>	<p>(12) External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing.</p>	

Explanatory Mechanism	Critical Underlying Assumptions	(Implicit) Contribution Claim
<p>because GPE promotes and facilitates sharing of evidence and mutual accountability for education sector progress- country produces and shares disaggregated data on equity, efficiency, and learning.</p>	<p>(13) There is political will to use evidence and best practice in sector analysis and planning.</p> <p>(14) Civil society organizations and teacher organizations have the capacity and will to monitor sector plans.</p> <p>(15) Government has the political will to create space for country-level stakeholders - including teachers and civil society organizations - to engage in policy dialogue.</p> <p>(16) All stakeholders (government at all levels, donor partners, NGOs, ...) work together and improve coordination and communication.</p> <p>(17) Education sector plan implementation leads to improvements of previous shortcomings in the education system.</p>	

Explanatory Mechanism	Critical Underlying Assumptions	(Implicit) Contribution Claim
<p>BECAUSE of improvements at the level of the overall education system, there are improved learning outcomes and improved equity, equality and inclusion in education.</p>	<p>(7) There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve EMIS.</p> <p>8) LEG existence and functioning is positively influenced by GPE (both through the functioning of the global partnership, and through specific interventions through the Secretariat).</p> <p>(9) GPE has sufficient leverage within the country for GPE advocacy and support to be effective.</p> <p>(13) There is political will to use evidence and best practice in sector analysis and planning.</p>	<p>Contribution claim F: Education system-level improvements result in improved learning outcomes and in improved equity, gender equality, and inclusion in education.</p>

1.2.5 Stakeholder mapping

48. A stakeholder mapping exercise (see Annex L) has identified and mapped key stakeholders at the national level that are to be consulted during the evaluation and assesses each stakeholder's role and influence with regards to GPE activities. In the context of the prospective country evaluations, mapping the essential activities taking place over the evaluation period will also be of relevance. This will inform decisions regarding visits and missions, to the extent possible in line with the evaluation work plan, and will also make sure that evaluations and reports due to merge in the course of the PE are factored into its analysis.

49. It appeared from the stakeholder consultations that the education landscape in Malawi had been appropriately identified in Annex L. However, one potential gap to be further investigated is engagement of religious institutions, as approximately half of the children attend schools managed by religious institutions. In particular, future field visits and ongoing communication with Malawi should focus on the relevant sections within MoEST (especially the Honorable Minister, the Planning Directorate, the Project Facilitation Team (PFT), the Component Managers, EMIS and Finance), a sample of decentralized administrators (especially at the District level – District Commissioner, and the District Education Manager), the CA and GA, Civil Society (in particular CSEC), members of the SWG (including DPs investing in the sector), and the Teachers Union of Malawi.

2 Assessment of GPE contributions to Education Sector Planning and Policy Implementation, Financing, and Sector Dialogue/Monitoring in Malawi

2.1 Situation analysis at Year 1

50. This section of the report briefly summarizes the situation at the outset of the evaluation, and it therefore provides a baseline against which the contribution of GPE to the education sector in Malawi can be assessed. In addition, the baseline has included a comprehensive stocktaking of relevant indicators to the sector; see Annex B for more details on the country context.

2.1.1 Education sector planning

Assessment of sector planning

Summary

- *Education sector planning remains strong in Malawi.*
- *Education sector planning has to some extent been supported by GPE initiatives but was already a key feature of the sector prior to GPE involvement.*
- *Most respondents would agree that the most current plan has benefited from the rigorous GPE quality assurance process.*
- *In terms of Indicator 16 of the GPE Results Framework, the purpose of which is to assess the quality and credibility of education sector plans against a set of criteria, the GPE Secretariat rated the Malawi NESP as partially meeting the expected standard.*

51. The NESP 2008-2017 sets out to implement the strategies outlined in MGDS II by expanding equitable access to education, improving quality and relevance of education, and also improving the governance and management of education services and programs. It represents the national blueprint of educational aspirations. See Annex B for more details on the NESP and country context.

52. More specifically, the main strategic priorities of the plan are:

- the improvement of quality, equity, relevance, access and efficiency in basic education;
- doubling enrollments in secondary education over the ten-year period while focusing on improved quality and the retention of girls;
- expanded access to technical and vocational education;
- doubling enrollments over the ten-year period in public universities with increased efficiency along with the expansion of private tertiary education; and
- attention to special needs education programs, HIV/AIDS mitigation, and gender equity.

53. The NESP has been translated into five-year Education Sector Implementation Plans (ESIPs). The first ESIP covered the first five years of NESP implementation (2008/09-2013/14). The second

Education Sector Implementation Plan 2013/14-2017/18 represents the current implementation framework for the NESP.

54. The NESP came out of a rigorous assessment of the main challenges facing the system, which are detailed in section 1 of this report.³⁵ In terms of Indicator 16 of the GPE Results Framework, the purpose of which is to assess the quality and credibility of education sector plans against a set of criteria,³⁶ the GPE Secretariat rated the Malawi NESP as partially meeting the expected standard. Details of the assessment can be found below in Table 5.

Table 5 Rating by GPE Secretariat of Malawi NESP against Indicator 16 of the GPE Results Framework

Criteria	Quality Standard Status	Proportion of ESP Meeting the Minimum Standard
Criterion 1 - Overall Vision	Met	89%
Criterion 2 - Strategic	Not Met	50%
Criterion 3 - Holistic	Not Met	56%
Criterion 4 - Evidence-based	Met	100%
Criterion 5 - Achievable	Not Met	33%
Criterion 6 - Sensitive to Context	Met	72%
Criterion 7 - Attentive to disparities	Met	100%

Source: Data provided by GPE Secretariat, assessment made in 2017

55. In October 2017 MoEST released its 'Review Report for National Education Sector Plan 2008 – 2017, and the Education Sector Implementation Plan II 2013/14 – 2017/18'.³⁷ Key findings with regards to NESP are premised on the view that over the past ten years 'results are well below expectations' and 'issues related to implementation capacities pose the major challenge to attaining these expectations' (2017, p. x). The consensus articulated in the review is that while there is an appropriate legislative/policy framework in place for the education sector, to date the sector has been unable to successfully implement the prescribed changes articulated in the policy.³⁸

56. The review made a number of key findings with regards to issues specified in NESP related to primary education. The review notes success has been achieved in terms of:³⁹

- Pupil enrollment increasing (at a rate higher than targets provided in NESP) for both boys and girls;
- Achievement of gender parity in early years, albeit it remains as an access and equity issue after Standard 5;
- Decline in drop-out rates for both boys and girls; and
- Meeting the target for enrolling children with special needs (albeit suitably qualified teachers and adaptive materials remain in short supply).

³⁵ See also the opening chapter of MoEST, 2017 'Review Report for National Education Sector Plan 2008 – 2017, and the Education Sector Implementation Plan II 2013/14 – 2017/18' (October, 2017) (MoEST, 2017a), pp.4 – 10.

³⁶ Indicators 16 a, b, c, & d are assessed against a series of standards including the extent to which the plan is guided by an overall vision, is strategic and holistic, is evidence-based and achievable, is sensitive to context, and is also attentive to disparities. For more detail see the GPE Results Framework Technical Guide (June 2017) pp.38 – 43.

³⁷ MoEST, 2017a

³⁸ See the Malawi Baseline Report (Mokoro, 2018) for more details on the NESP and tentative planning of a new NESP.

³⁹ MoEST, 2017a, p. xi.

57. The report also highlights several challenges that remain with regards to what NESP expected to achieve in terms of learning outcomes, namely:

- Reading comprehension at Standard 2 level remains alarmingly low;
- The increase in repetition rates continues to grow; and
- Survival and completion rates are declining.

58. In addition, the review of NESP noted that several gains had been made with regards to teachers at primary education level, including salary payments, better informed teacher deployment, and a stronger zonal and cluster system. Challenges still remained, however, in meeting the intent of NESP with regards to ensuring greater decentralization in the sector.

59. In terms of expected policy delivery, the review of NESP notes that there has been some success, such as:

- The learning time for lower classes has been increased from three to four hours; and
- A school-based procurement system has been introduced, complemented by training of senior managers in procurement.

60. The review of NESP does note that there has been little attempt to systematically monitor the roll-out of policies, nor has there been much progress in creating an appropriate learning environment for learners and teachers through suitable infrastructure initiatives.

61. Furthermore, the review of NESP made a number of key points, albeit not specific to Primary Education, that will influence evaluations done in the sector going forward;⁴⁰ these include:

- Data reliability remains a major issue;
- Planning in the sector does not make optimal use of available data;
- There is a high degree of variability between different districts, divisions and so on in MoEST and across the country;
- Inter-ministerial coordination is weak;
- Staff turnover and staff vacancies are high at all levels;
- Concerns have been raised about the low levels of ownership, and commitment to, DP-funded activities which have led to large amounts of DP funding now being off-budget (which has also led to many DP interventions moving away from the SWAp approach to discrete projects); and
- There has been unease about the predictability of DP funding (the report argues it is both erratic and unpredictable).

62. The Baseline Report⁴¹ and the PAD⁴² note the strong traditions and longevity of sector planning and improving plans based on lessons learnt from earlier iterations. Additionally, in examining the extent to which there is alignment in the planning between GPE objectives, targeting and activities with the national policies on education and gender the baseline report found that there is strong alignment. The objectives and priorities of the GPE grant resonate most clearly with the most recent adjustment to the goals of the NESP 2008-2017. The Government of Malawi's strategic objective for the education sector is 'towards quality education: empowering the school'. This objective is further expanded within the MGDS II, and restated and reformulated as the three goals of the NESP 2008-2017, namely:

- Expanded equitable access to education;

⁴⁰ MoEST, 2017a, p. xv.

⁴¹ Mokoro, 2018.

⁴² World Bank, 2016b.

- Improved quality and relevance of education; and
- Improved governance and management of education

63. Furthermore, these have been recast within the second ESIP for 2013/14 – 2017/18 (the second implementation phase of the NESP), whose goals and key reforms, which align closely to the GPE grant, include:

- early grade learning,
- teacher training, development and management,
- learner retention,
- decentralization of salaries and grants,
- decentralization of the procurement of teaching and learning materials, and
- education access and infrastructure.

64. This is further validated by the DFID-funded appraisal of ESIP II⁴³ which found that the plan ‘corresponds to the national MGDS II emphasizing expanded equitable access, improved quality and relevance and improved management and governance’ (p.6).

65. Elaborating further, the DFID report noted that the plan’s emphasis on basic education is a clear priority in Malawi in particular areas which align closely to the GPE grant – namely ‘a motivated teacher workforce, increased internal efficiency and improved management through school-based management finance’ (p.7). Interviews conducted in Malawi confirmed the DFID appraisal and review of NESP, strongly indicating that the ESP aligns with, and is addressing, the needs of the primary education sector (in particular people’s needs, gender and equity issues).

66. Moreover, when respondents were asked to identify issues that the sector plan is not addressing, respondents were unable to list any additional issues within the sector that had not yet been identified. In fact, most respondents said that the issue was not about alignment but rather implementation, particularly in an acceptable timeframe. The suggestion being made was that whilst all serious challenges in the primary education sector had been well articulated, there were concerns that the response to these challenges would not be sufficiently effective and would be unlikely to occur in the planned timeframe. As noted below (section 0)⁴⁴, the challenge Malawi faces at present is putting the plans into practice. It would appear (and the future PE will need to explore this over time) that the plans did not adequately take into account the lack of capacity both within MoEST, and in Malawi more generally.

67. An initial review of documentation as part of the baseline review suggests there is strong evidence of complementarity to the planned interventions in Malawi with both government and development partners. Annex Table 19 in Annex L provides a long list of interventions and programs that complement MESIP. See also pp. 106–126 of PAD (World Bank, 2016b), which signals an extensive range of DP and CSO interventions that complement MESIP. Sizeable projects include⁴⁵:

- Early grade reading, the national reading strategy supported by USAID and DFID;
- UNICEF support to the Early Childhood Development (ECD) Policy Review, and its support of efforts to strengthen EMIS;

⁴³ DFID, 2014, Report on the appraisal of the Second Education Sector Implementation Plan (ESIP II) on behalf of Development Partners and Local Education Group in Malawi.

⁴⁴ The key theme running through reviews of both ESIP I and ESIP II is that they were overly ambitious, planning was not sufficiently linked to the budget, and many annually planned activities were not completed and were therefore carried over to the next year.

⁴⁵ The ITRP reviewer commented that these seem to include some overlaps in addition to the complementarity mentioned.

- KfW's support to procure primary school textbooks and teachers' guides, and its support to targeted teacher training colleges to rehabilitate essential infrastructure;
- GIZ's support to the Basic Education Program, and its support to school feeding;
- Norway's support to Improving Access and Quality of Education for Girls in Malawi, the Joint Program on Girls' Education, its support to Unlocking Talent through Technology at targeted primary schools, and its support to Inclusive Education at primary schools; and
- DFID's support to Keeping Girls in School, and its Education Support to Malawi initiative aimed at early grade learners.

GPE contribution to sector planning

68. In this section we outline how it is intended that GPE financial and non-financial support to sector planning will fulfil the contribution claim that GPE support and influence contribute to the development of government-owned, credible and evidence-based sector plans focused on equity, efficiency and learning. The plausibility of this contribution is then assessed based on the baseline situation, progress thus far, and the wider evidence base.

69. Our main finding is that education sector planning, whilst to some extent supported by GPE initiatives, was already a key feature of the sector prior to GPE involvement. Several DPs (such as the EU, DFID, the German Embassy) have been involved in education projects for close on 40 years, and they would argue they have been supporting, and aligning to, MoEST activities to strengthen education sector planning for several decades, and certainly since well before GPE involvement in Malawi.

70. Those interviewed during the field visit in April would also add that where GPE have added value with respect to sector planning is by promoting an inclusive approach to planning. Interviews with civil society and the Teachers Union of Malawi confirmed that they were always invited to dialogue sessions within the sector on planning issues.

71. Respondents were largely unanimous in the view that the current plan is relatively robust, has benefitted from the GPE QA process, but that there may not be sufficient capacity to adequately implement all components of the plan satisfactorily.⁴⁶

2.1.2 Mutual accountability through sector dialogue and monitoring

Summary

- *There is a need for greater collaboration between all stakeholders, especially as attendance of high-level sector meetings by senior government officials is erratic, and commitments agreed upon at Joint Sector Reviews are not always acted upon thereafter by MoEST.*

Assessment of sector dialogue and monitoring

72. The Joint Sector Review (JSR) process in Malawi seems to be a well-established and continuing form of reporting and review, and it also engages a wider group of stakeholders which helps it promote mutual accountability across the sector. The JSR represents the main vehicle for reporting to stakeholders on progress towards targets and on finance and this is now made clear in the ESIP II Action Plan. The MESIP M&E and verification processes refer to the involvement of the JSR in reviewing and validating results achieved. Nevertheless, challenges have been noted with regards to the extent which the JSR actually achieves mutual accountability in practice.

⁴⁶ The ITRP reviewer commented that this seems to suggest that the plan is not actually robust.

73. Respondents interviewed in April 2018 noted three key aspects of sector dialogue. Firstly, whilst in theory there is a robust structure for promoting sector dialogue, the actual meetings take place infrequently. Secondly, as a consequence of the irregularity of meetings, they are largely occupied with progress reports and there is little time for any dialogue or discussion around what is presented in the meetings. Thirdly, there has been no improvement between the 2016 and 2017 JSRs in terms of dialogue. Respondents noted that MoEST did not provide senior-level representation as expected. The Minister of Education was not at the high-level meeting despite DPs high-level presence for the meeting. In addition, there is still no follow-up on commitments made in the JSR Aide Memoire (prepared at the conclusion of the meeting) during the year, making the JSR a ritual carried out each year with no follow-up on implementation.

74. The views of respondents echo what was reported in the Baseline Report.⁴⁷ For instance, the back-to-office report prepared by the GPE Secretariat in November 2016⁴⁸ made the following observations with regards to the 2016 JSR:

- High level participation from the Government of Malawi was lacking. The Minister of Education was present during the first day only. Similarly, there was no representative from other ministries such as Finance, Gender, or Planning. In future JSR meetings it was suggested to involve other ministries as well as high-level political participation so that representatives from other ministries and political leadership would be able to better understand the challenges faced by the education sector.
- Participation from DPs was not adequate and only a few DPs were able to attend all sessions. Further, during the JSR, it was observed that the JSR was not co-led by MoEST and DPs. Similarly, CSO participation needed to be further strengthened, especially during the planning and preparation phase of the JSR exercise to ensure their voice.
- Technical and group sessions needed to be better organized to encourage active participation. During the JSR, some of the plenary and group sessions were rushed to conclusion without adequate discussion. In addition, group session outputs were not considered for the closing remarks. Similarly, the session on last year's performance report and follow up of last year's JSR recommendations was rushed without adequate time for discussion.
- The JSR report was circulated during the second half of the first day of the JSR. This provided very little time for participants to read and reflect upon the progress. It was suggested to DPs and MoEST that the report should be circulated at least one week in advance to allow enough lead time for review and comments.

75. With regards to an SWG, it would appear that there has not, at least in recent times, been a fully formed and active SWG. In addition, it would also seem that the formulation of MESIP has been instrumental in reviving the SWG, albeit under a different name since 2017. According to the PAD, (then) LEG members were fully involved in the most recent stages of design and development and will be involved in review and validation of results – especially those funded by the GPE variable tranche of funding. It has also been noted that CSOs are now represented on the MESIP Technical Review Committee and they also have been consulted in the later design stages of MESIP. As noted in the QAR Phase I report, it does appear that at this point there are no formal Terms of Reference regarding membership of this group, with no specific articulation of minimum participation and the decision-making process.

76. To date 16 annual JSRs have been held for the Malawian education sector. A key feature of the JSRs has been the extensive level of participation from all key stakeholders, and the breadth of representation not only across government but other key sectors such as teacher groups, CSOs and DPs.

⁴⁷ Mokoro, 2018.

⁴⁸ GPE, 2016e.

Since about 2013 the JSRs have rapidly expanded both the range of participants and the duration of the event. Whereas previously the JSRs were conducted over a few hours, they now take a full two days, thus allowing a vast range of issues to be discussed. Similarly, whereas early JSRs were often an opportunity for the Ministry to engage with DPs, the more recent JSRs conclude with identifying an action list, assign responsibility and a timeframe within which each action needs to be completed (see for instance the agenda of the 2016 JSR, and compare it with previous JSRs which did not include this activity).

77. Respondents interviewed in April 2018 suggested that whilst meetings such as the JSRs, SWGs, and Technical Working Groups (TWGs) are very informative (in terms of the relevant information shared pertaining to the sector), there is very little opportunity to hold anyone to account other than by raising questions and concerns. Future visits will need to establish the extent to which the current situation regarding accountability changes, and whether these changes enhance a mutual approach to accountability.

78. The main quantitative monitoring tool for the sector is the Education Management Information System (EMIS) which is supplemented by other tools, e.g. Integrated Financial Management Information System (IFMIS), National Statistics Office Welfare Monitoring Survey (NSO-WMS), Southern Africa Consortium for Measuring Education Quality (SACMEQ) and the Integrated Household Survey (IHS). The Monitoring Tools/Mechanisms are guided by the Education Research Monitoring and Evaluation Framework. To improve reliability and availability of quality education statistics, MoEST has begun to decentralize data collection to all zones and clusters in all education districts. Neither documentation nor interviews have provided any sense of the extent to which education data is routinely and systematically verified as being reliable and valid, nor the extent to which it is being routinely used to make management decisions within the sector (see section 2.5.1).

79. Documentary evidence reviewed by the Malawi PE team suggests that whilst sector dialogue also ensures monitoring at the higher level (i.e. at MoEST/DP/CSO level) there is little evidence to date that anyone other than MoEST officials does the actual monitoring, although the JSRs, for example, do discuss the findings that MoEST share based on monitoring/inspections and EMIS-related data. This finding was confirmed by a number of respondents interviewed in April 2018.

80. In addition, the ESIP II Appraisal made an important point about the utilization by MoEST of experienced CSOs to provide independent assessments of progress towards goals and to determine implementation status: “Although expenditure reviews and resource tracking surveys are planned, they are not described in the document and neither is the modality or bodies to carry these out. In addition, the revised ESIP II could examine the role of CSOs to assist in monitoring quality.”

81. The ESIP II Appraisal also stated that there was to be very wide involvement of civil society when developing a strategy to address repetition (DLI (Disbursement Linked Indicator) 2): “The sector will hold consultative meetings with all stakeholders ... i.e. Community (SMC/PTA), Teachers and Heads, PEAs, DEMs, NGOs / Civil Society, Private Schools, Development Partners, Higher Education Institutions including TTCs, and other government agencies.” Moreover, CSOs have been involved and consulted during the ESIP and MESIP design and are represented in the SWG. Interviews with CSOs and other stakeholders (such as Teacher Unions) suggest that they are routinely invited to participate in the relevant structures when they meet. Moreover, as can be seen in the attendance list of those who were present at recent JSRs, CSOs, NGOs and others are well represented. Moreover, there is strong evidence that plans developed within the sector have been aligned to the ESP as a result of the regular dialogue in the sector.

GPE contribution to sector dialogue and monitoring

82. Whilst sector monitoring is still relatively new in Malawi, qualitative monitoring/sector dialogue has been a key feature of the sector for over a decade. Annual JSRs have been in place since about 2002, and the SWG (which is effectively the LEG) was established prior to the initial grant by GPE in

2009. By the start of ESIP II the M&E framework for the sector embraced TWGs, SWGs and the JSR as the main structures for monitoring and policy dialogue. Nevertheless, respondents did concede that without the financial support of GPE it was unlikely that these meetings would be held at all. This is particularly true of recent JSRs, an item of authorized expenditure under the GPE grant.

83. Another key feature of how GPE is contributing, which will need to be explored further in future field visits to Malawi, is the extent to which the partnership has been promoting an inclusive policy dialogue. A key principle that members of GPE commit to is to facilitate transparency and promote collaborative decision making around the use of GPE financial support. The process followed within Malawi illustrates the extent to which support has catalyzed interactions between different role players. For instance, a review conducted by HEART,⁴⁹ funded by DFID on behalf of DPs and the LEG, independently appraised the second Education Implementation Plan (ESIP II) in November 2014. Key findings were as follows:

- Development of ESIP II was participatory and appraisers believed there was ‘genuine country ownership’ (p.6).
- Preparation of the plan was seen to be ‘wide-reaching and thorough’, with strong alignment to MGDS II.
- The plan was developed through a complex consultative process that included initial draft efforts being rejected by stakeholders which led to MoEST and technical groups having to redraft significant portions of the plan.

84. Further evidence of the inclusive nature of policy dialogue in Malawi, can be found in the QAR I Report⁵⁰ which lists a number of interventions that the report suggests helped facilitate the engagement of all key stakeholders in education sector dialogue, as listed below.

- In February 2015, the World Bank in consultation with MoEST and DPs developed the Project Concept Note with the overall Project Development Objective (PDO) to “support implementation of Malawi’s Education Sector Implementation Plan II (2014-2018) to achieve its goals for improving learning outcomes and enhancing internal efficiency and equity for primary education.”
- In March 2015, the GPE Secretariat conducted the second QAR 1 mission to Malawi. The World Bank team also joined the mission. Overall, the GPE Secretariat mission found that the Concept Note was aligned with ESIP II priorities and GPE’s Strategic Goals.
- The Secretariat also observed a good level of consultation and partnership between GA, CA and MoEST. However, the Secretariat was later informed that neither MoEST nor LEG reviewed and endorsed the final concept note before it went to the World Bank’s Concept Note review meeting in April 2015.
- In May 2015, the World Bank shared with MoEST and DPs key recommendations from the World Bank review meeting, notably to simplify the project design to make it feasible in achieving the project objectives. In view of the recommendations, the World Bank team also proposed to postpone Malawi’s application from Round 2 of 2015 to Round 1 of 2016.
- In June 2015, the World Bank team visited Malawi to advance preparation of the project in light of the recommendations of the Concept Review meeting and to build consensus on overall objectives and design. During the mission the project design was discussed with MoEST and LEG members.
- In October 2015, the World Bank and the GPE Secretariat teams visited Malawi to (i) further support MoEST in project preparation through consultations with project stakeholders, including LEG representatives; and (ii) to review the linkages of program components with

⁴⁹ DFID, 2014.

⁵⁰ GPE, 2015g, pp 14-15.

GPE's Strategic Objectives as well as with Malawi's ESIP II. During the mission, the GPE team also provided feedback through consultation sessions and meetings.

85. Another aspect of the contribution the partnership is making is in facilitating the use of evidence to guide decision making in the sector. Globally, GPE places considerable emphasis on the gathering of valid data to be used to inform and strengthen decision making. In Malawi to date there have been several initiatives to promote monitoring across the sector, but these are still in their infancy and future visits will need to determine whether these interventions are having the desired effect and to what extent GPE is influencing evidence-based decision making in the sector.

2.1.3 Education sector financing in Malawi

Summary

- *At the time of the first evaluation field visit, one donor had committed funds to the new Common Financing Mechanism, and other DPs expressed their intention to follow suit.*
- *GoM is slowly increasing its budget allocation to the sector to meet the 20 percent target of budget allocation to education.*
- *Much of the GoM's education budget is earmarked for personnel, thus the sector's development budget remains largely dependent on DPs, and on GPE specifically.*
- *The GPE grant is four times greater than the GoM's own spending on education infrastructure, which raises questions about sustainability in the long term.*

Assessment of sector financing

86. Education spending accounts for the largest share of total government budget in Malawi and a significant share of donor assistance to the country.⁵¹ Although the MoEST budget increased from MK109.7 billion in 2015-16 to MK146.5 billion in 2016-17, and MoEST received the second highest share of the total budget after the Ministry of Agriculture, Irrigation and Water Development, the education sector share of the budget fell from 18 percent in 2015-16 to 17 percent in 2016-17.⁵²

87. 17 percent is below the target set in MGDS II, which envisaged a target of about 19 percent of the budget being allocated to Education per annum, and is below the Education for All-Fast Track Initiative (EFA-FTI) and GPE recommendation which advocates that 20 percent of the total government budget should be allocated to Education, or that the DCP should make progress toward an allocation of 20 percent.⁵³

88. Moreover, the education sector share of the budget is increasing at a rate which is lower than overall government expenditure. Whilst the overall budget grew by 209 percent in nominal terms between 2013-14 and 2016-17, the education sector budget only grew by 154 percent during the same

⁵¹ Albeit recent data suggests it is declining. At the height of DP support to the sector it accounted for 26.5 percent of budget financing in 2013, in addition to large amounts of off-budget financing through projects and other activities. Following the 2013 Cashgate scandal, significant resources were withdrawn, leaving a deep funding gap with all projects now being off-budget (WB, August 2016, p.2).

⁵² UNICEF, 2017, Malawi: 2016/17 Education Budget Brief, p.1.

⁵³ CSEC, 2016, p.13.

period.⁵⁴ Nevertheless, the education budget constitutes about 4.5 percent of GDP, which is within the SDG acceptable range, i.e. between 4 percent and 6 percent.⁵⁵

89. The MoEST received 74 percent of education funds in the financial year 2016-17. In 2016-17, 56 percent of MoEST's budget was directed to primary education, 25 percent to secondary and 19 percent to tertiary. Primary education attracts slightly less funding than the ESIP II target of 60 percent.⁵⁶ Government capital spending (Development Expenditure II) makes up only 1.75 percent of the MoEST's budget. The budget for other recurrent transactions (ORT) declined from 22 percent of MoEST's budget in 2013-14 to 11 percent in 2016-17.

90. Salaries consume 74 percent of the total budget for the sector. The long-term average for salaries/ personal emoluments for financial years 2010-11 to 2013-14 was 60 percent.⁵⁷ However, increases in personal emoluments do not correspond to ORT and development expenditures. In 2016-17, the Government's contribution to ORT was well below the 2010-11 to 2013-14 average of 23 percent. Some of the ORT expenditures are being covered by donors through off-budget support. The ORT budget contributes to essential items such as textbooks and teaching materials as well as monitoring and training expenses, all of which have been critically underfunded.⁵⁸

91. With regard to official development assistance (ODA) committed to the education sector, Basic Education has received the lion's share for the past 10 years (see Annex Figure 3 of Annex B)⁵⁹. Interviews with DPs conducted in April suggest that this will likely remain the case, especially after the Royal Norwegian Embassy's (RNE) announcement of support to MESIP pilot initiatives in four additional districts. Moreover, the German Embassy is also currently planning additional investments in the sector. One unintended consequence of the strong focus on Basic Education, however, is that there are DPs (such as the EU) who have shifted their focus towards neglected sectors within Education (such as TVET), believing that Basic Education is now sufficiently supported when compared with other sectors within Education.

92. Additionally, whilst GoM budget documents typically record funds received from DPs, they do not specify the amount, from whom received, or what funds received will be spent on. Thus, for instance, although the GoM has for the past few years prepared Program Based Budgets annually, no reference is made to GPE in these budgets.

93. Indicator #29 of the GPE Results framework assesses the extent to which the MESIP ESPIG was likely to be aligned to national systems, based on existing modalities. While the assessment in 2016 found the ESPIG was fully aligned, in 2017, this was no longer the case. In terms of Indicator #30, the purpose of which is to assess the extent to which GPE is supporting harmonization, the assessment found that in Malawi GPE is now supporting a stand-alone project, instead of the previous sector-pooled modality. The difference in these assessments only a year apart, is that it suggests the lack of harmonization in the sector and a need for 'multiple contributing partners delivering funds in a coordinated fashion to support implementation of the national education plan, or specific parts thereof'.⁶⁰

94. Development spending by GoM has declined from 7 percent in 2013/14 to 2 percent of the total spend by 2016/17. GoM's contribution to development expenditure makes up only 1.75 percent of the Ministry's budget. The increase in the Development Part I budget in 2016-17 was driven primarily

⁵⁴ UNICEF, 2017, p. 4.

⁵⁵ CSEC, 2016, Analysis of the 2016/17 National Budget Focusing on Education Sector.

⁵⁶ UNICEF, 2017, p. 5.

⁵⁷ UNICEF, 2017, p.5

⁵⁸ UNICEF, 2017, p. 5.

⁵⁹ Source: OECD DAC CRS; also see Malawi Baseline Report (Mokoro, 2018, p 54: Figure 9)

⁶⁰ GPE Results Framework Technical Guidelines (June 2017), version 8, p.69.

by the large grant from GPE. This saw the Part I development budget increase by 203 percent from the previous year. The grant is four times greater than the Government's own spending on education infrastructure and does raise questions about sustainability in the long term.

95. In the next PE, provided data is available, it will be necessary to analyze separately the education share of the recurrent budget and the education share of the capital budget for the sector. There are several reasons for doing this. First, as already noted, education spending (especially on-budget) is dominated by recurrent expenditure. Secondly, drivers of recurrent and capital expenditure are different, with capital expenditure much more volatile. Thirdly, as the discussion above suggests, with DPs not using government systems in Malawi (and thus the GoM budget not capturing the full picture of development partners' expenditure in the sector), it is likely that the total education expenditure may be understated in the GoM budget figures.

96. In the 2016-17 budget, only 5 percent of the education sector budget was to be channeled to Local Councils through a combination of grants and allowances (see Annex Figure 4 in Annex B). The situation is, however, likely to change from 2017 with the accelerated pace of decentralization. The MoEST is moving to a decentralized human resource system in line with the practice of the Department of Human Resource Management and Development. The planned decentralization requires an upgrading of the IFMIS and the deployment of MoEST staff to regional processing centers. Decentralization is expected to return dividends in terms of receiving accurate and up-to-date information such as when a teacher is no longer working at a particular school, has taken leave or has been relocated. Funding channeled through Local Councils is mostly used for operational costs and small-scale rehabilitation of schools.

97. As the PAD notes,⁶¹ the 2013 Cashgate scandal led to several donors withdrawing their support for a pooled funding mechanism and on-treasury support, which had been initiated as part of a SWAp for development financing. The withholding of external assistance, which the GoM had not expected, negatively impacted budget execution in 2013-2014, including execution of the education budget. Moreover, it also meant that DPs were reluctant to use GoM systems. Thus, MESIP is fully integrated into the MoEST as regards decision-making and government ownership. However, with regard to fiduciary safeguards it operates through a special account in a commercial bank to ensure independent fiduciary oversight and control through the PFT.⁶²

98. The QAR I report⁶³ provided an assessment of the extent to which ESPIG was likely to be aligned to national systems, based on existing modalities. Annex Table 4 in Annex B provides a summary of the different dimensions assessed, which illustrates that to a large extent the financial support will be managed through a process parallel to and distinct from Malawi's PFM system.

99. Although all questions listed in the Evaluation Matrix in Annex E will continue to be verified during field visits over the next two years, assessments to date by the GPE Secretariat⁶⁴ (and also verified during the field visit conducted in April in interviews with both MoEST and DPs) indicate that it is likely that the 'financial modality for Malawi will not be aligned with the country system due to limited capacity within MoEST and absence of appropriate fiduciary safeguards'.

100. However, it is important to note that a key component of the current grant to Malawi is to strengthen existing financial systems within MoEST. Thus, MoEST is in the process of institutionalizing the Integrated Financial Management Information System as part of overall financial management. IFMIS will allow transparent recording of all transactions and procurement actions. Currently the MoEST Procurement Policy Team consists of two sub-divisions: (1) for goods and services; and (2) for

⁶¹ World Bank, 2016b, p. 2.

⁶² World Bank, 2016b, p. 34.

⁶³ GPE, 2015g

⁶⁴ See GPE, 2015g, QAR Phase I: Initial Program Consultation, Malawi. Summary Report.

works, run by the Education Infrastructure Management Unit (EIMU) which manages construction procurement only. There is an internal procurement committee at the MoEST consisting of seven members chaired by the Secretary of Education.

GPE contribution to sector financing

101. Three features showing how the GPE has contributed to sector financing include, first, the Announcement by GoM at the GPE Replenishment Conference (February 2018) of an increase in public education expenditure from 24 percent in 2018 to 31 percent in 2020.⁶⁵

102. Secondly, resolution of the dialogue with those DPs who are keen to support the establishment of the CFM to pool funds with independent oversight/control to align their support to the government system is in the offing. As of May 2018, the CFM was functional.⁶⁶ The RNE have already announced that they will distribute their funds through the Education Sector Joint Fund (ESJF, the name of the CFM in Malawi) and at least two other donors⁶⁷ may well follow. Once the ESJF is fully operational it will be necessary as part of the next field visit to elicit how the partnership contributed to this outcome.

103. Thirdly, interviews conducted with DPs during the field visit in April 2018 led to the conclusion that more and more DPs were giving thought to combining and harmonizing their investments in the sector and targeting key components of the implementation plan. Again, it will be important to assess in the future the extent to which harmonization is actualized and how the partnership, if at all, contributed to this harmonization.

⁶⁵ www.nyasatimes.com/csos-committed-implementation-malawi-govt-education-pledge/

⁶⁶ See World Bank, 2018c.

⁶⁷ Albeit they have yet to make any formal announcement in this regards, and therefore they cannot yet be named.

2.1.4 Education sector plan implementation in Malawi

Summary

- *Challenges remain with regard to education sector implementation and progress to date is below expectations.*
- *Some commendable achievements have been witnessed to date in the GPE-funded Malawi Education Sector Improvement Project (MESIP) including the distribution of school-based grants, the commencement of construction of latrines and water points at some of the pilot schools, and real-time data collection being successfully piloted.*
- *Data produced by the strengthening of the collection of valid and reliable data in the sector has yet to be used optimally for evidence-based decision making in the sector.*

Assessment of sector plan implementation⁶⁸

104. To date there have been two overarching interventions to implement activities aligned to the ESP. These are ESIP I (2009 – 2013) and ESIP II (2014 until 2017, albeit it has de facto been extended until the revised ESP is developed – likely at some point in 2019). Detail on the reviews of ESIP implementation progress can be found in Annex K. The main points raised in the reviews include the finding that both ESIP I and ESIP II were overly ambitious, and planning was not linked to the budget. In addition, many annually planned activities were not completed and were carried over to the next year. The most recent review of ESIP II, which coincided with the ten-year review of ESP, rather soberly noted:⁶⁹

Our overriding summary, two-part finding is that (i) the reasonable policies, programs, plans and strategies of the past ten years (and before) have yielded results that are well below expectations, and ii) issues related to implementation capacities pose the major challenge to attaining these expectations.

105. Moreover, the review also notes that whilst the development of plans has been robust and the plans developed have been of reasonable quality, the challenge remains with implementing them.

106. In March of 2018 the World Bank (Grant Agent for the current ESPIG in Malawi) conducted its annual implementation supervision and technical review mission. The aim of the mission was four-fold, namely to establish the level of activities implemented, review progress of the respective components, identify challenges impeding implementation, and agree on next steps. The review, whilst only focusing on aspects relating to MESIP, nevertheless resonates with the broader reviews that assessed both ESIP I and ESIP II. Thus, key issues raised include the quality of monitoring data, the need to clarify roles and responsibilities further, lack of capacity to implement which means several components are well behind schedule, and better coordination between DPs.

107. Moreover, the review also highlights the challenges that MoEST is facing with implementing civil works, in particular the fact that the construction under Component 2 has now been costed at nearly double what was initially budgeted. This has led to a budget shortfall and delays in implementation. A technical audit was recently conducted to assess the reasons for the gap between budget and actual costs, but has yet to be made public.

108. Additionally, reviews of both ESIP I and ESIP II found implementation to be behind schedule, and largely below expectations. Thus, both ESIPs have not made the progress that was expected. It is too

⁶⁸ For more details see the Malawi Baseline Report (Mokoro, 2018)

⁶⁹ Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report, 5 October 2017. Prepared by MoEST. (p.ix)

early to tell whether MESIP will suffer a similar fate, albeit features of MESIP are already behind schedule. This would suggest that to date there is insufficient capacity to implement the plans developed.

109. Nevertheless, the World Bank's technical review also noted a number of commendable achievements to date including the distribution of school-based grants, the start of construction of latrines and water points at some of the pilot schools, real-time data collection being successfully piloted, and the extension (through support by the Royal Norwegian Embassy) of pilots into new schools and districts. These pockets of success (for example, with regards to activities being undertaken in the pilot schools) will need to be verified in future evaluations, but it suggests that where implementation has been narrowly focused (such as with school-based grants or real-time data collection) it has been successful.

GPE contribution to sector plan implementation

110. The current ESPIG⁷⁰, consisting of a fixed (70 percent) and a variable (30 percent) tranche, is implemented using the World Bank's fiduciary mechanisms and not through the country system due to limited capacity within the MoEST and the absence of sufficient fiduciary safeguards.⁷¹ Investment Project Financing (IPF) including elements of results-based financing for the variable part was chosen as the lending instrument.⁷²

111. The ESPIG grant aims to improve the equity and quality of primary education service delivery in early grade levels with an emphasis on improved accountability and functioning at the school level. Table 6 below lists the five components of the latest GPE grant and what their main focus is in light of the three key thematic areas of the NESP.

Table 6 Components of NESP, MESIP, their focus and the latest update

NESP Thematic Area	MESIP Component	Focus	Update (as of May 2018)
i) Improve quality and relevance of education to reduce drop-out and repetition and promote effective learning	Component 1 Performance-Based School Improvement Grants for Improving Promotion and Retention ⁷³	Will pilot interventions for improving promotion rates through addressing the inefficiencies of repetition and dropout in the primary education system and also improving girls' retention through performance-based funding (PBF) and incentives. <i>Approximately 800 schools (out of 5,389 primary schools) will receive a base grant for improving promotion and retention, including girls' retention especially in grades 6-8.</i>	The first tranche of base grants to support schools improve retention and promotion rates was disbursed to the target 800 schools in June 2017 and processing for the disbursement of Performance Based Funding (PBF) grants to 400 of the 800 schools is ongoing.
ii) Expand equitable access to education to enable all to benefit	Component 2 Improving Equity for the Most Disadvantaged, including Girls	Will support the reduction of the Pupil-Classroom Ratio (PCR) in the eight most disadvantaged districts (out of 34 districts). Under this component the focus will also be on improving the retention of teenage girls	Twenty-one (21) contracts for the construction of 286 out of 500 targeted classrooms were signed and additional expertise recruited to support the Education Infrastructure

⁷⁰ Also see Malawi Baseline Report (Mokoro, 2018).

⁷¹ Information from QAR Phase III Report, GPE, 2016b.

⁷² World Bank, 2016b, *Project Appraisal Document (PAD) on a proposed grant for a Malawi Education Sector Improvement Project (MESIP)*, p. 23. For more details, see Malawi Baseline Report (Mokoro, 2018)

⁷³ World Bank, 2016b, PAD, p. 51ff and GPE briefing notes

NESP Thematic Area	MESIP Component	Focus	Update (as of May 2018)
		<p>especially in grades 6-8, by improving availability of sanitary facilities.</p> <p><i>The component will support construction of 500 classrooms, 300 latrine blocks and some 150 water points. All new school facilities will be constructed to ensure proper access for children with physical disabilities.</i> The project will also train communities/local artisans in classroom construction and management to encourage local ownership and involvement.</p>	<p>Management Unit (EIMU) manage the construction process for the project supported civil works.</p>
<p>iii) Improve governance and management of the system to enable more effective and efficient delivery of services</p>	<p>Component 3 Improving Learning Outcomes, Accountability, and Cost-Effectiveness at School Level</p>	<p>Will pilot cost-effective interventions targeting teachers and headmasters to improve classroom management in a resource constrained environment, including more efficient allocation of teachers; improving accountability of teachers and pupils; improving the retention of teenage girls in Standard 6-8 through communication/awareness programs targeting communities and mother groups.</p> <p><i>The component will support: (i) school leadership program to change school level management and teacher behaviors; (ii) school data collection and usage, and (iii) improving community involvement in schools, especially targeting retention of teenage girls.</i></p>	<p>The international institution to lead the implementation of the leadership training program has been contracted, while the contracting process for the IT firm that will support the development and collection of real time school data is at evaluation stage.</p>
	<p>Component 4 Variable Part/Disbursement Linked Indicators</p>	<p>Will focus on the development, endorsement and operationalization of strategic policy frameworks to (i) improve learning environments in early grades, (ii) improve retention of girls in upper primary and (iii) promote efficiency measures to reduce repetition in lower primary grades. The disbursement-linked indicators are:</p> <ul style="list-style-type: none"> • (i) Reduction in Pupil/Qualified Teacher Ratio in Grades 1 and 2 in 8 most disadvantaged districts; 	<p>Actions leading to the development of policies and strategies to improve internal efficiency of the primary education system had been initiated at the end of 2017.</p>

NESP Thematic Area	MESIP Component	Focus	Update (as of May 2018)
		<ul style="list-style-type: none"> (ii) Increase in Female to Male Teacher Ratio in Grades 6-8 in 8 most disadvantaged districts; (iii) Reduction in Repetition Rate in lower primary in 8 most disadvantaged districts. 	
	Component 5 Project Management, and Sector Program Support and Coordination	Will finance activities, core consultant staff, technical assistance (TA), and recurrent costs related to the project management and sector program facilitation and coordination, including communication, monitoring and evaluation (M&E).	Additional resources have been mobilised by the education sector to ensure effective conclusion of the development process for the efficiency enhancement strategies in readiness for their endorsement by the key stakeholders. The Project Facilitation Team (PFT) is constituted and operational and all Component Managers are in place reporting to the Assistant Director Planning who is also the Project Coordinator.

Source: World Bank, 2016b, PAD and GPE, 2017d, Briefing note on the Margin of the G20 Summit, June 2017; Update: Implementation Status & Results Report (World Bank, 2018c).⁷⁴

⁷⁴ Also see Aide Memoire Malawi (November 2017).

112. Table 7 shows the costs assigned to each of the program's five components:

Table 7 *ESPIG components and associated costs*

Component	Description	Cost (US\$, millions)
Component 1	Performance-based school improvement grants for improving promotion and retention	10.24
Component 2	Improving equity for the most disadvantaged, including girls	9.60
Component 3	Improving learning outcomes, accountability, and cost-effectiveness at school level	6.91
Component 4	Variable part/disbursement linked indicators	13.47
Component 5	Project management, and sector program support and coordination	4.68

Source: World Bank, 2016b, Project Appraisal Document, p. 20ff

113. For the results-based variable part of the grant (30 percent), Malawi has selected the following indicators to be implemented in eight of the most disadvantaged districts:

- Equity: 10 percent increase in Female to Male Teacher Ratio in grades 6-8
- Efficiency: 10 percent reduction in repetition rate in grades 1-4
- Learning outcomes: 20 percent reduction in Pupil-Qualified Teacher Ratio (PqTR) in grades 1 and 2

114. All this was done in an attempt to align GPE support with the National Education Sector Plan (NESP) (2008-2017) which was translated into the Education Sector Implementation Plans I and II (ESIP I, 75 2013 – 2017). The NESP's overall objective is "Towards Quality Education" and outlines the roadmap towards its main goals for the period 2008-2017 which are expanded equitable access to education, improved quality and relevance of education, and improved governance and management.

115. It is too early to tell to how GPE has contributed to sector plan implementation, especially as it is currently behind schedule in many components of the implementation plan. Nevertheless (again as noted above) the evidence does suggest that where implementation has been narrowly focused (helped by GPE facilitating an arduous design of the most recent implementation plan) it is being more successful.

2.1.5 Alternative explanations and unintended/unplanned effects

116. Changes in education sector planning, dialogue and monitoring, financing and implementation can occur due to a wide variety of factors. In order to be able to assess whether GPE has contributed to each at endline, potential alternative explanations are identified and evidence confirming or refuting each alternative explanation will be sought during the evaluation period. Potential alternative explanations for observed changes are outlined below.

Confirming and refuting alternative explanations

117. As was noted in the Baseline Study, a large number of DPs are already involved in the sector and others are either reinvesting substantially (such as the RNE which will be increasing the scope of MESIP into four further districts) or considering entering the sector with substantial investments. Thus, the challenge for future PEs will be (a) to assess whether GPE is making a difference in Malawi, and if so (b) to make a qualitative assessment of how GPE is making a difference, taking into account the

75 GoM, 2014b.

substantial investments other DPs are making in the Basic Education Sector. Annex Figure 8 and Annex Table 19 in Annex L list a number of known interventions that are being implemented by DPs.

118. One caveat is necessary and that is that with implementation largely behind schedule, and questions being asked about the capacity of MoEST to deliver under every component of the implementation plan, it is arguably too early to tell whether or not alternative explanations will be necessary.

119. We noted above that with regards to sector plan development the ESP was already in place prior to GPE support, but how GPE has made a contribution to date can be seen in the efforts of the partnership to focus the implementation plan into something more feasible. However, without a country presence by the GPE Secretariat in Malawi it is difficult to see how sector dialogue will embrace mutual accountability for plan implementation unless all partners can see the value in it, despite GPE efforts to promote inclusivity. We can also observe that clearly none of the other partners feel sufficient ownership of the GPE approach to push the dialogue in the way the GPE Secretariat would like to see.

120. In terms of sector financing we noted earlier that GPE support has helped facilitate a CFM for DPs to use. Whether or not DPs use the system will need to be tracked over future PEs, and if not, this will also require assessment. We have also noted that if GPE's effect on sector financing is small, then this might explain some of the failure to implement what is intended. Moreover, as discussed throughout the report, the lack of capacity might also have a considerable impact on the realization of the implementation plan.

Unintended consequences of GPE financial and non-financial support

121. During interviews conducted during the field visit in April 2018, respondents noted a small number of potential unintended consequences of GPE support to date. Firstly, whilst the majority of respondents noted the rigor of the quality assurance process the partnership implemented, several did also point out that such a process appeared to be fairly onerous, and time-consuming. As a result of these high transaction costs several DPs are questioning whether the partnership is of value, and are thus arguing that any future work done on revising the ESP must be funded using non-GPE resources.

122. Secondly, whilst DPs noted that it is important to invest in the Basic Education sector, some did also question whether these investments should occur at the expense of other sectors such as at secondary or tertiary level. As a consequence, some DPs are now rethinking their investment strategies and are moving into other sectors (such as TVET) which they believe have been neglected. To what extent both these consequences will be fully realized will need to be tested in future PEs.

2.2 Progress towards a stronger education system

Summary

- *Pupil-qualified teacher ratio (PqTR) remains high, and there are difficulties in attracting teachers (particularly women) to rural areas coupled to issues relating to the rural teachers' allowance.*
- *Challenges remain with implementing policies that have been developed, and there has been little attempt to systematically monitor the roll-out of policies.*
- *Data reliability remains a major issue in the sector.*
- *Inter-ministerial coordination is weak and is aggravated by high staff turnover and staff vacancies at all levels.*

Assessment of progress towards a stronger education system

Teachers

123. The recent assessment by UNICEF⁷⁶ of the education sector in Malawi noted a number of key education identifiers with regards to teachers, including that the pupil-qualified-teacher ratio (PqTR) remains high (1:78) and that there are difficulties in attracting teachers (particularly women) to rural areas coupled to issues relating to the rural teachers' allowance. UNICEF notes that the rate of teacher graduation exceeded the ability of the GoM to hire, mainly because of budgetary constraints. In 2015-16, 10,500 teachers were hired against a backlog of 19,000 graduates. Previously, the Government had introduced free teacher training in order to keep up with increased enrollment. Following donors' withdrawal of budget support in the wake of the "cashgate" scandal, MoEST introduced a fee for student teachers in order to recoup some costs.

124. With regards to the rural teachers' allowance, which aims to attract and reward teachers working in remote and hard-to-reach areas, UNICEF found that this has not significantly improved the distribution of teachers. The allowance now seems to be used as an income supplement for teachers, as 85 percent of the teaching force receive the rural teachers' allowance.⁷⁷ In 2016-17, the rural teachers' allowance was pegged at MK 10,000 per month. The rural teachers' allowance is approximately 13 percent of a newly recruited primary school teacher's salary.

125. Rural allowances and the low percentage of female teachers in rural areas of Malawi are likely to impact on girls' attendance. Although data on female teachers is not systematically reported, the PAD reports that in 2015, the female-to-male ratio in the teaching force was 0.93 females for every male teacher for Malawi as a whole. The PAD also noted that the national average masks significant disparities in female teacher allocations across districts and between schools within each district. The female-to-male ratio ranges from 12.7 females to one male in urban areas to as low as 0.24 females to one male in remote areas. Approximately 15 percent of schools in Malawi have no female teachers at all.

126. Whilst data on the PqTR is not routinely disaggregated by location, the literature does provide a sense of the gap. For instance, the PAD reports that in 2015 the disparity was not only prevalent between rural and urban schools, but also between different standards, noting that class sizes in the

⁷⁶ UNICEF: Education Budget Brief 2016/17 (UNICEF, 2017). Also see Annex Figure 11 in Annex M.

⁷⁷ UNICEF, 2017, p. 6.

lower grades could rise to as many as 300 students, and that the national average for Standards 1 and 2 is 120:1.

127. Thus, to date, the PqTR remains high, difficulties remain in attracting teachers to rural areas (particularly women), and issues remain regarding the quality of primary school teachers. With regards to the latter, the Minister of MoEST has announced that the GoM will recruit an additional 8,000 teachers this year to reduce the student/teacher ratio.⁷⁸

School environment

128. MESIP, with its emphasis on construction aimed at removing attendance barriers for the girl child, has identified two indicators that will be used to measure success in the pilot schools, namely number of sanitary facilities built, and number of water facilities provided. Naturally in both instances the baseline for the target will be 0.

129. MoEST has set pupil:toilet ratios of 60:1 for boys and 50:1 for girls. However, to date the targets have yet to be attained as can be seen in Table 8, albeit there has been an incremental improvement between 2015 and 2016.

Table 8 Pupil:Toilet Ratio for boys and girls in the Primary Sector

Year	Girls		Boys	
	Target	Actual	Target	Actual
2015	50	76	60	86
2016	50	73	60	82

Source: MoEST ESPR 2017, p.42

130. Whilst MESIP will only be tracking progress in its target schools, it would be instructive to use school environment data readily available in Malawi (Table 10 below). This would be, first, to track progress across the country with regards to sanitation facilities (in order to contextualize the success or otherwise of MESIP in its target schools). It may also be helpful to track the extent to which learners are being offered a daily school meal. Whilst it is outside MESIP's remit, the issue of hunger is a well-known barrier to enrollment, concentration and learning; and changes in the provision of school feeding (Table 9 below) may well provide a confounder when examining the success or otherwise of MESIP in future years.

Table 9 School environment data readily available in Malawi

	2014/15	2015/16 (Actual)	2016/17 (Preliminary)
% of schools with sanitation facilities	25%	45%	39%
% of schools offering daily school meal to learners	25%	40%	42.5%

Source: GoM Program Based Budget Reports

131. A third issue, not indicated in Table 10 but which it may also be useful to track, is classroom construction, especially as this will influence any success or otherwise in achieving the DLI on Reduction in PqTR in Grades 1 and 2. This is particularly pertinent in light of the recent UNICEF report⁷⁹ which found that the number of classrooms has been increasing, albeit at a slower rate than enrollment, up until 2015. The classroom/pupil ratio improved marginally from 1:116 in 2009 to 1:111 in 2016. Whilst

⁷⁸ 'Government in Malawi recruits 8000 teachers to reduce student-teacher ratio', <http://www.times.mw/government-to-recruit-8000-teachers-in-this-year/> accessed 16 May 2018.

⁷⁹ UNICEF, 2017, Malawi: 2016/17 Education Budget Brief.

the GoM has committed itself to reducing that ratio to 1:60 by 2019, this will require 42,350 new classrooms, not to mention suitably qualified teachers to staff them.

132. Evidence-based decision making appears to remain relatively weak in Malawi (hence the reasons for a strong focus within the current implementation plan to bolster methods to gather and use evidence). The review of NESP⁸⁰ noted that several gains have been made with regards to teachers at primary education level including salary payments, better informed teacher deployment, and a stronger zonal and cluster system. Challenges still remain, however, in meeting the intent of NESP with regards to ensuring greater decentralization in the sector.

133. In terms of expected policy delivery, the review of NESP notes that there has been some success, such as

- increasing the learning time for lower classes from three to four hours; and
- the introduction of a school-based procurement system, complemented by training of senior managers in procurement

134. The review of NESP does note that there has been little attempt to systematically monitor the roll-out of policies, nor has there been much progress in creating an appropriate learning environment for learners and teachers through suitable infrastructure initiatives.

Learning Assessment Systems

135. There is little reference in the literature reviewed to date to what learning assessment systems are in place in Malawi, albeit a robust system of educational outcomes is being slowly developed (for instance the Malawi Longitudinal Schools survey will soon be implemented, see section 2.3 below for further discussion on this issue). It is worth noting that learning assessment systems are not a focus of GPE interventions in Malawi.

136. Nevertheless, it is important to note that in order for students to be promoted to the next grade they must sit a test at the end of the school year (as already noted there are high rates of grade repetition for both boys and girls in Malawi). At the end of primary school (i.e. Standard 8), pupils sit the Primary School Leaving Certificate Examination (PSLCE), which determines whether or not the pupil is eligible to attend secondary school. The PSLCE examinations are managed by the Malawi National Examinations Board (MANEB).⁸¹ The pass rates for the PSLCE tend to be low, particularly for girls.⁸²

137. In 2014, GoM developed the National Reading Strategy, a 5-year plan for improving reading instruction in the early primary grades. The strategy outlines an approach to supporting students in their early instruction in Chichewa, while transitioning to English from grade 5. USAID's Malawi Early Grade Reading Improvement Activity (MERIT) is the main vehicle for providing technical and financial support for implementing the strategy. In November 2016, MERIT conducted a national baseline Early Grade Reading Assessment (EGRA) for pupils in grades 1 and 2. Results indicated that students had weak reading skills across all subtasks and nearly all students (97 percent in grade 1 and 91 percent in grade 2) could not read any word of a simple story. Furthermore, less than 1 percent of students in either grade met the government benchmarks for reading. The 2017 National Reading Proficiency Baseline Assessment found similar results, with MoEST (ESPR, 2017) reporting that

‘most learners did not have critical early grade reading skills; in Standard 2 80 percent of learners tested for Chichewa and 87 percent of learners tested for English, respectively, scored zero in correctly reading a text fluently while 89 percent and over 99 percent of Standard 2 learners

⁸⁰ MoEST (October, 2017) Review Report for National Education Sector Plan 2008 – 2017, and the Education Sector Implementation Plan II 2013/14 – 2017/18.

⁸¹ PSLCE includes six subjects: English, Chichewa, social/religious studies, maths, science, and art/life skills (JICA & IDCJ, 2012).

⁸² ACER, 2017.

tested for Chichewa and English, respectively, were unable to correctly answer a single comprehension question after reading the text' (p.64).

EMIS⁸³

138. The main quantitative monitoring tool for the sector is the Education Management Information System (EMIS) which is supplemented by other tools, e.g. Integrated Financial Management Information System (IFMIS), National Statistics Office Welfare Monitoring Survey (NSO-WMS), Demographic and Health Surveys (DHS), and the Integrated Household Survey (IHS). To improve reliability and availability of quality education statistics, MoEST has begun to decentralize data collection to all zones and clusters in all education districts. Documents reviewed do not provide any sense of the extent to which education data is routinely and systematically verified as being reliable and valid.

139. Interviews conducted during the field visit in April 2018 suggest however, that the situation is likely to improve for the better. A number of interventions have now begun to address this shortfall in data, and in all likelihood these data issues will diminish over the next few years of the evaluation. Of particular significance is likely to be the Malawi Longitudinal Schools Survey, the first results of which will be released shortly in Malawi. The survey will provide a useful benchmark against which progress in the sector can be tracked in the future.

ESP Contribution to System-Level Change

The upcoming PE will need to test to what extent any meaningful changes are noted within the system. To date there has been little change and it is too early to determine the level of contribution, if any, that sector plan implementation will make in this instance. The recent review of the ESP by the MoEST notes that changes have not yet been observed as challenges remain with rolling out and implementing policies that have been developed. The reasons for such challenges include: data reliability remaining a major issue; planning in the sector does not make optimal use of available data; weakness of inter-ministerial coordination; high degrees of variability between different districts and divisions both within MoEST and other stakeholders; and high levels of staff turnover and vacancies across the board. Additionally, concerns have been raised about the low levels of ownership, and commitment to, DP-funded activities which have led to large amounts of DP funding now being off-

83

Requirement 3: Critical data and evidence for planning, budgeting, managing, monitoring and accountability, or alternatively, a strategy to develop capacity to produce and effectively use critical data

Malawi's EMIS collects education data on a regular basis. The data is usually published annually in the Education Statistics Bulletin. Certain key indicators required to measure ESIP II's progression are new and will be developed by MoEST. These areas are highlighted in the ESIP II M&E framework.

Key gaps in national data collection include accurate information on dropout rates, repetition rates, and transfers. This is partially due to incorrect statement of children's age by parents at entry. Furthermore, attendance rates for both teachers and students are not being collected systematically, implying that retention rates during the school year for students may be underreported. In addition, there are significant gaps in collecting data on learning outcomes and school management. MoEST has shown commitment to further improve data collection and reporting during ESIP II implementation.

Malawi's latest submission to UNESCO Institute of Statistics (UIS) was in July 2014. The proposed MESIP will provide support in strengthening EMIS at the local level.

The Education Sector Analysis (ESA) in ESIP II is based on the World Bank Country Status Report of 2010 and subsequent surveys, studies and analyses including Integrated Household Survey of 2010 and the Key Indicator Analysis Report (2009-2014). ESA includes almost all of the suggested analyses in the UNESCO IIEP-GPE Guidelines on Education Sector Plan Preparation, including those on context (economic, social and development challenges), system performance, system capacity and existing policies. ESA outlines various vulnerabilities faced by the system, including those related to girls and children with disabilities. Furthermore, the Malawi National Girls' Education Strategy 2013 analyzes factors that create gender disparity in education outcomes. ESA lacks discussion of inequities and disparities such as regional and income as well as explicit analysis on 'minority groups'. In addition, education disparities across regions, urban/rural and socio-economic background are not included in the ESA. Based on GPE Secretariat's feedback of February 2015, MoEST has included some of these analyses in the ESIP II Action Plan.

budget (which has also led to many DP interventions moving away from the SWAp approach to discrete projects); and there has been unease about the predictability of DP funding (the report argues it is both erratic and unpredictable).

2.3 Progress towards stronger learning outcomes and equity

Summary

- *Considerable challenges remain with regard to accessing valid and reliable data that is current and provides an accurate picture of progress towards stronger learning outcomes and equity.*
- *Learning outcomes remain relatively low and have shown little improvement.*
- *High repetition and drop-out rates continue to create major bottlenecks in the basic education system.*
- *Whilst the enrolment Gender Parity Index (GPI) in Malawi has remained at 1 for some years, it continues to decline from junior to senior classes.*
- *The primary school completion rate has remained low throughout the ESIP II period.*

Assessment of progress towards stronger learning outcomes and equity

141. In this section of the report we outline findings to date relating to learning outcomes, equity and inclusion in the sector. As already noted in the baseline report, considerable challenges remain with regards to accessing valid and reliable data that is current and provides an accurate picture of progress towards stronger learning outcomes and equity. Much of the data available is typically historical and does not always provide sufficient information to determine trends and/or allow useful disaggregated analysis.

142. The PAD⁸⁴ notes that, despite the increasingly high level of spending on primary education over the past five years, the learning outcomes remain relatively low and have shown little improvement. The PAD suggests that these low levels of achievement point to ‘important issues with regards to efficiency in utilization of scarce resources to generate better learning outcomes, but also dealing with the chronically high repetition and dropout rates which have remained static for some 20 years.’

143. Whilst data on learning outcomes are incomplete and somewhat out of date (and national scores with regards to numeracy and literacy rates are currently not being tracked by the GPE-funded MESIP), data is nevertheless useful in that it highlights key failings to date with regards to Primary Education. For instance, only a third of all students by Standard 4 have reached appropriate levels of literacy and numeracy; approximately a quarter of learners repeat a year; only one in three students who enter primary school complete all eight years of primary education; and approximately one in ten students drop out of primary education each year between standards 1 and 4⁸⁵. However, one area where there has been some noticeable improvement is in the overall mean scores for reading and mathematics for

⁸⁴ World Bank, 2016b, pp. 3-4.

⁸⁵ See discussion below; MoEST ESPR 2017 using EMIS 2016 data.

Year 6⁸⁶ as reported in the most recent SACMEQ IV Report.⁸⁷ However, this report has been highly contested, as can be seen by the fact that although the field work was conducted in 2013 the report was only released in 2018 because of questions about reliability and validity.⁸⁸ Future PEs will need to track whether new data (as gathered by a revamped EMIS system and the Malawi Longitudinal Study) provide more compelling evidence for an improvement in learning outcomes.

144. The report also includes data that are hard to reconcile, for instance whilst it notes an improvement in learner performance it found that when the SACMEQ tests were also applied to teachers their level of achievement deteriorated.⁸⁹

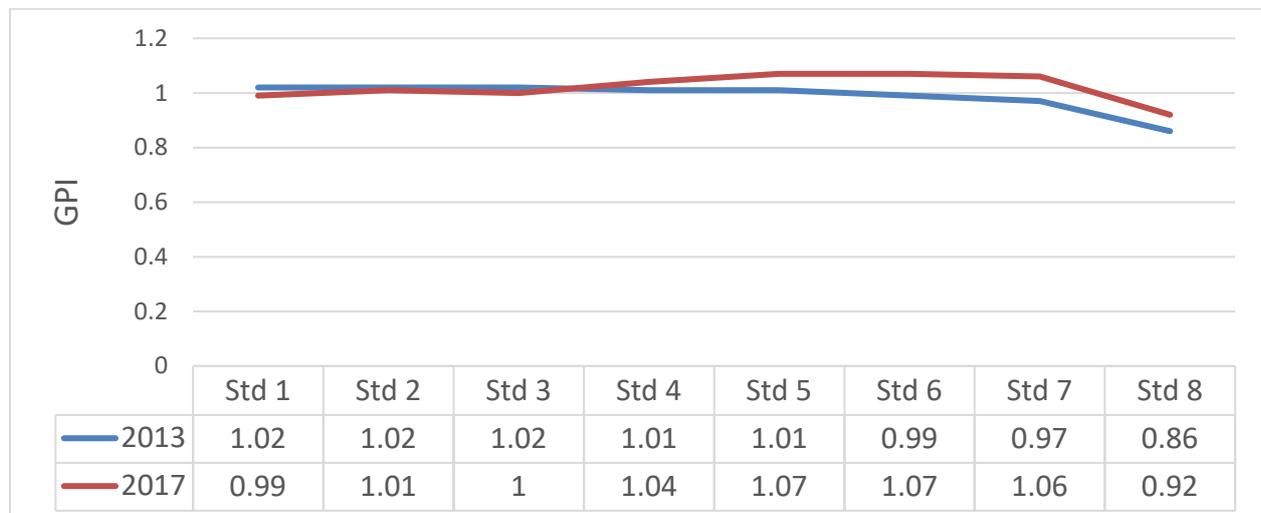
145. Until the learning outcome measures referred to above, such as the Malawi Longitudinal Study, come on board it is unlikely that the sector will be able to map out an accurate picture of the extent to which learning outcomes are or are not improving.

Equality in education

146. Data on learning outcomes that distinguish between the girl child and the boy child are scarce and are not consistently available, and this was confirmed during the first field visit in April 2018. Nevertheless, some data do exist which highlight the point made in MoEST's most recent review of learning outcomes, namely that 'all recent studies and reports on primary education in Malawi point to the issues of high repetition and dropout rates as a major bottleneck in the system that consume valuable and scarce resources.'⁹⁰

147. The Gender Parity Index⁹¹ is 1 in Malawi for Basic Education and has remained so for some years.⁹² However, the GPI declines as students move from junior to senior classes (Figure 2 below).

Figure 2. Enrolment GPI Trend from Standard 1 to Standard 8 for 2013 and 2017



⁸⁶ MoEST, 2017b. The Southern and Eastern Africa Consortium for Monitoring Educational Quality (SACMEQ) IV: Assessing the Learning Achievement of Standard 6 Pupils, p.117.

⁸⁷ MoEST, 2017b

⁸⁸ For more on this issue of the extent to which SACMEQIV can be viewed as reliable and valid across Southern Africa see <https://www.jet.org.za/news/the-sacmeq-iv-results-jet2019s-response>.

⁸⁹ MoEST, 2017b, p. 12. For a full analysis of this contradiction between learners improving and teacher performance deteriorating see <https://nicspaul.com/2016/09/25/shaky-data-skews-literacy-results-mg-article-on-sacmeq-iv/>.

⁹⁰ Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report, 5 October 2017. Prepared by MoEST, p. 56.

⁹¹ The gender parity index (GPI) indicates the ratio of female-to-male pupils enrolled.

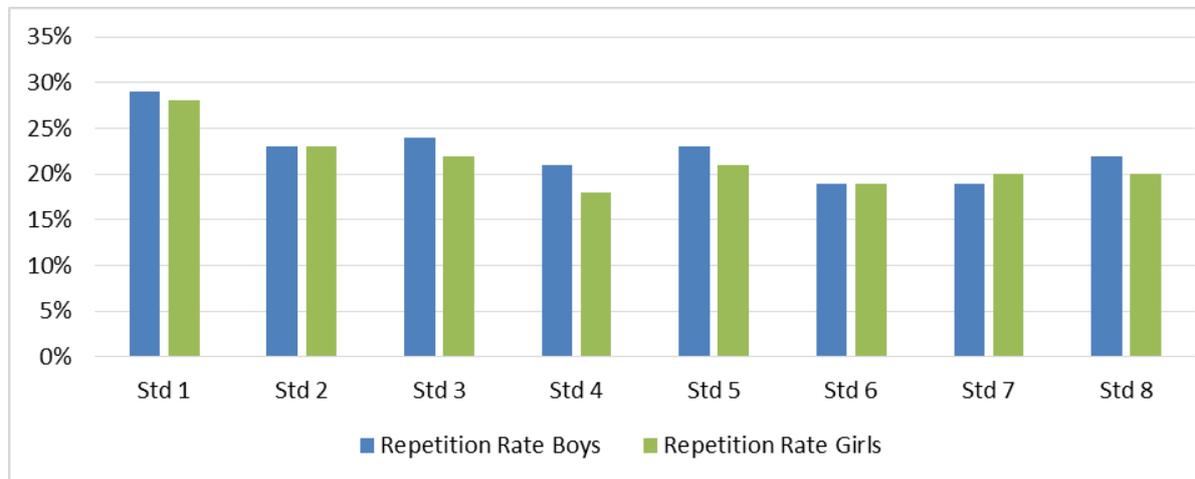
⁹² MFEFD, n.d.. Draft Estimates of Expenditure on Recurrent and Capital Budget for the Financial Year 2017/18, p. 53.

Source: MoEST, 2017a, p. 45

148. Whilst the NER is improving, current EMIS data notes that about 8 percent of children of school-going age were out of school, of whom 8.4 percent were boys and 7.6 percent were girls).

149. Repetition rates for boys are higher than for girls from Standard 1 to Standard 6, with repetition at its highest in Standard 1 as shown in Figure 3.

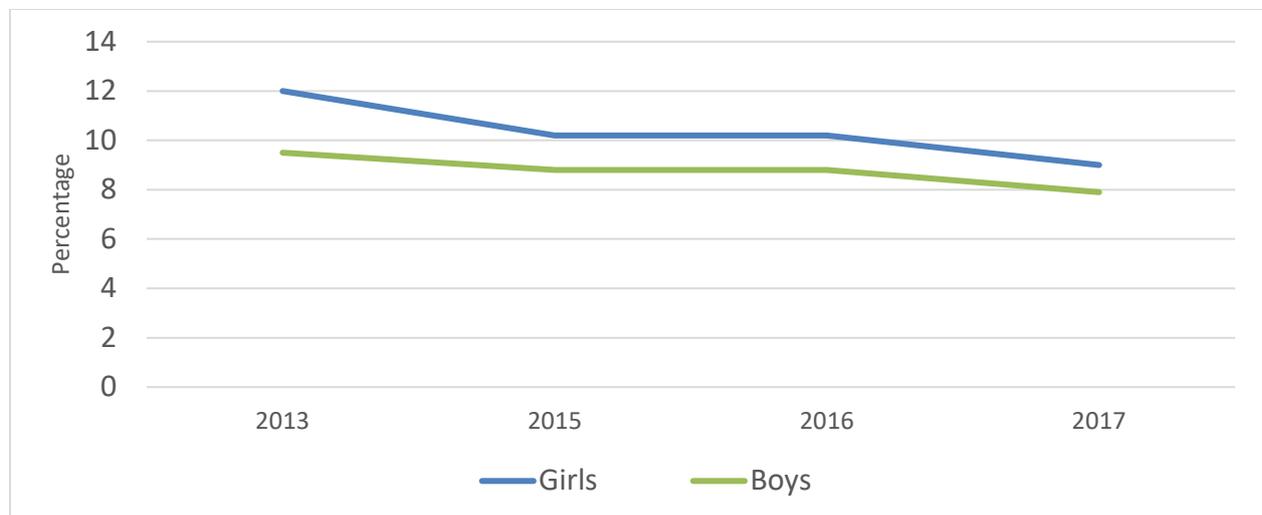
Figure 3. Differences in the Repetition Rates of Boys and Girls between Standard 1 and 8



Source: MoEST ESPR 2017 using EMIS 2016 data

150. Dropout rates for primary school boys and girls continue to remain high in Malawi. However, unlike repetition rates, the dropout rates for boys are lower than for girls as Figure 4 illustrates.

Figure 4. Trend for Primary School Girls and Boys dropout rate in Malawi



Source: MoEST ESPR 2017, pp.59-60⁹³

151. Further analysis by MoEST⁹⁴ highlights several worrying trends with regards to both repetition and dropout, namely that the rates vary enormously depending on the year of study. The most vulnerable years appear to be Standard 1 and then the later years of primary school (especially around Standard 8). The MoEST review suggests that factors that influence the variation in rates include the

⁹³ Inexplicably MoEST has omitted 2014 data from the report.

⁹⁴ MoEST, 2017b.

short supply of textbooks and other learning materials during these years and the fact that English becomes the official medium of instruction in later years. As repetition rates remain high during the school years so a vicious cycle is produced which also influences the dropout of children.⁹⁵

152. In addition, the importance of issues affecting girls such as water and sanitation facilities and the challenges of pregnancy and early marriage have been well documented in the literature as key factors influencing dropout,⁹⁶ as has the influence of economic factors on boys having to seek work on tea and tobacco plantations in Malawi, and engaging in informal business enterprises.

153. The damage caused by high repetition rates and the dropout rate can be seen in the data for completion rates. The latest data on completion rates shows an average of 50.9 percent (below the ESP target for 2016 of 58 percent), with noticeable variance between boys and girls – the completion rate for boys in 2016 was 54.9 percent, and it was 47 percent for girls.⁹⁷

154. According to the most recent ESPR (MoEST, 2017a, p.63) the Malawi primary completion rate has remained very low over the ESIP II period although the rate slightly improved between 2016 and 2017 from 0.51 to 0.53. It remained constant in the middle years of the ESIP II period, i.e. between 2013 and 2014, when it remained at 0.52; between 2015 and 2016 it declined to 0.5.

Inclusion in education

155. Malawi has a population of 16.7 million, of whom 8.5 million are under 18. Malawi's population is estimated to be growing at an annual rate of 3.1 percent.⁹⁸ Of the estimated 5.3 million of school-going age in Malawi, approximately 4.7 million were in primary school (World Bank, 2016b, p.2). Malawi has seen a rapid increase in primary school children from 1.8 million in 1994 as a result of the GoM abolishing fees in 1994 for publicly funded primary schools.

156. However, a confounding factor in determining the coverage of primary education in Malawi is the high number of over-age children in primary schools. For instance, the National Statistics Office (NSO) in 2014 recorded that the enrollment in primary schools was equivalent to 28 percent of Malawi's population, which is noticeably higher than the actual share of 6 to 13 years olds in Malawi. Hence the Gross Enrollment Ratio (GER) (enrollment vs school age population) is often reported as being far greater than 100 percent. However, the Net Enrollment Ratio (NER) is tending towards 100 percent, and it will be important to track this over future years, especially as efforts are made to ensure more accurate recording of school-level data.

157. Data that distinguish between rural and urban schools in terms of learning outcomes also appear not to be available.

⁹⁵ Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report, 5 October 2017. Prepared by MoEST, p. 56.

⁹⁶ A USAID report (USAID, 2014) provides a nuanced view on repetition and dropout rates in Malawi and provides a helpful categorization of these factors including: Household based factors (including parental and peer pressure, issues of poverty, household chores and so on), Pupil factors (such as overage, and the need to work), Community level factors (such as local cultural factors, concern for safety of the girl child), and School factors (such as class size, teacher absenteeism, ineffective teaching, sexual abuse in the school and so on). See also the ACER, 2017, pp. 21 – 27. This report comes to very similar conclusions to the USAID report, albeit providing a slightly different categorisation (influenced by the same categorisation used in the Malawi National Girls Education Strategy – NGES – of 2014), namely sociocultural factors (impact of teachers, marriage, pregnancy and household responsibilities), school infrastructure and facility factors (including the lack of adequate sanitation facilities) and economic factors (which include the direct costs and perceived opportunity costs of girls attending schools).

⁹⁷ Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report, 5 October 2017. Prepared by MoEST, p. 57. MoEST, 2017a

⁹⁸ NSO, 2014.

158. Data on primary school children with special needs have not been routinely recorded and so it is difficult to assess to what extent progress is being made regarding a more inclusive approach to enrolment of special needs children over the past five years. In 2016/17 it was estimated that 2.5 percent of total primary enrolment are Special Needs, which equated to 24 percent of school-aged children with special needs being enrolled in primary schools.⁹⁹

Links between system level change and progress towards stronger learning outcomes and equity

159. Future PEs will need to test to what extent any significant changes can be noted with regards to learning outcomes as a result of the system level change. It is too early to make this assessment because (1) to date there has been little change (or in some cases the situation has got worse), (2) there are data gaps and (3) there are time lags between specific improvements and impact level change.

2.4 Plausibility of the ToC at Year 1

Key Findings:

- Three out of six of the GPE's contribution claims have been found to be plausible based on this preliminary analysis.
- It is too early to assess plausibility of the remaining three claims as the full impact of the contribution made by GPE has yet to be witnessed

160. This section provides a preliminary assessment of the plausibility of the GPE's contribution claims (see Table 10). Annex J provides comments made by respondents on the plausibility of each of the contribution claims.

Table 10 Assessment of plausibility of contribution claims

CONTRIBUTION CLAIM	ASSESSMENT OF PLAUSIBILITY
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."	Plausible. High quality inputs from GPE have contributed to the development of a feasible and implementable plan. Strong alignment between MESIP, ESIP II and the ESP in terms of equity and desired learning outcomes. The PE in the future will need to focus on whether, and if so how, on-going support by GPE influences the achievements of the expected outcomes.
Claim B: "GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to mutual accountability for education sector progress."	Plausible. To date there has been a strong focus on inclusivity. There is a broad spectrum of role-players actively participating in the different structures. It remains to be seen whether the inclusive approach leads to greater mutual accountability in the sector.
Claim C: "GPE advocacy and funding requirements contribute to more and better financing for education in the country."	Plausible. The Common Funding Mechanism is currently being operationalized and is likely to influence a number of DPs to use this process. Moreover, GoM has recently announced that it will increase its expenditure in the sector. It

⁹⁹ MFEED, n.d., p. 53.

CONTRIBUTION CLAIM	ASSESSMENT OF PLAUSIBILITY
	remains to be seen to what extent new DPs enter the sector and/or existing DPs increase their investments in the sector.
Claim D: “GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans.”	Whilst in theory this is plausible, the size of the effect will depend on the volume of funding directly provided or indirectly leveraged by GPE. If the GPE effect on sector funding is trivial, then GPE’s prima facie contribution to plan implementation will be small; and if sector implementation is anyway very weak, the GPE contribution will be further attenuated.
Claim E: “The implementation of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system.”	Reviews of ESIP I provide a mixed picture of success to date with regards to sector plans contributing to positive change in Malawi. It is too early to tell whether ESIP II will meet with greater success and so it is not yet known whether this claim is plausible.
Claim F: “Education system-level improvements result in improved learning outcomes and in improved equity, gender equality, and inclusion in education.”	The scale, and approach, of any system-level change contribution will depend on how the preceding claims work out in practice. Moreover, as per the previous claim, reviews of ESIP I provide a mixed picture of success to date with regards to whether there have been any improvements and whether these have led to any noticeable change in terms of equity, equality and inclusion in Malawi. It.

161. The assessment made in this, the first PE, is that several of the claims being made with regards to GPE support are plausible, and that many of the assumptions behind the different causal pathways depicted in the ToC are also relatively plausible (see table below). However, not all assumptions at this point appear to be true and thus alternative explanations may need to be sought if these assumptions remain false when re-examined in the next PE.

Table 11 Assessment of Assumptions¹⁰⁰ at year 1

Assumption	Initial assessment
Inputs to activities	
1. There will be continued support and commitment by the Government of Malawi to increase expenditure, and strengthen and improve the national education system.	True – GoM have recently announced greater investment in the sector
2. Malawi has the resources and incentives to improve sector analysis and planning.	Partially true – political will to bring about change, but in a resource poor environment this is likely to pose significant challenges
3. Country-level partners (working through LEGs) provide well targeted and useful support to government to assist with sector plan implementation, and align their own activities with the priorities of the sector plan.	True – those DPs working in the sector are strongly aligned to the priorities of the ESP

¹⁰⁰ Annex F includes a table showing how these assumptions map onto the generic assumptions included in the inception report (Universalia et al., 2017).

Assumption	Initial assessment
4. Development Partners honor their financial commitments to the sector.	Partially true – time will tell if DPs honor all their commitments, they have to date.
5. Available funding is sufficient to implement all elements of the sector plan.	Unlikely to be true - reviews to date suggest that the implementation is behind schedule and budget shortfalls have appeared
6. Relevant actors have adequate capacity to implement all elements of the sector plan.	Contested – MoEST believes it has the capacity, those outside the Ministry are not convinced
Activities to outputs	
7. There is sufficient national capacity (or relevant technical assistance) to analyze available data and maintain and improve EMIS.	True – significant progress has been made in strengthening EMIS
8. LEG existence and functioning is positively influenced by GPE (both through the functioning of the global partnership, and through specific interventions through the Secretariat).	Contested – LEG/SWG requires GPE resources to function, but some have questioned the extent to which additional tasks are required to satisfy GPE procedures
9. GPE has sufficient leverage within the country for GPE advocacy and support to be effective.	Contested – many believe GPE Secretariat would be better served by having an actual presence in Malawi
10. Country level partners work inclusively through the LEG to support government and take part in regular, evidence-based joint sector reviews.	True – active JSR in Malawi
11. GPE has sufficient leverage to influence domestic and international education sector financing.	True – additional funding provided by DPs is flowing through the CFM
Outputs to outcomes	
12. External (contextual) factors permit national and international actors to increase/improve the quantity and predictability of education sector financing.	Too early to tell
13. There is political will to use evidence and best practice in sector analysis and planning.	Too early to tell
14. Civil society organizations and teacher organizations have the capacity and will to monitor sector plans.	Too early to tell
15. Government has the political will to create space for country-level stakeholders - including teachers and civil society organizations - to engage in policy dialogue.	True – stakeholders actively participate in JSRS, SWG, and TWGs
16. All stakeholders (government at all levels, donor partners, NGOs, ...) work together and improve coordination and communication.	True to date – high level of information sharing across the sector
Outcomes to impact (Higher Order Objective)	
17. Education sector plan implementation leads to improvements of previous shortcomings in the education system.	Too early to tell
18. Removal of all barriers to school participation and learning enhances equity, equality and inclusion.	Too early to tell
19. There is political will to ensure the education sector is effectively managed at all levels (national, sub-national and school level).	Too early to tell
20. Changes in the education system positively affect learning outcomes and equity.	Too early to tell

2.5 Available evidence at year 1

2.5.1 Data availability and quality at baseline

162. A comprehensive literature and data review was undertaken for the baseline report.¹⁰¹ The availability and quality of documents and data was assessed against the Indicators in the Evaluation Matrix and each Country-Level Question (see Annex E). In doing so, gaps in documentation and data were also identified, where relevant. For Malawi, the scoping exercise for documents and data availability and quality was satisfactory as substantial information is available to the Evaluation Team (and where applicable has been referenced under the Bibliography, p. 141).

163. In that light, robust and good quality documentation addresses the coherence of the GPE's objectives and priorities with relevant national policies. GPE financing has also considered a gender perspective, as per the literature, and evidence on its alignment with SDG4 and assessment of population needs is also at hand.

164. Robust data also informs the alignment and complementarity of GPE financial support with national systems and activities of other DPs. Similarly, GPE grants have specifically engaged non-government stakeholders, and the literature mentions the need for demand generation to various education stakeholders to continue. Information on budgets and disbursements is also available at baseline. These have been identified as key areas for catalyzing sector-wide outcomes.

165. Documentation on the sector outcomes of programs that have either concluded at baseline or are in operation (in the form of implementation reports) is available (Bibliography, p. 141) and this is also the case for data documenting GPE's contribution to education sector financing, in terms of direct provision of additional financing.

166. Available information documents improved timeliness and quality of the sector monitoring reports, and also the areas that are susceptible of improvement. These reports also recommend strengthened accountability mechanisms. The available data also allows for a review of the extent to which GPE has contributed to increased and more equitable access to education in Malawi.

167. As part of the field visit in April 2018 the evaluation team established that the following documentation is also available, and it has subsequently been used in the triangulation of findings reported on in this first annual prospective evaluation report (July 2018):

- Minutes of recent meetings of the LEG/Sector Working Group
- EMIS Annual Reports
- Reports prepared by the PMT in MoEST (such as progress reports, reports against Annual Work plans, and other relevant reports the PMT have prepared)
- Reports prepared by the Grant Agent
- The recent 'Return to Office' Report prepared by the GPE Secretariat, prepared after their visit during the January 2018 to Malawi.

168. Previous evaluations that have already been identified are listed in Annex K, which also provides a summary of their findings.

¹⁰¹ Mokoro, 2018

Data availability and transparency

169. A number of references have already been made above to data availability and reliability. There are significant gaps with regards to the years for which data is available the ESP indicators.

170. A further point noted above is the limited nature of the existing indicators being used to measure the success or otherwise of MESIP. For instance, the indicators of success adopted by MESIP, in terms of achieved learning outcomes, are limited primarily to promotion/ repetition rates. The PAD does not specify any other issue related to the quality of outcomes (such as literacy and numeracy, or success achieved in the Primary School Leaving Certificate Exam). For the purposes of the baseline report several other learning outcome measures were noted. Although MESIP will not be measuring its achievements against this full set, the PE will monitor these indicators as part of its contribution analysis approach.

3 Evaluation Focus

171. Like all theory-based evaluations, this PE will focus its enquiries over the coming years on the assumptions in its theory of change. As explained in section 1.2, the ToC developed for Malawi is based on the generic one for GPE and adjusted to the specific circumstances of the partnership in that country. All 21 assumptions listed in Table 3 on page 10 are pertinent and must be tracked carefully. Some of them appear particularly crucial and/or uncertain at the time of writing and are likely to warrant particularly focused attention. They span the linkages between activities and outputs, and between outputs and outcomes in the ToC.

172. The key focus of the evaluation in Malawi will be to assess the extent to which the causal pathways delineated in the ToC are valid, the claims referred to above remain plausible, and successful progress along these different pathways ultimately leads to the achievement of the expected objective.

173. As shown in Table 8 above, a key focus of the evaluation will be to test the extent to which preconditions or assumptions are valid, and to which collectively these preconditions are sufficient and are being met. The corollary is that if the preconditions are not being met then progress along the causal pathway is unlikely. The evaluation may find therefore in later years that the reason why certain causal pathways have not worked as expected is that certain assumptions turned out to be less than convincing or plausible. Table 8 lists the assumptions associated with the ToC and provides an initial assessment of the extent to which they are valid, based on feedback received during the field visit in April 2018.

3.1 Focus themes

174. Drawing on what has already been noted, especially with regards to the central focus of the ToC in this evaluation and the extent to which key claims made with regards to the GPE are plausible, we list a number of key themes to focus on in the evaluation based on what has been learnt to date.

175. The first key theme will be to track the extent to which the rigor applied to developing the implementation plan is now transferred to the actual implementation of the plan, particularly as it is currently behind schedule. Acceleration will now be needed to complete all scheduled activities, and this will involve ensuring there is sufficient capacity to carry out the planned activities. In particular, the PE will need to explore whether the assumptions behind the GPE modality in Malawi are valid and whether the key components of the model facilitating the process in Malawi are working effectively and efficiently to facilitate implementation.

176. A second key theme is to assess whether the inclusive approach to sector dialogue translates to mutual accountability in the sector. With the ESP about to be revised this will present the evaluation team with an opportunity to assess the extent of the sector dialogue (i.e. who is participating and how they participate in the process) and the extent to which revisions to the ESP are informed by evidence.

177. A third key theme will be whether or not sector monitoring is sufficiently strengthened to provide evidence that informs management decisions and also is used to guide the revised ESP (this would also include examining the efficacy of the activities to strengthen EMIS, the next iteration of SACMEQ – especially if the reliability and validity challenges of earlier surveys can be ironed out – and the Malawi Longitudinal Schools Survey).

178. A fourth key theme will be to draw lessons from experience with the Disbursement Linked Indicators (DLIs), namely:

- Reduction in PqTR in Grades 1 and 2 in 8 most disadvantaged districts

- Increase in Female to Male Teacher Ratio in Grades 6-8 in 8 most disadvantaged districts
- Reduction in Repetition Rate in Grades 1-4 in 8 most disadvantaged districts

179. The challenge for the evaluation will be to a) note what progress is achieved with respect to these three DLIs and understand why they were met or not met; b) assess what the implications are of successful pilots with respect to ESIP II as a whole; c) assess how and by whom the successful pilots will be rolled out across the sector and with what resources; and d) draw lessons relevant to future choice and design of DLIs.

3.2 Gaps to fill

180. In this report a number of questions for further enquiry have been identified that require attention during the next (2019) annual assessment. For convenience the questions are listed below.

- To what extent was the QAR process collegial and useful for MoEST? Have MoEST, for instance, taken ownership of the DLIs, after they were substantially revised based on the GPE Secretariat's QAR II?
- Why does the PAD provide so little discussion on the sustainability of GPE efforts, and how, for instance, will pilots be scaled up and with what resources?
- It appears that several key variables for demonstrating the success of the primary sector, and therefore MESIP (such as national scores on numeracy and literacy rates, and pass rate at the end of primary school) do not currently seem to be tracked systematically – is this in fact the case, and if so why? Similarly, key data on the school environment do not seem to be systematically tracked by MESIP (such as school feeding) – again, is this (still) the case, and if so why is the tracking not being done systematically? Or is it tracked and not reported on?
- Whilst MESIP will be paying particular attention to water and sanitation construction, what other efforts are being made to ensure that the backlog of classroom construction, absence of learning materials and so on are being addressed in the primary education sector?
- What national systems are in place to assess learning outcomes within the primary education sector – to what extent are they independent of MoEST, how often do they assure the sector and how reliable is their assurance?
- Are there any systematic differences between schools run by the state and those run by religious institutions?

181. A particular challenge for the PE in the future will be not only (a) to assess *whether* GPE is making a difference in Malawi, but also (b) to make a qualitative assessment of the contribution that GPE has made and *how* this has been achieved, and (c) to draw lessons on how GPE's contribution could be strengthened

182. Data gaps also identified in the Baseline Report will also need to be explored further over time, especially as steps to strengthen EMIS start to deliver more robust data:

- There are significant differences between UIS data (see Annex M) and MoEST data;
- All of the specified indicators have gaps which makes identifying baseline targets problematic; and
- There is lack of clarity as to the validity and reliability of EMIS data – it will be necessary to establish how data is verified.

3.3 Risks to address

183. The generic 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 F, which is drawn from the overall Inception Report. Table 12 below summarizes the main risks identified and their assessed likelihood at the time of finalizing the PE.

Table 12 Summary of main anticipated risks to country-level evaluations¹⁰²

ANTICIPATED RISK	ASSESSED LIKELIHOOD AT PE
Delays in the timing of the 24 country visits	<i>Low</i>
Conflict or fragility undermine the ability of our teams to conduct in-country data collection for summative or prospective evaluations	<i>Low</i>
Interventions are not implemented within the lifecycle of the evaluation	<i>Medium to high</i>
Large data and evidence gaps	<i>Medium,</i>
Structure of available data is limiting	<i>Medium</i>
Inaccessibility of in-country partners	<i>Medium to low</i>
Being part of an evaluation changes the behavior of actors, independent of GPE support	<i>Medium to low</i>
Evaluations (perceived to be) not sufficiently independent from the Secretariat	<i>Medium to low.</i>
Prospective country evaluation teams becoming excessively sympathetic to GPE or others through repeat visits	<i>Medium to low.</i>
Countries no longer willing to participate, or wish to withdraw partway through a (prospective) evaluation	<i>Medium to high</i>

184. In most cases, as far as Malawi is concerned, the risks encountered have been at anticipated levels, and the generic mitigation measures described in Annex F are adequate. However, the limitations require further comment:

Data gaps and limitations: It is unlikely that full outcome data will be available for the period to 2020 at the time of writing the final annual report. Therefore, the evaluation will at best be able to make judgements about likely influence on anticipated outcomes. Furthermore, as explained above, there is a risk that the so far broadly adequate quality of education sector data is impaired by the major changes to the EMIS that will be required as that system is linked into new monitoring and reporting capacity and procedures based in municipalities. The evaluation will not be able to mitigate this risk, should it materialize; it will only be able to monitor and report the significance of any emerging or widening data gaps. However, the main focus and principal value of this PE will be on the strategic issues arising for the GPE during the evaluation period. Monitoring and assessing performance with regard to these issues will be less vulnerable to the risk identified here.

185. Additional context-specific risks that may emerge in the course of the Malawi prospective evaluation will be noted, and tailored mitigation strategies will be developed in consultation with the Secretariat.

186. Meanwhile, this report represents a snapshot of relevant information and data available on the country at this time, gathered via desk review and informed by consultations with stakeholders during the annual visit undertaken in April 2018. It constitutes the baseline for subsequent analysis. The data it contains will be updated as appropriate through subsequent annual reports.

¹⁰² For full descriptions of the risks and proposed mitigations, see Annex Table 11 in Annex F.

3.4 Key steps

187. This report concludes the first phase of the evaluation including the first stages as per the described methodology (see section 1.1.7). Continuing from the country-specific work planning, data collection and elaboration of country-specific tools, the next phase will focus on assessing progress is being made towards education goals and envisaged country level intermediary outcomes. It will include assembling the contribution story and seeking out additional evidence over time, revising and strengthen the contribution story and elaborating on the GPE contribution story.

188. Malawi's baseline (Mokoro, 2018) and this first annual report will contribute to the first synthesis report (December 2018). The second annual country mission and report for Malawi are envisaged for the second quarter of 2019, and will contribute to the cross-country synthesis for the last quarter of 2019. The third and final annual country mission and report for Malawi will occur between March and April 2020. It will feed into a Final Synthesis being finalized by May 2020.

3.5 Work plan

189. The schedule of in-country visits and related outputs is shown in Table 13 below.

Table 13 *Key activities and due dates for specific tasks*

Activity	Due date
Finalize draft prospective baseline report (incorporate ES and Annexes)	16 March 2018
Deadline for GPE report reviewing	30 March 2018
First country visit	7–13 April 2018
Submit revised draft baseline report	8 May 2018
GPE & stakeholder review deadline	12 June 2018
Submit final baseline reports	26 June 2018
Submit draft first annual country mission report	4 July 2018
GPE & stakeholder review deadline	18 July 2018
Final first annual report due to GPE	1 August 2018
Disseminate and review findings with stakeholders	TBC
2019 country visit	Q2 2019
2 nd annual country mission report	Q3 2019
2019 synthesis report	January 2020

Country Calendar

190. An indicative education sector country calendar for Malawi has been prepared by the evaluation team (see Table 14 below). It must be stressed that this calendar is preliminary and may not represent the actual timings of events (for instance the most recent JSR did not occur at the end of 2017 as

planned, but took place instead in January 2018). Moreover, other evaluations may occur in the sector without the knowledge of key stakeholders.¹⁰³

Table 14 *Indicative Education Sector Country Calendar for Malawi*

	2 nd half of 2018	1 st half of 2019	2 nd half of 2019	1 st half of 2020	2 nd half of 2020
New National ESP	Review of existing ESP to begin		New ESP finalized	Implementation of new ESP begins	
ESP Sector Reports	Bi-annual report	Bi-annual report	Bi-annual report	Bi-annual report	Bi-annual report
JSR¹⁰⁴	October/ November		October/ November		October/ November
Sector Working Group¹⁰⁵	1	1	1	1	1
10 Technical Working Groups¹⁰⁶	Each meets once per quarter ¹⁰⁷	Each meets once per quarter	Each meets once per quarter	Each meets once per quarter	Each meets once per quarter
EMIS Data	Annual survey, data is released at some point in 2 nd half of the year ¹⁰⁸		Annual survey, data is released at some point in 2 nd half of the year		Annual survey, data is released at some point in 2 nd half of the year
Malawi Learning Assessment Report¹⁰⁹	2015 Report to be released				
Malawi Longitudinal Schools Survey	<ul style="list-style-type: none"> • Baseline report due June 2018 • 1st report on impact of Base Grant due December 2018 		TBD		TBD
SACMEQ¹¹⁰			Report to be published in 2 nd half of 2019		

¹⁰³ For instance, during the first field visit by the evaluation team in April 2018, a parallel GPE evaluation in the sector was being undertaken at the same time by Oxford Policy Management. However, neither MoEST nor the CA had been informed of this evaluation, and concerns were raised about the duplication of effort, and the lack of coordination between the parallel evaluations focusing on similar issues.

¹⁰⁴ Depends on availability of chair/co-chair. Although intending to meet in 2017, the JSR only met in January of 2018.

¹⁰⁵ In theory the Sector Working Group meets a month after every quarter (to reflect on a synthesis of the 10 Technical Working Groups).

¹⁰⁶ The 10 Technical Working Groups relate to the following (note that many do not have anything to do with the primary school sector): Basic Education, Secondary Education, Teacher Education, Tertiary and Higher Education, Decentralisation, Human Resources, Finance and Procurement, Education Infrastructure, Quality and Standards, and Crosscutting.

¹⁰⁷ TWGs are scheduled to meet each quarter, but not all do as some are more active than others. Respondents suggested that they probably meet on average twice a year as opposed to each quarter.

¹⁰⁸ The 2017/2018 report is scheduled to be released in June 2018.

¹⁰⁹ The MLA was conducted in 2015, but the report will only be released in the second half of 2018 due to data validation and verification issues. It is supposed to be conducted every 2-3 years, but planning has yet to begin for the next one so it is not yet clear whether this will happen either later in 2018 or even in 2019.

¹¹⁰ Planning meetings for the next SACMEQ Survey have just begun, with the hope that field work will be conducted in the second half of 2018.

	2 nd half of 2018	1 st half of 2019	2 nd half of 2019	1 st half of 2020	2 nd half of 2020
Demographic and Health Surveys¹¹¹	N/a	N/a	N/a	N/a	N/a
Integrated Household Survey¹¹²	N/a	N/a	Field work conducted	HIS Report	
MESIP MTR	September 2018				
Grant Agent's Implementation Supervision and Technical Review Mission	September 2018	March 2019	September 2019	March 2019	
GPE Secretariat Visit	Aligned to JSR		Aligned to JSR		
DP new investments		<ul style="list-style-type: none"> • JICA – early grade numeracy (Std1-4)¹¹³ • GIZ – teacher education program¹¹⁴ • KfW – potential contribution to ESJF • KfW – envisaged support to RNE's Unlocking Talent Programme 			
DP Evaluations	N/a	N/a	N/a	N/a	N/a

Source: drawn from multiple interviews during April 2018 field visit

¹¹¹ The DHS is conducted every five years in Malawi. The most recent survey was conducted in 2016, and so no survey will be conducted until 2021.

¹¹² The Integrated Household Survey is conducted every 5 years in Malawi. The most recent survey was conducted in 2014 so no survey will be conducted until 2019.

¹¹³ This project is envisaged to run for 4.5 years from April 2019 – July 2023. The budget has yet to be finalised. The program plans to review and then revise the curriculum and improve teaching and learning materials, (including textbooks).

¹¹⁴ Focus on improving teacher qualifications in Basic Education. Budget to be finalised. Program will start in November 2018, and end in October 2021.

4 Conclusions and Recommendations

4.1 Conclusions

191. The primary and obvious conclusion from observation and analysis so far of the GPE in Malawi is that the partnership's progress is not necessarily linear. Whilst Malawi has clearly benefited from the material support provided by the partnership to date, the results have been mixed. Reviews conducted of the two ESIPs suggest that whilst some progress is being made as a result of both the significant material and strategic investments, noticeable challenges remain in the sector.

192. Whilst it is too early to tell whether the most recent material and strategic investments made by GPE will significantly contribute to the attainment of the objective of ensuring inclusive and quality education for all in Malawi, there are nevertheless several areas where it is plausible that the partnership will make a contribution. For instance, whilst there has been a strong focus on inclusivity within sector dialogue, it remains to be seen whether an emphasis on inclusivity contributes to mutual accountability in the sector. Respondents were of the opinion that whilst the application process was onerous, it did nevertheless promote inclusivity with regards to sector planning and subsequent monitoring.

193. There is also growing evidence that GPE advocacy has contributed to better financing for the sector; this will become more apparent once the CFM has been operationalized and is used. In addition, the GoM has increased its commitment to increasing its budget allocation to the education sector to satisfy the 20 percent target.

194. However, whilst an implementable plan is in place and the likelihood remains that resources will continue to be increased to support the implementation of the plan, actual implementation remains problematic. Some notable successes have been achieved; however, substantial components of the implementation remain behind schedule. This suggests that sufficient attention has not been paid to the existing capacity within the Ministry, and that unless this is addressed the plan will not be implemented in the expected timeframe.

195. A particular challenge for the PE in the future will be not only (a) to assess *whether* GPE is making a difference in Malawi, but also (b) to make a qualitative assessment of the contribution that GPE has made and how this has been achieved, and (c) to draw lessons on how GPE's contribution could be strengthened.

196. A final and again obvious conclusion at this stage in the evaluation is that any progress made in the education sector, and the contribution that the GPE has made and will continue to make to that progress, are dependent on the prevailing political climate and political will in Malawi. Without top-level commitment, progress to date would have been significantly slower and the GPE's effectiveness would have been constrained. The maintenance of that political will depends on domestic political factors, but also on continuation of the belief of national leadership that collaboration with development partners and compliance with their conditionalities, as well as participation in partnerships like the GPE, are an appropriate investment of the GoM's time and resources.

4.2 Recommendations

197. At this early stage in the three-year PE, it is inappropriate to offer detailed or extensive recommendations about GPE strategy in Malawi. But the analysis offered in this first annual report does suggest the following three recommendations for the partnership as outlined in Table 15 below. The table provides details of the rationale, time scale and allocation of responsibility for implementing each of the recommendations.

Table 15 Recommendations

#	Topic	Finding	Recommendation	Timing
1	How could GPE's support to Malawi be strengthened?	An analysis of evidence suggests that the rigorous design process has not necessarily provided the most effective institutional/ operational arrangement. There is ongoing debate in Malawi as to whether the Planning Department is the 'right' home for MESIP. There is some overlap between the role and responsibilities of the Component Managers and the Project Facilitation Team (PFT), and several key aspects of the organizational structure appear to be inadequately resourced (in particular the Coordinating Agency).	The forthcoming MTR should reflect further on this point, namely what is the best institutional arrangement for the implementation plan.	September, 2018
2	How could GPE support to Malawi be made more relevant?	Whilst considerable effort has gone into the development of the implementation plan, the same rigor has not gone into implementation. In particular, the evidence to date suggests that additional capacity is required to ensure effective delivery. Moreover, respondents were of the opinion that incorrect assumptions have been made about the resourcing of management staff and the relevant role-players (such as component managers, the CA, and the GA).	Need for further reflection on the modality being used in Malawi, with particular focus on whether or not the approach to implementation is feasible, and whether the different structures within the model have been appropriately resourced.	September, 2018
3	How could GPE support to Malawi be made more effective?	There was a strong view amongst respondents that there needs to be a GPE secretariat presence in country to ensure the GPE is more conversant with ongoing implementation challenges and to facilitate resolution in areas of disagreement between, for instance, the GoM and the GA.	There is need for more regular/continuous presence by the GPE secretariat to oversee the resolution of implementation challenges, and to facilitate more effective sector dialogue premised on mutual accountability.	With immediate effect

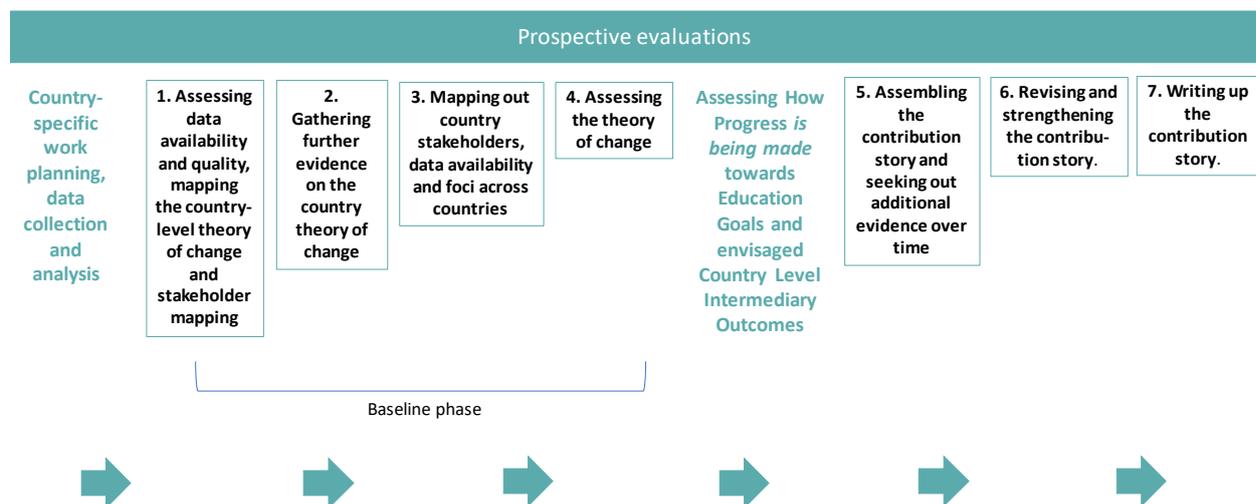
Annexes

Annex A	Background to the GPE Country-level Evaluation
Annex B	Country Profile and Additional Country Data
Annex C	Background to GPE and the country-level evaluations
Annex D	Chronology
Annex E	Evaluation Tools
Annex F	Mapping of Malawi-specific Assumptions against IR
Annex G	Risks to the Evaluation, Quality Assurance and Ethics
Annex H	Interview Guides
Annex I	People Consulted
Annex J	Plausibility of Contribution Claims: Qualitative Stakeholder Assessment
Annex K	Findings of Previous Evaluations
Annex L	Malawi Stakeholder Analysis
Annex M	UIS Data
Annex N	Evaluation Team Composition

Annex A Background to the GPE Country-level Evaluation

1. Country evaluations (both prospective and summative) are evidence-driven and theory-based. Contribution Analysis is used to identify program contributions towards the overall goals and objectives. Contribution Analysis is an iterative approach to evaluation designed to identify the specific contribution a program or (series of) interventions is making to observed results through an increased understanding of why observed changes have occurred (or not occurred) and the roles played by the intervention and by other internal and external factors respectively. Whereas it does not provide definite proof, it delivers an evidence-based line of reasoning from which plausible conclusions can be drawn on the types and reasons for contributions made by the analyzed program/intervention.
2. In the context of the prospective evaluations, contribution analysis will place emphasis in understanding (i) whether GPE support is working at a country-level, (ii) whether outputs from GPE support lead and contribute to outcomes and impacts, and (iii) who benefits from GPE support. It therefore draws upon both quantitative and qualitative evidence to elicit a contribution argument for the program or intervention under review. Over the lifecycle of the evaluation the prospective evaluations build the contribution story by tracing GPE inputs along the expected causal pathways.
3. The approach and methodology for each of the eight country-level prospective evaluations will follow a structured approach deliberately harmonized with the complementary components of this evaluation (namely the summative evaluations) and in consideration of subsequent outputs (the annual and synthesis reports). The stages of this process are depicted schematically in Annex Figure 1 and detailed in turn below.

Annex Figure 1. Overview of stages for Prospective Country Evaluations



4. Country-specific work planning, data collection and analysis for prospective evaluations includes:
 - **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 country visits including discussions with relevant stakeholders. In this stage and for each country the evaluation team will develop a country-specific ToC and identify specific points in the theory of change most likely to yield the greatest insights into if and how GPE contributed to outcomes.
 - **Stage three:** Review stakeholders, data availability and evaluation foci across countries with a strategic perspective.

- **Stage four:** Assessing the ToC on the basis of the evidence assembled in construct of a baseline TOC for each country in the prospective evaluation sample. initial, or baseline, assessment of the theory of change for each prospective evaluation country.
5. The main output from stages above is a baseline report for each of the eight countries subject to a prospective country evaluation, including this for Malawi. They set out the assessment of the GPE country-level ToC in these countries.
6. Based on this baseline report, the country-level evaluation will continue, assessing how progress is being made towards education goals and envisaged country level intermediary outcomes. This phase will include the following stages:
- **Stage five:** Assembling the contribution story and seeking out additional evidence over time, by collecting and analyzing data subsequently in order to assemble and strengthen the contribution story over time – seeking additional evidence to address weaknesses in the story and probing alternative explanations in more detail. In the context of the prospective country evaluations, this iterative data collection will take the form of country field work during 2018, 2019 and 2020.
 - **Stage six:** Revising and strengthening the contribution story: In the final stages of the evaluation, the prospective evaluation team will assess the GPE contribution story to ask ‘*what* progress has been made’, *why* have things changed, and *how* has GPE contributed to the observed changes?’ At this point the evaluation team will construct the GPE contribution story from inputs to intermediary outcomes by complementing the evidence derived from three country missions with secondary data.
 - **Stage seven:** Write up the GPE contribution story: The aim of contribution analysis is to build a compelling case that examines the extent to which a) the country-specific theory of change is verified and b) other key influencing factors are accounted for. Critically, in order to infer that GPE support in the targeted countries has made an important contribution to a desired result, each country contribution story will provide a description of the observed outcomes, together with evidence in support of the assumptions behind the key links in the country ToC.
7. The main outputs deriving from stages five to seven in the prospective country evaluations will be the 2018 and 2019 annual prospective evaluation reports, documenting progress across the eight prospective country evaluation countries. The final report on the prospective evaluations will be prepared (2020) on this basis, and so will the final summative GPE evaluation for the complete portfolio in the 2017-2020 period.
8. In concordance with the summative evaluations, the prospective evaluations build the contribution story in the countries over the lifecycle of the evaluation by tracing GPE inputs along the expected causal pathways. In a structured approach, the baseline phase tailors the country-specific work planning, its data collection and analysis and results in (this) baseline report. The assessment of the progress towards education goals builds on this work. Following this and other country-level baselines, the main outputs deriving from the prospective country evaluations will be a set of annual prospective evaluation reports prepared in 2018 and 2019 for each of the selected countries; these will contribute to an annual synthesis report which documents progress across the eight countries in the sample. The final annual country reports (2020) will provide a final assessment of GPE's contribution to Malawi and the other PE countries over the evaluation period, and will feed into final synthesis reports across the prospective and summative evaluation countries.

Annex B Country Profile and Additional Country Data

Country context

1. Malawi is a landlocked, low-income country in southern Africa with a total population of 17.2 million people (see Malawi Map, Annex Figure 5 below). It is one of Africa's most densely populated countries. The rapid population growth creates continued pressure on the education system. 45 percent of the population are aged 14 years and younger.¹¹⁵ As the Project Appraisal Document¹¹⁶ from 2016 states (p. 1-2), this pressure is "undermining progress since the system is always in a 'catch-up' mode concurrently leading to high chronic repetition and dropout rates and low learning outcomes."
2. Malawi is also highly vulnerable to the effects of natural disasters such as droughts and floods. In a country that is highly dependent on agriculture – over 80 percent of the population are small-holder farmers – such events have severe implications on people's livelihoods. In 2015-2016, for example, floods affected more than 135,000 people and (severely) damaged 350 schools in 13 out of 34 districts. The prolonged El Niño-induced drought resulted in a second consecutive year (2016) of deficit maize production, while both inflation and food prices were high.¹¹⁷
3. With a per capita GNI of US\$320 in 2016, Malawi is among the poorest countries, ranking 170 out of 188 on the Human Development Index.¹¹⁸ 70.9 percent of the population live below the poverty line of US\$1.9 a day, and a quarter of the overall population live in severe multidimensional poverty, with another 27 percent near severe multidimensional poverty.¹¹⁹
4. Severe poverty levels have serious consequences for children and their general wellbeing, including health and education. Malnutrition levels remain high with 37 percent of children under the age of five stunted¹²⁰ (with low height for age), indicating chronic food and nutrition insecurity. Child malnutrition negatively impacts on educational performance, health and immunity, as well as on the national economy.¹²¹ A recent study for Malawi found that 10.3 percent of GDP is lost annually due to the effects of stunting.¹²²
5. Furthermore, the HIV infection rate in Malawi is high at 9.1 percent.¹²³ In 2016, an estimated 940,000 adults (ages 15-49) and 40,000 children (ages 0-14) were living with HIV, and more than half a million children had been orphaned by AIDS.¹²⁴
6. As noted in the project appraisal, Malawi is particularly exposed to external economic shocks because of its dependence on imports and foreign aid. This, paired with limited land resources and a high population growth rate, makes it difficult for the Government to provide adequate services, including education.

¹¹⁵ UIS website, Malawi country profile

¹¹⁶ World Bank, 2016b

¹¹⁷ <http://www1.wfp.org/countries/malawi>

¹¹⁸ UNDP, 2016

¹¹⁹ UNDP, 2016

¹²⁰ Children are defined as stunted if their height-for-age is more than two standard deviations below the WHO Child Growth Standards median. (http://www.who.int/nutrition/healthygrowthproj_stunted_videos/en/)

¹²¹ GoM, 2016: The Cost of Hunger.

¹²² GoM, 2016: The Cost of Hunger. More facts about stunting and education: <http://www.wfp.org/stories/10-things-everyone-should-know-about-child-nutrition-malawi>

¹²³ UNDP, 2016

¹²⁴ UNICEF Malawi (online).

7. The Cashgate scandal, which occurred in late 2013 and is reportedly Malawi's biggest corruption scandal, caused several donors to suspend aid or withdraw their support altogether. This lack of external assistance, which the Government did not expect, negatively impacted on budget execution in 2013-2014, also affecting the education budget (see Chronology in Annex D, ¶10).

8. A variety of donors support Malawi through different aid projects or direct budget support. A list of those active in the education sector has been compiled by the World Bank and is attached in Annex L, Annex Table 19.

Education context

9. Responsibility for the education sector lies with the MoEST. Under the MoEST's overall leadership, the coordination of the education sector in Malawi was initially the responsibility of two groups, the Sector Working Group (SWG) and the Local Education Group (LEG)

10. The SWG included members from all relevant MoEST technical units (Division Level). Under this group a number of Technical Working Committees had been established for specific tasks. Development partners, civil society organizations (CSOs) and the Teachers' Union were part of this group.¹²⁵

11. The LEG, which was responsible for leading, coordinating and guiding education sector programs, initiatives and reforms, was chaired by the MoEST and co-chaired by donor partners. It included DPs and Government representatives from the MoEST, the Ministry of Local Government and Rural Development, the Ministry of Finance, Economic Planning and Development and the Ministry of Gender, Children, Disability and Social Welfare.

12. As of May 2017, MoEST merged the groups into the Malawi Education Sector Improvement Project (MESIP) Technical Review Committee in June 2017.¹²⁶ This committee is chaired by the Director of Basic Education (MoEST) and comprises DPs, CSOs and the Teachers' Union, and other actors in primary education. It feeds into the decision-making ESIP Steering Committee which is chaired by the Chief Director of Education and includes all directors and the GPE coordinating agencies (CAs) (current and upcoming). The Project Facilitation Team was requested to comply with the newly established structures.¹²⁷

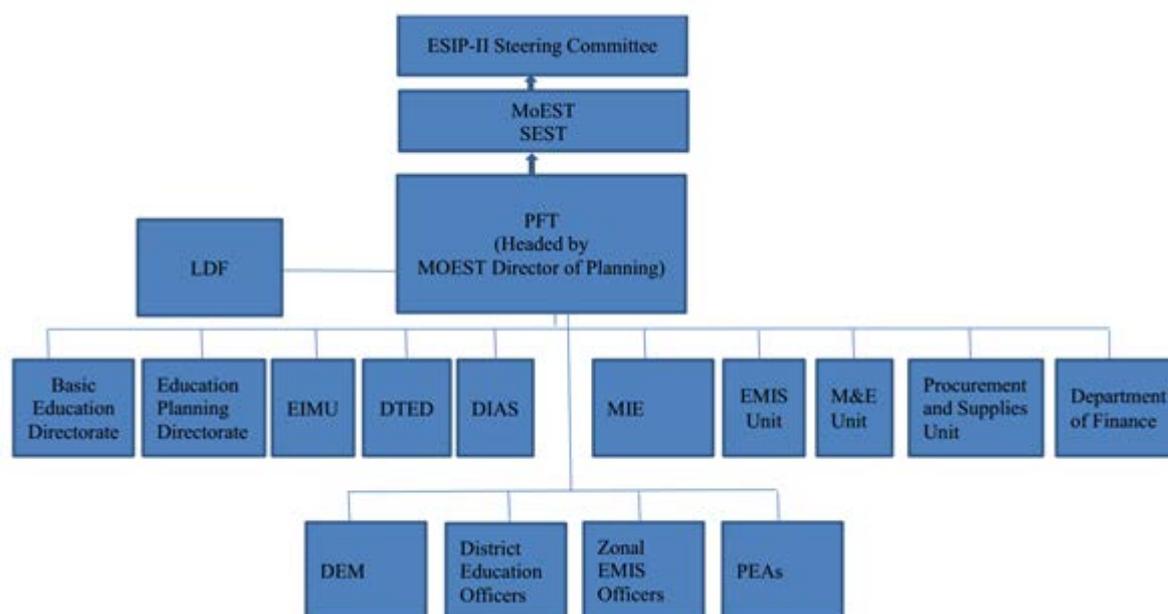
13. Annex Figure 2 below illustrates the set-up as envisaged in the Project Appraisal Document (PAD) and to all accounts is what has been implemented to date. Note that the Steering Committee (typically referred to as the Sector Working Group in Malawi) also performs the duties of what GPE refers to as the Local Education Group (LEG).

¹²⁵ GPE Briefing Notes.

¹²⁶ GPE, 2016b, Quality Assurance Review – Phase III.

¹²⁷ Aide Memoire Malawi (November 2017).

Annex Figure 2. MESIP Management Set-Up



Source: World Bank, 2016b, Project Appraisal Document, p. 87

Education financing¹²⁸

14. Malawi has shown strong commitment to support the education sector through higher national allocation of resources to education over the last decade.¹²⁹ As per MoEST information, in 2015/16 18 percent of the national budget was allocated for the education sector, out of which approximately 55 percent was allocated to basic/primary education (Standards 1-8). Furthermore, recurrent expenditure in education was 86 percent in 2015/16.

15. The government has shown full commitment to continuing the current level of funding to the education sector. However, given the fiscal constraints due to the rise in inflation and devaluation of the local currency, there is a higher risk of limited fiscal space leading to limited domestic financing to the sector.

16. As noted earlier, following the Cashgate scandal in 2013, the majority of DPs withdrew their support from the pool fund and are now implementing and/or planning to support ESIP II through discrete projects. However, there is a growing interest among DPs to fund through a Common Financing Mechanism (CFM) to re-align their support to the government system.

Annex Table 1. Government expenditure on education 2007-2016

	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
Government expenditure on education										
as % of GDP	3.54	4.14	...	5.42	4.84	5.61	...
as % of total government expenditure	12.52	15.1	...	20.42	16.33	21.55	...

¹²⁸ GPE, 2016b Quality Assurance Review – Phase III

¹²⁹ GPE, 2016b Quality Assurance Review – Phase III

	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
Government expenditure per student (in PPPs)										
Primary education	49.2	58.88	...	85.83	106.51	114.94	...
Secondary education	144.84	222.88	...	264.4	236.38	294.55	...
Tertiary education	14202.06	12060.52

Source: UNESCO UIS

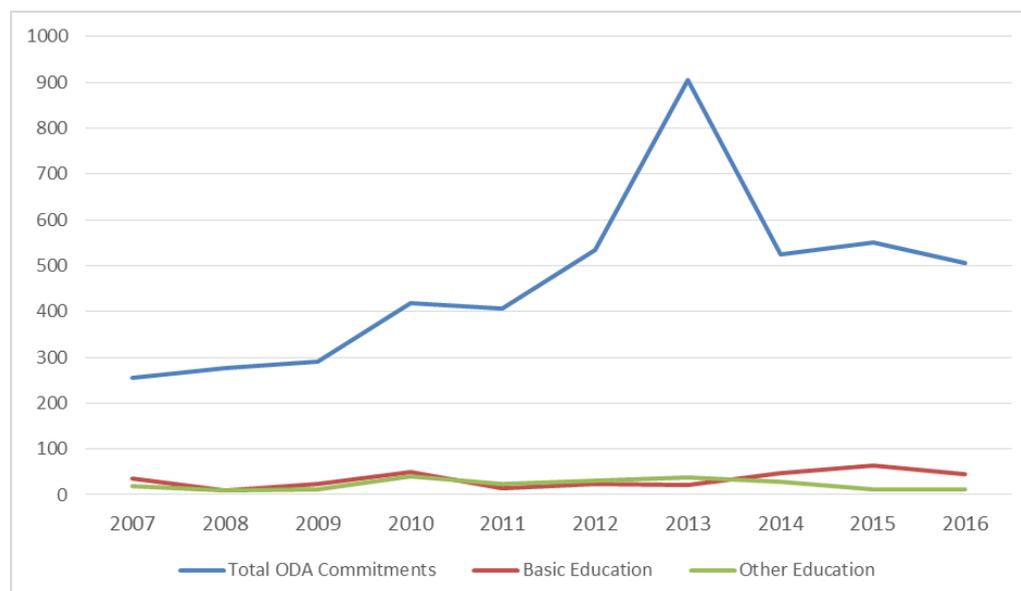
Annex Table 2. Trend in education expenditure over Total Government Recurrent (MK million)

Financial Year	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
Total Recurrent Education	17	20	23	26	44	50	73	93	113	158
Total Voted Recurrent Expenditure (excludes Statutory Expenditures)	93	100	156	168	183	195	321	386	496	583
% of Recurrent Expenditure (excluding statutory expenditures) spent on education	18%	20%	15%	15%	24%	26%	23%	24%	23%	27%

Source: MoEST, 2016, The 2015/16 Education Sector Performance Report.

17. Annex Table 3 below indicates ODA commitments to Malawi.

Annex Figure 3. ODA Commitments to Malawi, Total ODA vs Education Sector Commitments



Source: OECD CRS

Structure of the national education system

18. The Malawian education system encompasses pre-primary (ages 3-5), primary (ages 6-13), secondary (ages 14-17) and tertiary (18-22) education. Eight years of schooling are compulsory (from age 6 to age 13), though children often enter the education system when they are older than six years.¹³⁰ The academic year starts in January and ends in November. The language of instruction in Malawi is English, while the use of local languages for mother tongue instruction is allowed.¹³¹ There is also the possibility to undertake vocational or technical training instead of following the academic path into secondary school.

19. Note the discrepancy between the Government of Malawi and the UNESCO Institute of Statistics (UIS) descriptions, as shown in Annex Table 3 below, to allow for comparison across countries.

Annex Table 3. Education system in Malawi

Education level	Age	School-age population by education level
Pre-primary	3-5	1,737,655
Primary	6-11	3,082,589
Secondary	12-17	2,523,135
Tertiary	18-22	1,650,172

Source: UIS data¹³²

20. The Ministry of Education, Science and Technology (MoEST) oversees all levels of education in Malawi. Its main priorities¹³³ are to:

- expand equitable access to education to enable all people to benefit,
- improve quality and relevance of education to reduce drop-out and repetition and promote effective learning, and
- improve governance and management of the system to enable more effective and efficient delivery of services.

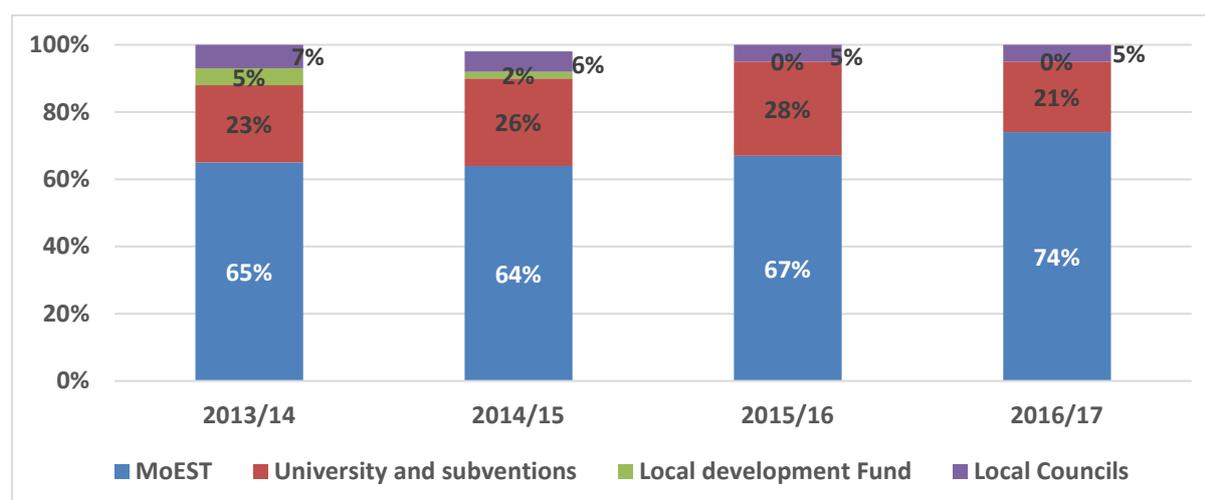
¹³⁰ Wamba & Mgombezulu, 2014, *The crisis in public education in Malawi*.

¹³¹ Revised Education Act 2013.

¹³² <http://uis.unesco.org/country/MW>

¹³³ Ministry of Education website: http://www.malawi.gov.mw/index.php?option=com_content&view=article&id=24&Itemid=80

Annex Figure 4. Composition of Education Sector Budget Allocations (2013/14 – 2016/17)



Source: UNICEF, 2017

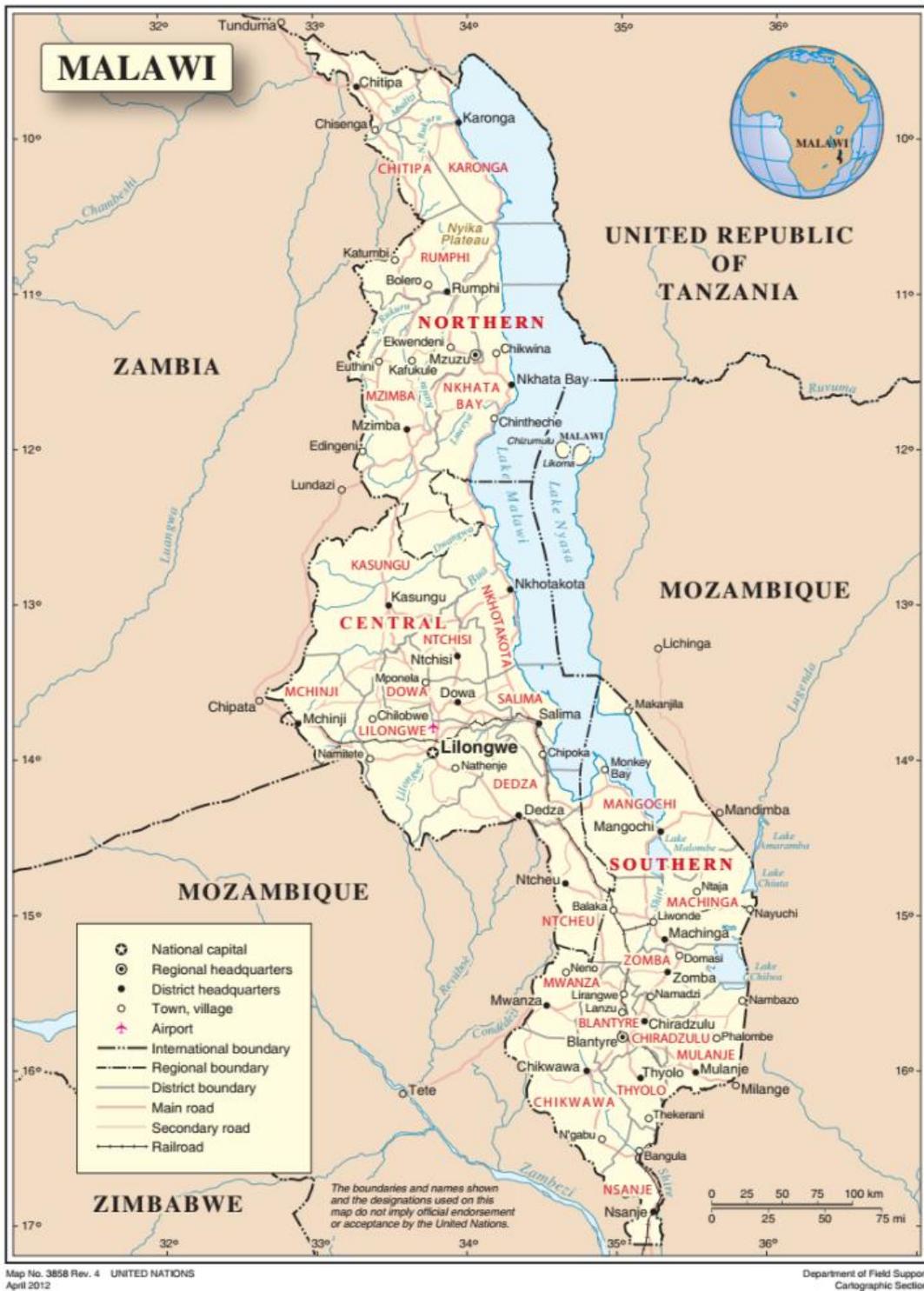
Annex Table 4. GPE Funding Modality Assessment for current ESPIG (2017-2020)

Dimension	Finding
a) On plan a. Is the program on the Education Sector Plan? b. Are the projected expenditures of the program included in the multi-year forecast of the Minister of Finance (medium term expenditure framework)?	a) Yes, program is as per the ESP b) No, Program is off-budget
b) On Budget/ Parliament a. Is the project included in the national budget/finance law? b. Does it show specific appropriations for the different planned expenditures? c. Is it classified similarly to government's own spending?	a) No b) N/a c) N/a
c) On Treasury a. Is the majority of the financing disbursed into i. The MAIN revenue funds of government ii. A specific account at treasury iii. A specific account at a commercial bank b. Is the expenditure process (documents and signatures on commitment, payment orders and so on) for the national budget used for the program expenditure? c. Are there any specific derogations/safeguards on the national execution procedures for the program expenditures (other documents and/or signatures)?	a) N/a b) N/a c) N/a

Dimension	Finding
<p>d) On Procurement</p> <p>a. Are government procurement rules used? If so, are there any derogations/safeguard on the use of these rules?</p> <p>b. Are the usual government agencies involved in the procurement processes? If so, are there any derogations/safeguard (such as non-objections)?</p>	<p>a) Yes, however the Project Facilitation Team (PFT) for MESIP will oversee procurements. All procurement will be carried out as per Public Procurement Act 2005 and Public Procurement Regulations 2005 developed by the government for all ministries, except for procurement under International Competitive Bidding (ICB) for which the World Bank's (the Supervising Entity) Procurement Guidelines apply.</p> <p>a. GA will closely work with the PFT to ensure oversights.</p> <p>b. Implementation of the procurement activities will be done by MoEST.</p> <p>c. For GPE funded Program MoEST follows the GA (WB) Procurement policies and procedures.</p> <p>d. As part of the work plan MoEST prepares a Procurement Plan with upstream support from GA on costing which becomes part of the Pricing Plan</p>
<p>e) On Accounting</p> <p>a. Is the accounting directly on government's accounting systems? If not, are the accounting results afterwards integrated in government's accounting systems?</p> <p>b. Is the accounting information in line with government's classification system?</p>	<p>a) No, GA to transfer funds to the government through a commercial bank</p> <p>b) Yes, accounting system will be as per government's classification system.</p>
<p>f) On Audit</p> <p>a. Is the financing audited by government's auditing system? If not, is the government's auditor otherwise involved in the audit?</p>	<p>a) No, financing is not likely to be audited by government's auditing system. However, for years 2013 and 2014, the MoEST pooled-funded activities were audited by an independent auditor (PWC). Both reports have been issued as qualified, with the issues raised by the auditor in both years the same:</p> <ul style="list-style-type: none"> • unreconciled items, worth over USD8 million for 2013 and USD6 million for 2014; and • expenditures not supported by documentation or inadequate documentation worth USD1.7 million for 2013 and USD2.8 million for 2014.
<p>g) On Report</p> <p>a. Is the information the project execution included in the sector report prepared by MoEST?</p>	<p>a) Yes, likely to be included in the report. GA required to have a separate reporting mechanism.</p>

Source: QAR I, 2015 (GPE, 2015g), pp. 12 – 14

Annex Figure 5. Malawi Map



Source: Malawi, no. 3858 Rev.4, April 2012 (UN Geospatial Information Section)

Malawi KEY NESP Indicators and Logframe¹³⁴

21. The following indicators and logframe have been extracted from the NESP (MoEST, 2008).

5.0 KEY NESP INDICATORS

The enrolments, completion rates, staffing levels and teacher distribution are expected to improve by 2017 as follows:

5.1 BASIC EDUCATION

5.1.1 Early Childhood Development

- i. 80 percent of the children (including special needs) are reached by 2017,
- ii. Ratio of caregiver to child is 1:20 by 2017,
- iii. Ratio of helper to child is 1:40 by 2017, and
- iv. Increased expenditure for ECD by 3 percent of total education budget.

5.1.2 Adult Literacy

- i. Literacy rate of 15 years and above improved by 50 percent by 2015 and 60 percent by 2018. Thus number of adults reach 5 million (including special needs) by 2017,
- ii. Equitable distribution of literacy rates between male and female by 2017,
- iii. At least 92,000 literacy centres by 2017,
- iv. At least 3 percent of adult literacy over total education spending, and
- v. Having IRI in all CBE and adult literacy centres by 2017.

5.1.3 Out-of-School Youth

- i. 600 centres for CBE are established yearly from 2012/13,
- ii. 90 percent of out-of-school youth (including special needs) have access to training/education by 2017,
- iii. At least 85 percent literacy rate for population aged 15-24, and
- iv. At least 2 percent of out-of-youth expenditure over total educational.

¹³⁴ NESP 2008-2017, p. 26-28 (MoEST, 2008)

5.1.4 Primary

- i. Reduced drop out from 14.3 percent to 5 percent,
- ii. Reduced repetition from 18 percent to 5 percent. Only move towards automatic promotion upon developing mechanisms for remedial measures for failing pupils and improving teaching and learning which reflects successful continuous and summary assessment,
- iii. Improved distribution of teachers in rural areas from 1 qualified teacher to 90 pupil to at least 1:70,
- iv. Improve the survival rate of pupils to standard five from 53 percent to 75 percent, and Increase the survival rate from 29.6 percent to 60 percent at standard 8

Overall Basic Education ranges between 54 percent and 60.2 of the total education expenditure during the plan period.

5.2 SECONDARY EDUCATION

- i. Increased secondary enrolment and mainly girls participation to at least 50 percent,
- ii. Improved throughput at MSCE from the current 38.6 percent in 2006 to at least 65 percent,
- iii. Increased teaching staff to student ratio in Community Day Secondary Schools from 1:104 to 1:60. Ultimately reduce to 1:40 by 2017,
- iv. Reduced overhead costs of secondary education as a result of increased enrolment and reduced boarding subsidy, and
- v. Overall total recurrent budgetary allocation for secondary should be at least 12 percent to a maximum of 16.6 percent during the plan period.

5.3 TEACHER EDUCATION (PRIMARY AND SECONDARY)

- i. Increasing the supply of teachers with a bias towards increase female throughput for both primary and secondary schools by at least 35 percent,
- ii. Mainstreaming of special needs education in at least half of the teacher training colleges,
- iii. Institutionalization of In-Service Training (INSET)/Continuous Professional Development for Teachers in the education system,
- iv. Increased and rationalized use of teaching staff, and
- v. Overall the recurrent budgetary allocation for teacher education ranges between 4.8 percent and 6.1 percent of the total budget during the plan period.

5.4 TECHNICAL AND VOCATIONAL TRAINING

- i. Increased enrolment with a bias towards increasing the intake of females in non-traditional areas and special needs students,
- ii. Reducing overhead costs of running colleges,
- iii. Rationalizing teaching staff in line with relevant training requirements, and
- iv. Overall recurrent budget requirement for technical vocational training is 0.7percent to 4.4 percent between 2008 and 2017.

5.5 HIGHER EDUCATION

- i. Doubling enrolment whilst taking into account special needs and gender factors,
- ii. Reducing overhead costs from 185 US dollars to 65 US dollars or below,
- iii. Increasing and rationalizing staffing levels with appropriate qualification from 20 percent to 75 percent, and
- iv. The total budget during the plan period ranges between 12.1 percent and 15.1 of total recurrent education budget.

6.3 The Logical Framework Approach to NESP programme implementation and its monitoring and evaluation

The logical framework approach provides a structure for logical thinking in NESP programme implementation and its monitoring and evaluation. It makes the NESP programme logic explicit, provides the means for a thorough analysis of the needs of NESP programme beneficiaries and links programme objectives, strategies, inputs and activities to the specified needs. Furthermore, it indicates the means by which programme achievement may be measured.

The Logical Frame Matrix Structure

Programme Description	Indicators	Means of Verification (MOV)	Assumptions
Goal: The broader development impact to which the NESP programme contributes at a national and/or sectoral level.	Measures of the extent to which a contribution to the goal has been made. Used during evaluation.	Sources of information and methods used to collect and report it.	Explicit presentation of related documents such as the MGDS and other international documents and protocols and their indicators
Purpose: The development outcome expected at the end of the programme. All education sub sectors will contribute to this.	Conditions at the end of the NESP plan indicating that the Purpose has been achieved. Used for programme implementation and evaluation.	Sources of information and methods used to collect and report it.	Assumptions concerning the purpose/ goal linkage.
Programme Objectives: The expected outcome of producing each programme's outputs.	Measures of the extent to which programme objectives have been achieved. Used during review and evaluation.	Sources of information and methods used to collect and report it.	Assumptions concerning the programme objective/ purpose linkage.
Outputs: The direct measurable results (goods and services) of the programme which are largely under programme management's control.	Measures of the quantity and quality of outputs and the timing of their delivery. Used during monitoring and review.	Sources of information and methods used to collect and report it.	Assumptions concerning the output/ programme objective linkage.
Activities: The tasks carried out to implement the project and deliver the identified outputs.	Implementation/work programme targets. Used during monitoring.	Sources of information and methods used to collect and report it.	Assumptions concerning the activity/ output linkage.

To strengthen implementation, monitoring and evaluation, beneficiary communities will have to be involved in most if not all activities of realising the NESP. Education districts and the Civil Society Organizations shall, therefore, mount capacity building exercises for communities to get involved in

input, processes, output, outcomes and impact of NESP at both the local and national level. Further, the existing education sub sectors implantation and monitoring and evaluation systems will be enhanced to allow for efficient, effective, consistent and quality tracking of expenditures.

Annex C Background to GPE and the country-level evaluations

The Global Partnership for Education

1. The Global Partnership for Education (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, teacher organizations, the private sector and foundations.

2. GPE works closely with partner countries to help them develop and implement quality education sector plans. At the national level, GPE convenes all education partners in a collaborative forum, the local education group (LEG), which is led by the ministry of education. The LEG participates in the development, implementation, monitoring and evaluation of education sector plans and programs. A coordinating agency (CA) is selected among its members to facilitate the work of the LEG. Additionally, a grant agent (GA) is chosen by the government, and approved by the LEG, to oversee the implementation of GPE grants.

3. GPE's country-level approach is set out in a series of guidelines and strategies which include the Country Level Process Guides (CLPG), technical guidance and policies on sector plan preparation and implementation, and the GPE charter, among others. As expressed in its operational model, the partnership's support goes beyond grants and includes advocacy, coordination, technical assistance, and knowledge exchange. Thus, the GPE supports partner developing countries through financial and non-financial support through the following:

- Education Sector Plan Development Grant (ESPDG): supports the development of national education sector plans, and is complementary to government and other development partner financing;
- Program Development Grant (PDG): supports the development of an Education Sector Program Implementation Grant (ESPIG) program proposal;
- Education Sector Program Implementation Grant (ESPIG): supports the implementation of national education sector plans;
- Civil Society Education Fund (CSEF): supports civil society engagement in education sector policy, planning, budgeting and monitoring; and
- Global and Regional Activities (GRA) program: which engages education stakeholders in researching and applying new knowledge and evidence-based practices to resolve education challenges.

4. GPE adopted as its vision the new Global Goal for education, Sustainable Development Goal (SDG) 4, which aims to "ensure inclusive and equitable quality education and promote lifelong learning opportunities for all" by 2030. In June 2016, GPE's strategic plan (GPE2020) aligned its vision and mission to the 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.

5. The GPE 2020 adopted a monitoring and evaluation (M&E) strategy for the 2016-2020 strategic plan period. It includes a results framework for monitoring progress across three goals and five strategic objectives in GPE's theory of change (ToC), and a set of 37 indicators. The strategy includes linked evaluation studies, including programmatic, thematic, and country-level evaluations, which in combination would inform a summative 2020 evaluation on the entire GPE's portfolio.

6. 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 question 1: Has the 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, then how?

Key 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 question 3: Have changes at education system level contributed to progress towards impact?

Timetable and deliverables for country-level evaluations

7. Key activities and dates for the remainder of this project are detailed below in Annex Table 5 below.

Annex Table 5. Activities and Key dates

DELIVERABLE	DATE
Deliverable 1: Inception Report	November 2017
Deliverable 2: First batch summatives (x 2)	--
Deliverable 3: Baseline studies (desk review)	April 2018
Deliverable 4: Second batch summatives (x 5)	--
Country mission I	Q2 2018
Deliverable 5: 8 Prospective country missions annual report (first year)	End 2018
Deliverable 6: Third batch summatives (x 5)	--
Deliverable 7: CY18 Synthesis report	December 2018
Deliverable 8: Fourth batch summatives (x 5)	--
Country mission II	Q2 2019
Deliverable 9: 8 Prospective country missions annual report (second year)	Q3 2019
Deliverable 10: Fifth batch summatives (x 3)	--
Deliverable 11: CY19 Synthesis report	January 2020
Learning	Ongoing

Source: Project work plan and timeline

Annex D Chronology

1. This annex contains the following tables:

- Annex Table 6 Malawi - Chronology
- Annex Table 7 GPE grants to Malawi (2010-2020)
- Annex Table 8 GPE Global and Regional Activities Grants, including Malawi

2. Annex Table 6 below provides a brief country chronology listing important events in the country, in the education sector specifically, and GPE's engagement in country.

Annex Table 6. Malawi - Chronology

Date	Malawi general	Education sector	GPE engagement
1962		Education Act	
1964	6 July – Independence is declared.		
1964	UNICEF starts operations in Malawi	Malawi joined UNESCO on 27 October	
1965	WFP starts operations in Malawi.		
1966	Dr. Hastings Kamuzu Banda becomes president and rules a one-party state for three decades. Opposition movements are suppressed and leaders detained. Concerns about human rights are raised.		
1971	Banda is voted president-for-life.		
1973		First Education Development Plan developed: EDP 1973-1980	
1975	Lilongwe replaces Zomba as capital.		
1978	First elections since independence. All potential candidates must belong to the Malawi Congress Party and be approved by Banda.		
1980	Several ministers and politicians are killed or charged with treason. Banda reshuffles his ministers regularly, preventing the emergence of a political rival.		
1985		Second EDP 1985-1995	

Date	Malawi general	Education sector	GPE engagement
1990		Education for All Conference in Thailand	
1992	Catholic bishops publicly condemn Banda, sparking demonstrations. Many donor countries suspend aid due to Malawi's human rights record.		
1993	President Banda becomes very ill. In a referendum voters reject the one-party state.		
1994	First multi-party elections since independence. Bakili Muluzi, leader of the United Democratic Front, is elected president and frees political prisoners and re-establishes freedom of speech. Banda retires from politics.	Introduction of free primary education → school enrollment increases by 50 percent from 1.9 to 2.9 million in a year (World Bank 2010)	
1995		Third EDP: The Education Policy and Investment Framework for Education in Malawi 1995-2005 (revised between 1997 and 2000)	
1997	Banda dies in hospital.		
1999	President Muluzi is re-elected for a second and final five-year term.		
2000	World Bank announces that it will cancel 50% of Malawi's foreign debt.	Policy and Investment Framework 2000	
2002	September – railway line linking central Malawi and Mozambican port of Nacala re-opens after almost 20 years, providing access to the Indian Ocean.		
2004	May – Bingu wa Mutharika becomes president. The Government promises free anti-viral drugs for people living with HIV/AIDS.		
2005	February – President Mutharika resigns from the United Democratic Front (UDF)		

Date	Malawi general	Education sector	GPE engagement
	<p>and forms the Democratic Progressive Party (DPP).</p> <p>June – President Mutharika survives and impeachment motion backed by UDF.</p> <p>November – Agricultural minister says 5 million people need food aid as Malawi bears the brunt of failed crops and a regional drought.</p>		
2006	<p>April – Vice-President Cassim Chilumpha is arrested and charged with treason.</p> <p>July – Ex-president Muluzo is arrested on corruption charges.</p>		
2007	<p>May – Malawi begins exporting 400,000 tonnes of maize to Zimbabwe after producing a surplus in 2006.</p>	Malawi Growth Development Strategy	
2008	<p>January – Malawi ends diplomatic relations with Taiwan, switching allegiance to China.</p> <p>May – Several opposition figures and ex-security chiefs are arrested after President Mutharika accuses his predecessor, Muluzi, of plotting to depose him.</p>	June – National Education Sector Plan 2008 - 2017	
2009	<p>May – President Mutharika wins second term in election</p>	Education Sector Implementation Plan 2009 - 2013	Malawi becomes a GPE partner
2010	<p>New national flag introduced</p>	Education Sector Wide Approach (SWAp) established in January through the signing of a Memorandum of Understanding (MOU) and a Joint Financing Arrangement (JFA) between Government & various DPs	<p>June:</p> <p>EFA FTI Catalytic Fund Grant (predecessor to GPE)¹³⁵ of USD90,000,000.00 – support to Program to Improve Quality of Education in Malawi (PIQEM)</p> <p>Closure: June 2015</p>
2011	<p>Police kill 19 people in two days of protests against the way the economy is managed. Britain suspends aid over</p>	Malawi Growth and Development Strategy II (2011-2016)	

¹³⁵ Funding from GPE and IDA Credit of \$50 million from World Bank. Fast Track Initiative; co-financiers include DFID, Germany/KfW, UNICEF.

Date	Malawi general	Education sector	GPE engagement
	governance concerns. US follows suit.		
2012	April – President Bingu wa Mutharika dies in office and is succeeded by vice-president Joyce Banda.		
2013	Cash gate scandal: allegations of financial impropriety meant several donors withdrew their support → implications on execution of budget 2013/14, including education budget.	<p>Primary net enrollment rate: 89%</p> <p>Primary school completion rates: 68 % (World Bank 2013)</p> <p>Secondary net enrollment rate: 11 percent (NSO 2014)</p> <p>Evaluation of ESIP I</p> <p>Revised Education Act passed by Parliament</p>	<p>Education Sector Plan Development Grant: USD250,000.00: Support to improve existing education sector plan</p> <p>Draft ESIP II appraised by the Local Education Group and the GPE Secretariat</p>
2014	<p>May Peter Mutharika wins presidential election.</p> <p>July – Malawi celebrates 50 years of independence.</p>	National Education Policy ratified by Cabinet	
2015			<p>April 2015: Program Development Grant (PDG) of \$319,114.00 to facilitate preparation and implementation of ESP</p> <p>Closure: 30 June 2016</p>
2016	<p>A major human rights concern: Killings of people with albinism which has been on the increase since 2014, makes global headlines. Amnesty International reporting at least 65 cases of abduction, mutilation or murder since 2014.</p> <p>(https://www.amnesty.org/en/latest/campaigns/2016/12/5-facts-about-albinism-in-malawi/)</p>		<p>15 June 2016: Education Sector Program Implementation Grant (ESPIG) of fixed tranche USD44,900,000.00 and variable tranche USD13,470,000.00 for:</p> <ul style="list-style-type: none"> • Fund the Malawi Education Sector Improvement Project (MESIP) • Focus on Primary Education <p>Closure: 31 December 2020</p>
2017	<p>14 February – child marriage becomes unconstitutional (minimum age of marriage for boys and girls is 18).</p> <p>Government requests support from Humanitarian community for the 2017/2018 lean season</p>		<p>11-22 September: World Bank supported by GPE conducted a MESIP implementation review</p>

Annex Table 7. GPE grants to Malawi (2010-2020)

Grant Type	Approval	Implementation dates	Amount	Var. Tranche Amount	Features
1. EFA FTI Catalytic Fund Grant (predecessor to GPE) ¹³⁶	June 2010	June 2010 - June 2015 (extended from original closure of Dec. 2013 to Dec. 2014 to June 2015)	\$90,000,000		Support the <i>Program to Improve Quality of Education in Malawi</i> (PIQEM)
2. Education Sector Plan Development Grant	2013	28 Feb 2014 – 30 Sep 2016	\$250,000		Support to improve existing education sector plan
3. Program Development Grant (PDG)	29 April 2015	30 June 2016	\$319,114		Facilitate preparation and implementation of ESP
4. Civil Society Education Fund (CSEF)		2016	\$91,000		CSEC ¹³⁷ is a member of the LEG and involved in policy development.
5. CSEF		2017	\$119,859		
6. CSEF		2018	tbc		
7. Education Sector Program Implementation Grant (ESPIG)	15 June 2016	1 Jan 2017 – 31 Dec 2020	\$44,900,000 ¹³⁸	\$13,470,000 (=30% of total amount)	Fund the Malawi Education Sector Improvement Project (MESIP) Focus on Primary Education

Source: GPE program documents

3. In addition, Malawi is also involved in the Global and Regional Activities (GRA) program which supports research, capacity development and knowledge sharing at the regional and global levels through technical workshops, peer-learning events and conferences, focusing on learning outcomes, education financing, and out-of-school children. Annex Table 8 below shows existing GRA activities that include Malawi.¹³⁹

¹³⁶ Funding from GPE and IDA Credit of \$50 million from WB. Fast Track Initiative co-financers include DFID, Germany/KfW, UNICEF.

¹³⁷ CSEC was established in 2000 and consists of 97 members. (GPE, n.d.).

¹³⁸ Of which \$6,000,000.00 was disbursed in FY17, equivalent to 13.35% of total, and 18.07% of the time period has elapsed (source: *GPE Portfolio Review*, 2017, pp. 92-93).

¹³⁹ GPE global regional activities program report, June 2017 (GPE, 2017f)

Annex Table 8. GPE Global and Regional Activities Grants, including Malawi

GRA Project	Implementation Period	Managing Entity & Partners	Geographic Focus	Approved Amount in US\$	Purpose
GRA 1 – Development of methodologies to link reading assessments across regions and draw lessons regarding best early assessment practices	Sept. 2013- Dec. 2015	Managing: UIS Partner: Hewlett Foundation	53 GPE partner countries, including Malawi	462,246	Link reading assessments across regions and draw lessons regarding best early assessment practices
GRA 12 – Disability/health and education in support of learning for all	Aug 2014- June 2018	World Bank	Global: 15 GPE countries, including Malawi. Focus on Ghana, Ethiopia, Senegal, and Cambodia	3,000,000	Strengthen collaboration between ministries of health and education and improve the capacity for joint planning and implementation of integrated school health and nutrition programs.

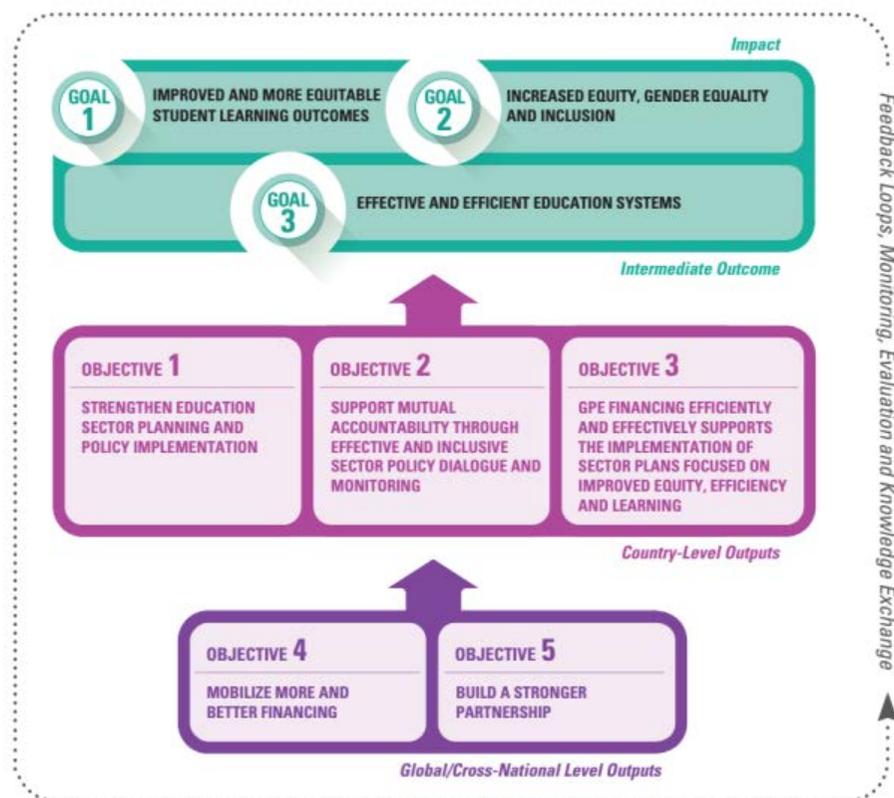
Source: GPE global regional activities program report, June 2017 (GPE, 2017f)

Annex E Evaluation Tools

1. The overall Inception Report (Universalialia et al., 2017) draws on the GPE 2020 M&E monitoring framework to provide evaluation tools that simultaneously ensure comparability across summative and prospective evaluations yet allow for adaptations to ensure that each country-level evaluation is appropriately tailored to the country context.
2. The tools provided for reference in this annex are as follows:
 - Annex Figure 6 reproduces the GPE 2020 theory of change.
 - Annex Figure 7 reproduces the generic country-level theory of change which was developed for inclusion in the Inception Report. This was used as a point of reference for the development of a country-specific ToC for each prospective evaluation country.
 - Annex Table 9 reproduces the GPE 2020 Results Framework in full.
 - Annex Table 10 reproduces the Evaluation Matrix from the Inception Report. This sets out all the principal evaluation questions to be addressed by the summative and prospective evaluations.

i. GPE 2020 Theory of Change

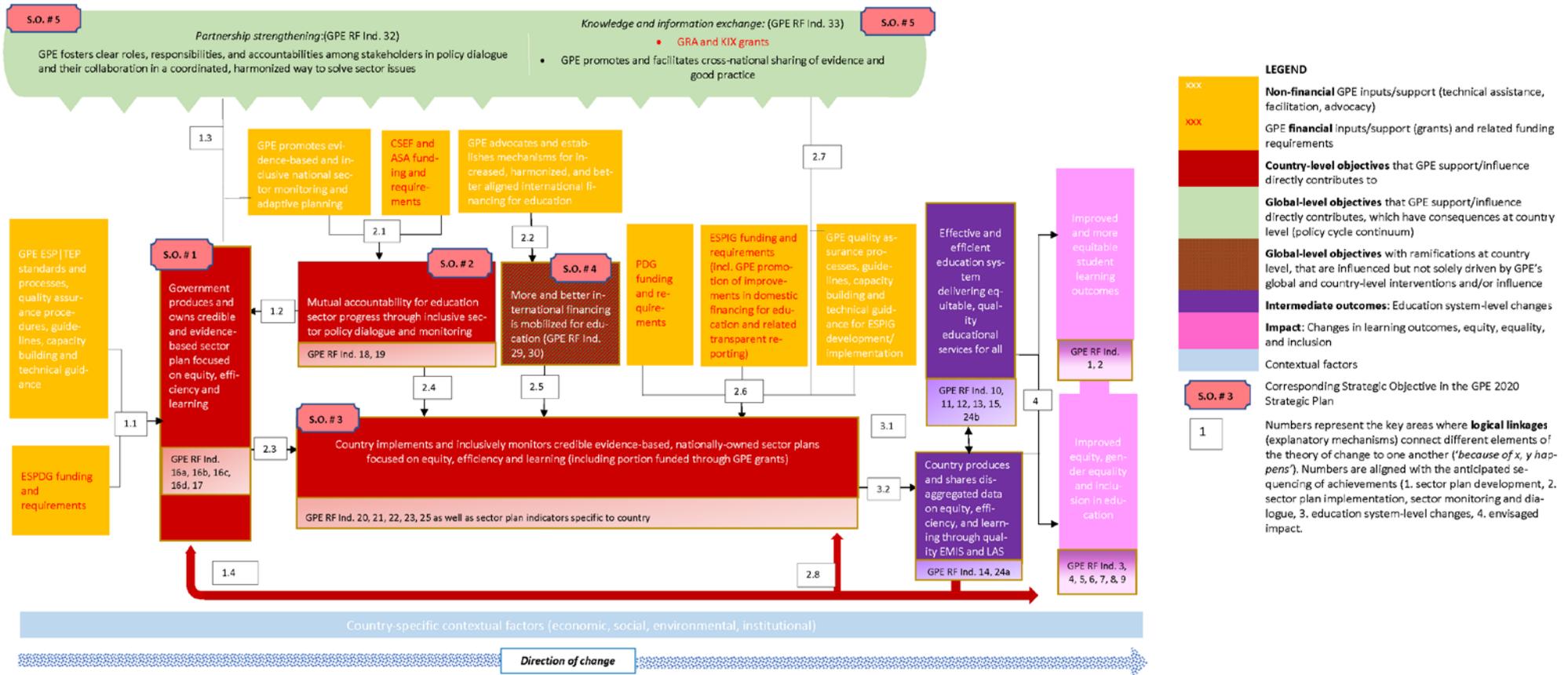
Annex Figure 6. GPE 2020 Theory of Change



Source: GPE Country-Level Process Guide (GPE, 2017a)

ii. Generic country-level theory of change

Annex Figure 7. Generic country-level theory of change



Source: Inception Report (Universalia et al., 2017)

iii. GPE Results Framework

Annex Table 9. GPE 2016-2020 Results Framework – 1/15

IMPACT: Improved and more equitable learning outcomes Increased equity, gender equality and inclusion						
Strategic Goal 1: Improved and more equitable student learning outcomes through quality teaching and learning						
Indicator	Baseline CY2000-2015; N=20 DCPs (4 FCAC ⁹)		Milestone 2017	Milestone 2017 Status	Target 2020	
	1. Proportion of developing country partners (DCPs) showing improvement on learning outcomes (basic education)	Overall:			65%	First milestone set for 2018
	FCAC:	50%	First milestone set for 2018	Baseline	75%	
Indicator	Baseline CY2011-2014; N=22 DCPs (6 FCAC)		Milestone 2017	Milestone 2017 Status	Target 2020	
	2. Percentage of children under 5 years of age who are developmentally on track in terms of health, learning and psychosocial well-being	Overall:			66%	First milestone set for 2018
	FCAC:	62%	-	-	-	
	Female:	68%	First milestone set for 2018	Baseline	75%	
IMPACT: Improved and more equitable learning outcomes Increased equity, gender equality and inclusion						
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						
Indicator	Baseline CY2015; N=49 DCPs (24 FCAC)		Milestone 2017 CY2017; N=56 DCPs (28 FCAC)		Milestone 2017 Status	Target 2020
	3. Cumulative number of equivalent children supported for a year of basic education (primary and lower secondary) by GPE	Overall:	7.2 million	Planned:		
			Achieved:	18.5 million		
	FCAC:	5.6 million	Planned:	9.5 million	Met	n/a
			Achieved:	14 million		
	Female:	3.4 million	Planned:	8.3 million	Met	n/a
			Achieved:	8.8 million		

8 In this table, the core indicators are indicated in blue font. Please note that "-" stands for not available and "n/a" means not applicable.

9 The Term 'countries affected by fragility and conflict' was formerly 'fragile and conflict-affected countries [FCAC]'. The abbreviated form, FCAC is still used to refer to this classification

10 The 2020 targets (both overall and FCAC) have been revised based on new baseline sample, which consists of 20 DCPs (including four FCAC).

GPE 2016-2020 Results Framework – 2/15

IMPACT: Improved and more equitable learning outcomes | Increased equity, gender equality and inclusion

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

Indicator	Baseline 2013; N=61 DCPs (28 FCAC)		Milestone 2017 2015; N=61 DCPs (28 FCAC)		Milestone 2017 Status	Target 2020
			Planned:	Achieved:		
4. Proportion of children who complete (a) primary education; (b) lower secondary education	Primary Education:					
	Overall:	72.5%	Planned:	74.8%	Met	78.3%
			Achieved:	76.1%		
	FCAC:	68.1%	Planned:	70.6%	Not met	74.6%
			Achieved:	68.3%		
	Female:	70.1%	Planned:	72.3%	Met	75.9%
			Achieved:	73.9%		
	Lower Secondary Education:					
	Overall:	47.9%	Planned:	49.5%	Met	52.1%
			Achieved:	50.2%		
	FCAC:	41.1%	Planned:	42.7%	Met	45.4%
			Achieved:	42.8%		
Female:	45.7%	Planned:	48.1%	Met with tolerance	51.8%	
		Achieved:	47.9%			
Indicator	Baseline 2013; N=61 DCPs (28 FCAC)		Milestone 2017 2015; N=61 DCPs (28 FCAC)		Milestone 2017 Status	Target 2020
			Planned:	Achieved:		
5. Proportion of GPE DCPs within set thresholds for gender parity index of completion rates for (a) primary education; (b) lower secondary education	Primary Education:					
	Overall:	62%	Planned:	65%	Met	69%
			Achieved:	66%		
	FCAC:	54%	Planned:	55%	Met	61%
Achieved:			57%			

GPE 2016-2020 Results Framework – 3/15

IMPACT: Improved and more equitable learning outcomes Increased equity, gender equality and inclusion						
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						
5. Proportion of GPE DCPs within set thresholds for gender parity index of completion rates for (a) primary education; (b) lower secondary education (continued...)	Lower Secondary Education:					
	Overall:	49%	Planned:	56%	Not met	66%
			Achieved:	51%		
	FCAC:	36%	Planned:	38%	Met	54%
			Achieved:	39%		
	Indicator	Baseline 2013; N=61 DCPs (28 FCAC)	Milestone 2017 2015; N=61 DCPs (28 FCAC)	Milestone 2017 Status	Target 2020	
6. Pre-primary gross enrollment ratio	Overall:	28.2%	Planned:	29.8%	Met	32.2%
			Achieved:	37.2%		
	FCAC:	22.6%	Planned:	24.0%	Met	26.0%
			Achieved:	35.5%		
	Female:	27.5%	Planned:	29.1%	Met	31.6%
			Achieved:	36.7%		
Indicator	Baseline 2013; N=61 DCPs (28 FCAC)	Milestone 2017 2015; N=61 DCPs (28 FCAC)	Milestone 2017 Status	Target 2020		
7. Out-of-school rate for (a) children of primary school age; (b) children of lower secondary school age	Children of Primary School Age:					
	Overall:	20.3%	Planned:	19.0%	Met with tolerance	17.0%
			Achieved:	19.4%		
	FCAC:	25.8%	Planned:	24.2%	Not met	21.7%
			Achieved:	25.9%		
	Female:	22.7%	Planned:	21.1%	Met with tolerance	18.6%
Achieved:			22.0%			

GPE 2016-2020 Results Framework – 4/15

IMPACT: Improved and more equitable learning outcomes | Increased equity, gender equality and inclusion**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**

Indicator	Baseline 2013; N=61 DCPs (28 FCAC)		Milestone 2017 2015; N=61 DCPs (28 FCAC)		Milestone 2017 Status	Target 2020
			Planned:	Achieved:		
7. Out-of-school rate for (a) children of primary school age; (b) children of lower secondary school age (continued...)	Children of Lower Secondary School Age:					
	Overall:	33.4%	Planned:	32.0%	Met with tolerance	29.9%
			Achieved:	32.9%		
	FCAC:	38.4%	Planned:	36.0%	Not met	32.4%
			Achieved:	40.8%		
	Female:	35.3%	Planned:	33.3%	Met with tolerance	30.2%
Achieved:			34.1%			
8. Gender parity index of out-of-school rate for (a) primary education; (b) lower secondary education	Primary Education:					
	Overall:	1.27	Planned:	1.25	Not met	1.22
			Achieved:	1.30		
	FCAC:	1.34	Planned:	1.32	Not met	1.29
			Achieved:	1.40		
	Lower Secondary Education:					
Overall:	1.12	Planned:	1.09	Met	1.04	
		Achieved:	1.08			
FCAC:	1.19	Planned:	1.15	Met	1.10	
		Achieved:	1.14			

GPE 2016-2020 Results Framework – 5/15

IMPACT: Improved and more equitable learning outcomes Increased equity, gender equality and inclusion						
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						
Indicator	Baseline CY2010-2014; N=59 DCPs (27 FCAC)		Milestone 2017 CY2010-2016; N=59 DCPs (27 FCAC)		Milestone 2017 Status	Target 2020
9. Equity index	Overall:	32%	Planned:	36%	Met	42%
			Achieved:	42%		
	FCAC:	33%	Planned:	37%	Met	43%
			Achieved:	41%		
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	Baseline CY2015; N=49 DCPs (22 FCAC)		Milestone 2016 ¹¹ 2016; N= 42 (19 FCAC)		Milestone 2016 Status	Target 2020
10. Proportion of DCPs that have (a) increased their public expenditure on education, or (b) maintained sector spending at 20% or above	Overall:	78% [a - 24%; b - 53%]	Planned:	76%	Met	90%
			Achieved:	79% [a - 29%, b - 50%]		
	FCAC:	77% [a - 32%; b - 45%]	Planned:	74%	Not met	86%
			Achieved:	63% [a - 21%, b - 42%]		
Indicator	Baseline CY2010-2014; N=21 DCPs (11 FCAC) ¹²		Milestone 2017		Milestone 2017 Status	Target 2020
11. Equitable allocation of teachers, as measured by the relationship (R2) between the number of teachers and the number of pupils per school in each DCP	Overall:	29%	First milestone set for 2018		Baseline	48%
	FCAC:	18% ¹³	-		-	-

¹¹ CY2017 data will be available by June 2018 and will be published in the next Results Report.

¹² Revised N for FCAC is 12.

¹³ Revised value is 25%.

GPE 2016-2020 Results Framework – 6/15

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	Baseline 2013; N=55 DCPs (24 FCAC)		Milestone 2017 2015; N=49 DCPs (20 FCAC)		Milestone 2017 Status	Target 2020
	Overall:		Planned:			
12. Proportion of DCPs with pupil/trained teacher ratio below threshold (<40) at the primary level	Overall:	25%	Planned:	29%	Not met	35%
			Achieved:	24%		
	FCAC:	13%	Planned:	17%	Not met	21%
			Achieved:	15%		
Indicator	Baseline CY2010-2014; N=19 DCPs (12 FCAC)		Milestone 2017		Milestone 2017 Status	Target 2020
	Overall:					
13. Repetition and dropout impact on efficiency, as measured by the internal efficiency coefficient at the primary level in each DCP	Overall:	26%	First milestone set for 2018		Baseline	42%
	FCAC:	17%	Target set for 2020		Baseline	25%
Indicator	Baseline 2012-2013; N=61 DCPs(28 FCAC)		Milestone 2017 2014-2015; N=61 DCPs (28 FCAC)		Milestone 2017 Status	Target 2020
	Overall:		Planned:			
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)	Overall:	30%	Planned:	38%	Not met	66%
			Achieved:	30%		
	FCAC:	32%	Planned:	39%	Not met	54%
			Achieved:	21%		
Indicator	Baseline CY2011-2015; N=60 DCPs (28 FCAC)		Milestone 2017		Milestone 2017 Status	Target 2020
	Overall:					
15. Proportion of DCPs with a learning assessment system within the basic education cycle that meets quality standards	Overall:	32%	First milestone set for 2018		Baseline	47%
	FCAC:	21%	First milestone set for 2018		Baseline	36%

GPE 2016-2020 Results Framework – 7/15

COUNTRY-LEVEL OBJECTIVES: Strategic Objective 1: Strengthen education sector planning and policy implementation					
Support evidence-based, nationally owned sector plans focused on equity, efficiency and learning					
Indicator	Baseline CY2014-2015; N=19 sector plans (16 ESPs and 3 TEPs)		Milestone 2017	Milestone 2017 Status	Target 2020
	16.a Proportion of endorsed (a) education sector plans (ESP) or (b) transitional education plans (TEP) meeting quality standards	Overall:			
	ESPs:	56% of ESPs met at least 5 out of 7 quality standards	First milestone set for 2018	Baseline	100%
	TEPs:	67% of TEPs met at least 3 out of 5 quality standards	First milestone set for 2018	Baseline	100%
Indicator	Baseline CY2014-2015; N=19 sector plans (16 ESPs and 3 TEPs)		Milestone 2017	Milestone 2017 Status	Target 2020
	16.b Proportion of ESPs/TEPs that have a teaching and learning strategy meeting quality standards	Overall:			
	ESPs:	50% of ESPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%
	TEPs:	100% of TEPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%

GPE 2016-2020 Results Framework – 8/15

COUNTRY-LEVEL OBJECTIVES: Strategic Objective 1: Strengthen education sector planning and policy implementation					
Support evidence-based, nationally owned sector plans focused on equity, efficiency and learning					
Indicator	Baseline CY2014-2015; N=19 sector plans (16 ESPs and 3 TEPs)		Milestone 2017	Milestone 2017 Status	Target 2020
	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)	Overall:			
	ESPs:	63% of ESPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%
	TEPs:	100% of TEPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%
Indicator	Baseline CY2014-2015; N=19 sector plans (16 ESPs and 3 TEPs)		Milestone 2017	Milestone 2017 Status	Target 2020
	16.d Proportion of ESPs/TEPs with a strategy to improve efficiency that meets quality standards	Overall:			
	ESPs:	50% of ESPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%
	TEPs:	67% of TEPs met at least 4 out of 5 quality standards	First milestone set for 2018	Baseline	100%
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					
Indicator	Baseline FY2015; N=1 ESPIG application identified with data gaps to inform key indicators		Milestone 2017 FY2017; N=0 ESPIG application identified with data gaps to inform key indicators		Target 2020
	17. Proportion of DCPs or states with a data strategy that meets quality standards	100%	Planned:	100%	
		Achieved:	n/a	100%	

GPE 2016-2020 Results Framework – 9/15

COUNTRY-LEVEL OBJECTIVES: Strategic Objective 2: Support mutual accountability through effective and inclusive sector policy dialogue and monitoring

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

Indicator		Baseline CY2015; N=35 JSRs (20 in FCAC)	Milestone 2017 CY2017; N=19 JSRs (11 in FCAC)		Milestone 2017 Status	Target 2020
			Planned:	Achieved:		
18. Proportion of joint sector reviews (JSRs) meeting quality standards	Overall:	29% of JSRs met at least 3 out of 5 standards quality	Planned:	53%	Not met	90%
			Achieved:	32%		
	FCAC:	25% of JSRs met at least 3 out of 5 quality standards	Planned:	51%	Not met	90%
			Achieved:	18%		

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

Indicator		Baseline FY2016; N=61 LEGs (28 in FCAC)	Milestone 2017 FY2017; N=62 LEGs (31 in FCAC)		Milestone 2017 Status	Target 2020
			Planned:	Achieved:		
19. Proportion of LEGs with (a) civil society and (b) teacher representation	Overall:	44% [a - 77%; b - 48%]	Planned:	48%	Met	59%
			Achieved:	53% [a - 87%, b - 56%]		
	FCAC:	55% [a - 77%; b - 58%]	Planned:	59%	Met	70%
			Achieved:	61% [a - 90%, b - 65%]		

GPE 2016-2020 Results Framework – 10/15

COUNTRY-LEVEL OBJECTIVES: Strategic Objective 3: GPE financing efficiently and effectively supports the implementation of sector plans focused on improved equity, efficiency and learning						
(a) GPE financing is used to improve national monitoring of outcomes, including learning						
Indicator	Baseline FY2015; N=53 active ESPIGs at the end of FY (29 in FCAC)		Milestone 2017		Milestone 2017 Status	Target 2020
	20. Proportion of grants supporting EMIS/learning assessment systems	Overall:	38%	First milestone set for 2018		Baseline
FCAC:		34%	First milestone set for 2018		Baseline	51%
(b) GPE financing is used to improve teaching and learning in national education systems						
Indicator	Baseline FY2016; N=13 overall,(9 FCAC)		Milestone 2017 FY2017; N=14 overall, [9 FCAC]		Milestone 2017 Status	Target 2020
	21. Proportion of textbooks purchased and distributed through GPE grants, out of the total planned by GPE grants	Overall:	74%	Planned:	78%	Met
			Achieved:	114%		
FCAC:	71%	Planned:	76%	Met	90%	
		Achieved:	118%			
Indicator	Baseline FY2016; N=30 overall, (17 FCAC)		Milestone 2017 FY2017; 38 overall (22 FCAC)		Milestone 2017 Status	Target 2020
	22. Proportion of teachers trained through GPE grants, out of the total planned by GPE grants	Overall:	86%	Planned:	87%	Met
			Achieved:	98%		
FCAC:	83%	Planned:	85%	Met	90%	
		Achieved:	90%			
(c) GPE financing is used to improve equity and access in national education systems						
Indicator	Baseline FY2016; N=25 overall (17 FCAC)		Milestone 2017 FY2017; N =28 overall, (20 FCAC)		Milestone 2017 Status	Target 2020
	23. Proportion of classrooms built or rehabilitated through GPE grants, out of the total planned by GPE grants	Overall:	65%	Planned:	69%	Met
			Achieved:	76%		
FCAC:	71%	Planned:	73%	Not met	80%	
		Achieved:	71%			

GPE 2016-2020 Results Framework – 11/15

COUNTRY-LEVEL OBJECTIVES: Strategic Objective 3: GPE financing efficiently and effectively supports the implementation of sector plans focused on improved equity, efficiency and learning**(d) The GPE funding model is implemented effectively, leading to the achievement of country-selected targets for equity, efficiency and learning**

Indicator	Baseline FY2015; N=(a) 3 ESPIG applications; (b) 0 active ESPIGs with such performance indicators due for assessment in FY15		Milestone 2017 FY2017: N=(a) 1 ESPIG applications; (b) 1 active ESPIGs with such performance indicators due for assessment in FY17		Milestone 2017 Status	Target 2020
	Overall:	(a) Not applicable (b) Not applicable	Planned:	(a) 95% (b) 90%		
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	Overall:	(a) Not applicable (b) Not applicable	Achieved:	(a) 100% (b) 100%	Met	(a) 95% (b) 90%
			Planned:	(a) 90% (b) 90%		
	FCAC:	(a) Not applicable (b) Not applicable	Achieved:	(a) 100% (b) n/a	Met	(a) 90% (b) 90%
			Planned:	(a) 90% (b) 90%		

(e) GPE financing is assessed based on whether implementation is on track

Indicator	Baseline FY2016; N=54 active ESPIGs at the end of FY (29 ¹⁴ in FCAC)		Milestone 2017 FY2017; N=48 active ESPIGs at the end of FY (27 in FCAC)		Milestone 2017 Status	Target 2020
	Overall:	80%	Planned:	82%		
25. Proportion of GPE program grants assessed as on track with implementation	Overall:	80%	Achieved:	79%	Not met	85%
			Planned:	79%		
	FCAC:	77%	Achieved:	85%	Met	83%
			Planned:	79%		

14 Revised value is 31.

GPE 2016-2020 Results Framework – 12/15

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	Baseline FY2015		Milestone 2017 FY2017		Milestone 2017 Status	Target 2020
26. Funding to GPE from nontraditional donors (private sector and those who are first-time donors to GPE)	US\$5 million		Planned:	US\$8.5 million	Met	n/a
			Achieved:	US\$10 million		
Indicator	Baseline FY2015; N=17 pledges		Milestone 2017 FY2017; N=22 pledges		Milestone 2017 Status	Target 2020
27. Percentage of donor pledges fulfilled	100% of pledges fulfilled		Planned:	100%	Met	100%
			Achieved:	100%		
Indicator	Baseline CY2010 – 2014; N=21 donors		Milestone 2017 CY2014-2016; N=21 donors		Milestone 2017 Status	Target 2020
28. Proportion of GPE donors that have (a) increased their funding for education; (b) maintained their funding	48% (a – 38%; b – 10%)		Planned:	50%	Met	56%
			Achieved:	62% (a – 57%; b – 5%)		
(d) 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						
Indicator	Baseline FY2015; N=68 active ESPIGs at any point during FY (37 in FCAC)		Milestone 2017 FY2017; N=57 active ESPIGs at any point during FY (34 in FCAC)		Milestone 2017 Status	Target 2020
29. Proportion of GPE grants aligned to national systems	Overall:	34% of ESPIGs meet at least 7 elements of alignment out of a total of 10	Planned:	41%	Not met	51%
			Achieved:	28%		
	FCAC:	27% of ESPIGs meet at least 7 elements of alignment out of a total of 10	Planned:	31%	Not met	38%
			Achieved:	24%		

GPE 2016-2020 Results Framework – 13/15

Indicator	Baseline FY2015; N=68 active ESPIGs at any point during FY (37 in FCAC)		Milestone 2017 FY2017; N=57 active ESPIGs at any point during FY (34 in FCAC)		Milestone 2017 Status	Target 2020
30. Proportion of GPE grants using (a) co-financed project or (b) sector pooled funding mechanisms	Overall:	40% of ESPIGs are co-financed or sector pooled (a – 26%; b – 13%)	Planned:	48%	Not met	60%
			Achieved:	37% {a – 25%; b – 12%}		
	FCAC:	32% of ESPIGs in FCAC are co-financed or sector pooled (a – 22%; b – 11%)	Planned:	38%		
			Achieved:	31% {a – 21%; b – 9%}		
(d) Support increased, efficient and equitable domestic financing for education through cross-national advocacy, mutual accountability, and support for transparent monitoring and reporting						
Indicator	Baseline FY2015; N=57 missions (34 to FCAC)		Milestone 2017 FY2017; N=62 missions (28 to FCAC)		Milestone 2017 Status	Target 2020
31. Proportion of country missions addressing domestic financing issues	Overall:	47%	Planned:	54%	Met	65%
			Achieved:	70 %		
	FCAC:	62%	Planned:	65%		
			Achieved:	77%		

GLOBAL-LEVEL OBJECTIVES - Strategic Objective 5: Build a stronger partnership

(a) Promote and coordinate consistent country-level roles, responsibilities and accountabilities among governments, development partners, grant agents, civil society, teachers organizations and the private sector through local education groups and a strengthened operational model

Indicator	Baseline		Milestone 2017 FY2017 N =116 respondents in 20 DCPs (72 in 12 FCAC)		Milestone 2017 Status	Target 2020
32. Proportion of (a) DCPs and (b) other partners reporting strengthened clarity of roles, responsibilities and accountabilities in DCP processes	All respondents				Met	80%
	DCPs:	n/a	Planned:	65%		
			Achieved:	65%		
	Other partners:	n/a	Planned:	65%		
Achieved:			60%			

GPE 2016-2020 Results Framework – 14/15

32. Proportion of (a) DCPs and (b) other partners reporting strengthened clarity of roles, responsibilities and accountabilities in DCP processes (continued..)	Respondents in FCAC					
	DCPs:	n/a	Planned:	65%	Not met	80%
			Achieved:	58%		
	Other partners:	n/a	Planned:	65%	Not met	80%
Achieved:			55%			
(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						
Indicator	Baseline FY2015		Milestone 2017 FY2017		Milestone 2017 Status	Target 2020
33. Number of policy, technical and/or other knowledge products developed and disseminated with funding or support from GPE	4		Planned:	21	Met	64
			Achieved:	36		
(c) Expand the partnership's convening and advocacy role, working with partners to strengthen global commitment and financing for education						
Indicator	Baseline FY2016		Milestone 2017 FY2017		Milestone 2017 Status	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	11 ¹⁵		Planned:	26	Met	65
			Achieved:	26		
(d) Improve GPE's organizational efficiency and effectiveness, creating stronger systems for quality assurance, risk management, country support and fiduciary oversight						
Indicator	Baseline FY2016; N=12 audit reports		Milestone 2017 FY2017; N=25 audit reports		Milestone 2017 Status	Target 2020
35. Proportion of significant issues identified through audit reviews satisfactorily addressed	100%		Planned:	100%	Met	100%
			Achieved:	100%		

GPE 2016-2020 Results Framework – 15/15

Indicator	Baseline FY2015; N=2,254.74 total work weeks	Milestone 2017 FY2017; N=3,297 total work weeks		Milestone 2017 Status	Target 2020
		Planned:			
36. Proportion of Secretariat staff time spent on country-facing functions	28%	Planned:	36%	Met	50%
		Achieved:	41%		
(e) Invest in monitoring and evaluation to establish evidence of GPE results, strengthen mutual accountability and improve the work of the partnership					
Indicator	Baseline FY2015; N=1 results report and 1 evaluation reports	Milestone 2017		Milestone 2017 Status	Target 2020
37. Proportion of results reports and evaluation reports published against set targets	100%	First milestone set for 2018		Baseline	100%

Note: The country-level data from the UIS February 2018 release were used to compute 2017 values of indicator 5, 12 and 14. GPE aggregates from the UIS July 2017 release was used for all other UIS-based indicators.

Source: GPE Results Framework (<https://www.globalpartnership.org/content/results-report-2018>¹⁴⁰)

¹⁴⁰ Compare to original logframe: <https://www.globalpartnership.org/content/gpe-results-framework-2016-2020>.

iv. Evaluation Matrix

Annex Table 10. Evaluation Matrix

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key question I: Has GPE-support to [country] contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?¹⁴¹ If so, then how?			
CEQ 1: Has GPE contributed to education sector planning and sector plan implementation in [country] during the period under review?¹⁴² How?			
CEQ 1.1 What have been strengths and weaknesses of education sector planning during the period under review?	<ul style="list-style-type: none"> • Extent to which the country's most recent sector plan meets GPE/UNESCO IIEP appraisal criteria.¹⁴³ <ul style="list-style-type: none"> – Plan preparation process has been country-led, participatory, and transparent – Plan constitutes a solid corpus of strategies and actions addressing the key challenges of the education sector – Issues of equity, efficiency, and learning are soundly addressed to increase sector performance – There is consistency between different components of the sector plan – Financing, implementation and monitoring arrangements offer a good perspective for achievement • Extent to which previous sector plans met current GPE or other (e.g. country specific) quality standards (if and where data is available) • Stakeholder views on strengths and weaknesses of (most recent and previous) sector planning processes in terms of: <ul style="list-style-type: none"> – Leadership for and inclusiveness of sector plan preparation – Relevance and coherence of the sector plan – Adequacy of sector plan in addressing equity, efficiency and learning issues 	<ul style="list-style-type: none"> • Current and past sector plans (including from period prior to country joining GPE if available) • GPE ESP/TSP quality assurance documents • JSR reports • Other relevant reports or reviews that comment on the quality of previous sector plans • Interviews 	<ul style="list-style-type: none"> • Pre-post analysis (where data on previous policy cycles is available) • Triangulation of data deriving from document review and interviews

¹⁴¹ OECD DAC evaluation criteria of relevance, effectiveness, and efficiency.

¹⁴² 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.

¹⁴³ Global Partnership for education, 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

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

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<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)¹⁴⁴</p>	<ul style="list-style-type: none"> • Support directed at priority needs/gaps identified by the DCP government and/or LEG • Support adapted to meet the technical and cultural requirements of the specific context in [country] • Support aimed at strengthening sustainable local/national capacities for sector planning or plan implementation • 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"> – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat) 	<ul style="list-style-type: none"> • grant performance data • Secretariat reports, e.g. country lead back to office/mission reports • GPE ESP/TSP quality assurance documents • Other documents on technical assistance/advocacy • Country-specific grant applications • Interviews • Education sector analyses • Country's poverty reduction strategy paper 	<ul style="list-style-type: none"> • Where applicable: Comparison of progress made towards ESPIG grant objectives linked to specific performance targets with those without targets (variable tranche)
<p>CEQ 1.4 Has GPE contributed to the observed characteristics of sector plan implementation? How?</p> <p>a) Through GPE EPDG, ESPIG grants-related funding requirements and the variable tranche¹⁴⁵</p>	<p>a) Contributions through GPE EPDG and ESPIG grants, related funding requirements and variable tranche (where applicable)</p> <ul style="list-style-type: none"> • Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education • Maximum allocation amounts and actual amount a country received from GPE through the fixed and/or the variable tranche and reasons for not receiving the total MCA; 	<ul style="list-style-type: none"> • ESP implementation data including joint sector reviews • GPE grant agent reports and other grant performance data 	<ul style="list-style-type: none"> • Triangulation of data deriving from document review and interviews • Where applicable: Comparison of progress made

¹⁴⁴ Technical assistance and facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy can include inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange includes cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

¹⁴⁵ Where applicable.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<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)¹⁴⁶</p>	<ul style="list-style-type: none"> • Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG. • Progress made towards targets outlined in GPE grant agreements as triggers for variable tranche, compared to progress made in areas without specific targets (where applicable) • Proportion of overall sector plan funded through GPE ESPIG • Proportion of textbook purchases planned under current/most recent sector plan funded through GPE grant • Proportion of teachers trained under current/most recent sector plan funded through GPE grant • Proportion of classrooms built under current/most recent sector plan funded through GPE grant • Progress made towards 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) • Timeliness of implementation of GPE grants (Education Sector Plan Development Grant, Program Development Grant, Education Sector Plan Implementation Grant) • Grant implementation is on budget <p>b) Contributions through non-financial support</p> <ul style="list-style-type: none"> • GPE support aimed at strengthening sustainable local/national capacities for plan implementation • Stakeholder views on relevance and appropriateness of GPE non-financial support in relation to: <ul style="list-style-type: none"> – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat) 	<ul style="list-style-type: none"> • Secretariat reports, e.g. country lead back to office/mis- sion reports • GPE ESP/TSP quality assurance docu- ments • Other documents on technical assis- tance/advocacy • Country-specific grant applications • Interviews • Education sector analyses • Country’s poverty reduction strategy paper 	<p>towards ESPIG grant objectives linked to specific performance tar- gets with those without targets (variable tranche)</p>

¹⁴⁶ Technical assistance and facilitation provided primarily through the GPE Secretariat, the grant agent and coordinating agency. Advocacy – including inputs from Secretariat, grant agent, coordinating agency, LEG, and GPE at global level (e.g. Board meetings, agreed upon standards). Knowledge exchange – including cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>CEQ 1.4 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 the 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"> • Changes in country's public expenditures on education during period under review (by sub-sector if available) <p>b) Leveraging additional finance through multiplier funding</p> <ul style="list-style-type: none"> • Extent to which country has achieved, maintained or exceeded 20% of public expenditures on education during period under review • Amount received through the GPE multiplier fund (if applicable). <p>c) Leveraging additional finance through other means</p> <ul style="list-style-type: none"> • Amounts and sources of domestic resources mobilized through GPE advocacy efforts <p>(b and c):</p> <ul style="list-style-type: none"> • Changes in relative size of GPE financial contribution in relation to other donor' contributions • 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 • 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 <p>d) Quality of education finance</p> <ul style="list-style-type: none"> • Alignment of GPE education sector program implementation grants with GPE's system alignment criteria (including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively) • Possible reasons for non-alignment or non-harmonization (if applicable) 	<ul style="list-style-type: none"> • Interviews with national actors (e.g. Ministry of Finance, Ministry of Education, Local Education Groups/ Development partner groups) • GPE data (e.g. grant documents, country commitments and disbursements, donor pledges and contributions) • Creditor Reporting System (CRS) by OECD-DAC • UIS data by UNESCO • National data (e.g. Education Management Information Systems, school censuses and surveys, National Education Accounts, Joint Sector Reviews, public expenditure reviews) 	<ul style="list-style-type: none"> • Trend analysis for period under review • Comparative analysis (GPE versus other donor contributions) • Triangulation of quantitative analysis with interview data

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, then how?			
CEQ 2.1 Has sector dialogue changed during the period under review?	<ul style="list-style-type: none"> • Composition of the country's LEG (in particular civil society and teacher association representation), and changes in this composition during period under review • Frequency of LEG meetings, and changes in frequency during period under review • Stakeholder views on changes in sector dialogue in terms of: <ul style="list-style-type: none"> – Inclusiveness – Frequency, consistency, clarity of roles and responsibilities – Relevance (i.e. perceptions on whether stakeholder input is taken into account for decision making) – Quality (evidence-based, transparent) 	<ul style="list-style-type: none"> • LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • ESP/TSP, and documents illustrating process of their development • Back to office reports/memos from Secretariat • Interviews 	<ul style="list-style-type: none"> • Pre-post comparison • Triangulate results of document review and interviews • Stakeholder analysis and mapping
CEQ 2.2 Has sector monitoring changed?	<ul style="list-style-type: none"> • Frequency of joint sector reviews conducted, and changes in frequency during period under review • Extent to which joint sector reviews conducted during period of most recent ESPIG met GPE quality standards (if data is available: compared to JRSs conducted prior to this period) • Evidence deriving from JRSs is reflected in DCP government decisions (e.g. adjustments to sector plan implementation) and sector planning • Measures in the current sector plan to strengthen sector monitoring (especially monitoring the quality of teaching and learning, equity, equality and inclusion) are implemented • Stakeholder views on changes in JRSs in terms of them being: <ul style="list-style-type: none"> – Inclusive and participatory – Aligned to existing sector plan and/or policy framework – Evidence based – Used for learning/informing decision-making 	<ul style="list-style-type: none"> • LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews 	<ul style="list-style-type: none"> • Pre-post comparison • Triangulate the results of document review and interviews

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – Embedded in the policy cycle (timing of JSR appropriate to inform decision making; processes in place to follow up on JRS recommendations)¹⁴⁷ • Stakeholder views on extent to which current practices of sector dialogue and monitoring amount to ‘mutual accountability’ for the education sector. 		
<p>CEQ 2.3 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 support¹⁴⁸</p>	<p>a) Grants and funding requirements</p> <ul style="list-style-type: none"> • Proportion of EMIS-related improvements outlined current/most recent sector plan funded through GPE grant <p>b) Non-grant related support</p> <ul style="list-style-type: none"> • Support is targeted at issues identified as priorities by DCP government and/or LEG • Support is adapted to meet the technical and cultural requirements of the specific context in [country] • Support is aimed at strengthening local/national capacities for conducting inclusive and evidence-based sector dialogue and monitoring <p>a) and b)</p> <ul style="list-style-type: none"> • 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"> – Addressing existing needs/priorities – Respecting characteristics of the national context – Adding value to country-driven processes (e.g. around JSRs) 	<ul style="list-style-type: none"> • LEG meeting notes • Joint sector reviews or equivalents from before and during most recent ESPIG period • GPE sector review assessments • Grant agent reports • Back to office reports/memos from Secretariat • Interviews 	<ul style="list-style-type: none"> • Triangulate the results of document review and interviews
<p>CEQ 3: Has GPE support had unintended/unplanned effects? What factors other than GPE support have contributed to observed changes in sector planning, sector plan implementation, sector financing and monitoring?</p>			
<p>CEQ 3.1 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</p>	<ul style="list-style-type: none"> • Changes in nature and extent of financial/non-financial support to the education sector provided by development partners/donors (traditional/non-traditional donors including foundations) • Contributions to sector planning, plan implementation, sector dialogue or monitoring made by actors other than GPE • Changes/events in national or regional context(s) 	<ul style="list-style-type: none"> • Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors 	<ul style="list-style-type: none"> • Triangulate the results of document review and interviews

¹⁴⁷ Criteria adapted from: Global Partnership for Education. Effective Joint Sector Reviews as (Mutual) Accountability Platforms. GPE Working Paper #1. Washington. June 2017. Available at: <https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews>

¹⁴⁸ 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
implementation, and in sector dialogue and monitoring?	<ul style="list-style-type: none"> – Political context (e.g. changes in government/leadership) – Economic context – Social/environmental contexts (e.g. natural disasters, conflict, health crises) – Other (context-specific) 	<p>related implications for [country]</p> <ul style="list-style-type: none"> • Relevant studies/reports commissioned by other education sector actors (e.g. donors, multilateral agencies) regarding nature/changes in their contributions and related results • Government and other (e.g. media) reports on changes in relevant national contexts and implications for the education sector • Interviews 	
CEQ 3.2 During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?	<ul style="list-style-type: none"> • Types of unintended, positive and negative, effects on sector planning, sector financing, sector plan implementation, sector dialogue and monitoring deriving from GPE funding (grants) • Types of unintended, positive and negative, effects deriving from other GPE support. 	<ul style="list-style-type: none"> • All data sources outlined for CEQs 1 and 2 above • Interviews 	<ul style="list-style-type: none"> • Triangulate the results of document review and interviews
Key question II: Has the achievement of country-level objectives¹⁴⁹ contributed to making the overall education system in [country] more effective and efficient?			
CEQ 4 During the period under review, how has the education system changed in relation to:	<ul style="list-style-type: none"> a) Quality of teaching/instruction • Changes in pupil/trained teacher ratio during period under review 	<ul style="list-style-type: none"> • Education Management Information System (EMIS) 	<ul style="list-style-type: none"> • Pre-post comparison of statistical

¹⁴⁹GPE 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
<p>a) Quality of teaching/instruction</p> <p>b) Evidence-based, transparent decision making¹⁵⁰</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>	<ul style="list-style-type: none"> • Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school) b) Evidence-based, transparent decision making • Changes in number of education indicators that country reports to UIS during period under review • Changes in whether country has quality learning assessment system within the basic education cycle during period under review • Other, country-specific indicators illustrating changes in evidence-based, transparent data collection, reporting and decision making c) Indicators for specific areas of education systems strengthening as outlined in the country's current sector plan related to: <ul style="list-style-type: none"> • Sector management (e.g. changes in ministerial, district and/or school level management structures, guidelines, staffing, financing, approaches to ensuring effective and efficient use of resources) • 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) • Equity (removal of barriers to school participation for all learners; creating inclusive learning environments) <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"> • UIS data • World Bank data • Household survey data • ASER/UWEZO other citizen-led surveys • Grant agent progress reports • Implementing partner progress reports • Mid-term Evaluation reports • GPE annual Results Report • Appraisal Reports • Public expenditure reports • CSO reports • SABER database • Education financing studies • Literature on good practices in education system domains addressed in country's sector plan • Interviews 	<p>data for periods under review</p> <ul style="list-style-type: none"> • Triangulate the results of document review with statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening

¹⁵⁰ Sub-questions a) and b) reflect indicators under Strategic Goal #3 as outlined in the GPE results framework. Sub-question c) explores additional, country-specific indicators for system-level change.

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

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

Source: Inception Report (Universalia et al., 2017)

Annex F Mapping of Malawi-specific Assumptions against IR

The table below maps the underlying assumptions of the Malawi-specific TOC against the assumptions in the generic TOC as included in the inception report.

Annex Table 11. Underlying TOC assumptions – comparison

Contribution Claim	Underlying Assumptions in the Generic ToC ¹⁵¹	Underlying Assumptions in the Malawi ToC
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	Country level stakeholders have the capabilities (knowledge and skills), opportunities (resources, conducive external environment), and motivation (political will, incentives) to jointly and collaboratively improve sector analysis and planning	See Assumption #2,6
	GPE has sufficient leverage within the country for GPE financial and non-financial support to influence sector planning, including LEG existence and functioning	See Assumption #19
	EMIS and learning assessment and reporting systems (LAS) produce relevant and reliable data	See Assumption #7
GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to mutual accountability for education sector progress	GPE has sufficient leverage at global and country levels to positively influence LEG existence and functioning.	See Assumption #19
	Country level stakeholders have the capabilities (knowledge and skills), opportunities (including resources), and motivation (including political will and incentives) to work together to solve education sector issues	See Assumption #6
GPE advocacy and funding requirements contribute to more and better financing	GPE has sufficient leverage to influence the amount of and the quality of domestic and international education sector financing.	See Assumption #19
	External (contextual) factors permit national and international actors to increase/improve the quality of education sector financing	See Assumption #4,12
GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans	Relevant country-level actors have the technical capabilities, motivation (political will, incentives) and opportunity (funding, conducive environment) to implement all elements of the sector plan.	See Assumption #19
	Available domestic and international funding is sufficient in quantity and adequate in	See Assumption #4,11,12

¹⁵¹ As provided in 'Appendix XVI Explanatory mechanisms and key underlying assumptions in the generic country ToC', *Design and Implementation of GPE 2020 Country-Level Evaluations 2017 - 2020*, 21 December 2017, p. 115 - 118.

Contribution Claim	Underlying Assumptions in the Generic ToC ¹⁵¹	Underlying Assumptions in the Malawi ToC
	<p>quality to implement all elements of the sector plan.</p> <p>Country-level development partners have the motivation and opportunity (e.g. directive from respective donor government) to align their own activities with the priorities of the sector plan and to work through the LEG as a consultative and advisory forum</p> <p>Country-level stakeholders take part in regular, evidence-based joint sector reviews and apply recommendations deriving from these reviews to enhance equitable and evidence-based sector plan implementation</p> <p>The sector plan includes provisions for strengthening EMIS and LAS to produce timely, relevant and reliable data</p>	<p>See Assumption #3</p> <p>See Assumption #10</p> <p>See Assumption #7,10,13</p>
<p>The development, implementation and monitoring of realistic evidence based sector plans contributes to positive changes at the level of the overall <i>education system</i></p>	<p>Education sector plan implementation leads to improvements of previous shortcomings in the education system including related to each of, as well as to the interaction between elements, such as Sector Management, Learning, and Equity</p> <p>There is sufficient national capacity (technical capabilities, political will, resources) or relevant technical assistance to analyze and report on available data and maintain EMIS and LAS.</p> <p>There are clearly delineated roles and responsibilities to produce data, report against data, and use data to monitor implementation</p>	<p>See Assumption #17</p> <p>See Assumption #7</p> <p>See Assumption #7,10,13,17</p>
<p>Education system-level improvements result in <i>improved learning outcomes</i> and in <i>improved equity, gender equality</i></p>	<p>Changes in the education system positively affect learning outcomes and equity</p> <p>Country-produced data on equity, efficiency and learning allow measuring/tracking these changes</p>	<p>See Assumption #20</p> <p>See Assumption #13</p>

Annex G Risks to the Evaluation, Quality Assurance and Ethics

Risks to the Evaluation

1. Annex Table 12 below outlines the key anticipated risks and limitations as outlined in the risk management and contingency plan section of the Inception Report (Universalialia et al., 2017). It also puts forward the anticipated mechanisms to mitigate risks.

Annex Table 12. Key Anticipated Risks and Limitations, and Proposed Mitigation Mechanisms

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p>Delays in the timing of the 24 country visits</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 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>Conflict or fragility undermine the ability of our teams to conduct in-country data collection for summative or prospective evaluations</p> <p>Consequences: international consultants cannot conduct in-person data collection on the ground. Delays in conduct 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 being 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>Interventions are not implemented within the lifecycle of the evaluation</p> <p>This constitutes a risk in particular 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 didn't take place and the extent to which such factors were within GPE's control.</p>
<p>Large data and evidence gaps</p> <p>Consequences: Inability to conduct reliable trend analysis. Lack of a solid basis on which to assess country progress made in strengthen the overall education system and education outcomes, as well as GPE contributions along the theory of change.</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, adjusting 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 identifying data gaps and implications for data analysis in all deliverables</p>
<p>Structure of available data is limiting</p> <p>To assess education sector progress, the evaluation team will use the best data available at country level.</p>	<p>As qualitative synthesis does not bring the same limitations, we will mitigate this risk by describing differences in measurement criteria across countries.</p>

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p>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>Inaccessibility of in-country partners, resulting in incomplete data sets, limited triangulation, partners not fully seeing their views reflected in, and therefore reject evaluation findings and forward-looking suggestions; increase in costs and time required for data collection; 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 mission to explore their availability</p> <p>Data collection via email, telephone Skype, or through local consultant before or after site visit</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 same stakeholder group if key envisaged informants are not available</p>
<p>Being part of an evaluation changes the behavior of actors, independent of GPE support</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>Evaluations (perceived to be) not sufficiently independent from the Secretariat 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>Prospective country evaluation teams becoming excessively sympathetic to GPE or others through repeat visits</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 below, as well as feedback received from the ITRP will allow identifying any cases where prospective evaluation reports provide insufficient evidence for overly positive assessments.</p>
<p>Countries no longer willing to participate, or wish to withdraw partway through an (prospective) evaluation</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>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 of especially the prospective evaluations</p>

Quality Assurance

2. Our consortium is committed to providing high-quality reports to GPE. The Team Leader, working with the Itad coordinator, will play the principal roles with respect to liaison and coordination with the Secretariat regarding quality assurance throughout the assignment. Annex Table 13 below provides an overview of our approach to ensuring the high quality of all deliverables submitted to the Secretariat.

Annex Table 13. Quality Assurance Mechanisms

Prospective country evaluations	<ul style="list-style-type: none"> • Internal quality assurance: 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. • Independent quality assurance: 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. • External quality assurance: 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, the ITRP and country stakeholders.¹⁵²
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Ethics

3. 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.

4. For this evaluation the work of the evaluation team will be guided by: OECD-DAC Evaluation Quality Standards for Development Evaluation;¹⁵³ UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System;¹⁵⁴ the World Bank's principles and standards for evaluating global and regional partnership programs;¹⁵⁵ ALNAP's Evaluation of Humanitarian Action Guide;¹⁵⁶ the Sphere Handbook and Standards for Monitoring and Evaluation;¹⁵⁷ and guidance on Ethical Research Involving Children.¹⁵⁸

¹⁵² No feedback was received from country stakeholders.

¹⁵³ <http://www.oecd.org/development/evaluation/qualitystandards.pdf>

¹⁵⁴ <http://www.uneval.org/document/detail/21> and <http://www.uneval.org/document/detail/22> , <http://www.uneval.org/document/detail/102> and <http://www.unevaluation.org/document/detail/100>

¹⁵⁵ <http://siteresources.worldbank.org/XTGLOREGPARPROG/Resources/sourcebook.pdf>

¹⁵⁶ <http://www.alnap.org/resource/23592.aspx>

¹⁵⁷ <http://www.sphereproject.org/silo/files/sphere-for-monitoring-and-evaluation.pdf>

¹⁵⁸ <http://childethics.com/>

Annex H Interview Guides

1. These guidelines are not intended as questionnaires. It will not be possible to cover all issues in all categories with all individuals or groups. The evaluation team members will use their judgement and focus on areas which are likely to add most to the team's existing knowledge, while allowing interviewees and groups to highlight the issues that are most important to them.
2. The evaluators will formulate questions in a (non-technical) way that respondents can easily relate to, while generating evidence that is relevant to the evaluation questions that the evaluators have in mind.

Approach to Interviews

3. Interviews will be a major source of information for this evaluation. These will be a means to extract evidence, as well as to triangulate evidence drawn from other interviews and the document review and will form part of the consultative process.
4. A stakeholder analysis as presented in baseline report will inform the selection of interviewees. Over the evaluation period the evaluation team aims to target a comprehensive range of stakeholders that fully represent all significant institutional, policy and beneficiary interests. The team will periodically review the list of those interviewed to ensure that any potential gaps are addressed and to prevent under-representation of key stakeholders.
5. All interviews will comply with the team's commitment to the respective evaluation ethics. (The work of the evaluation team will be 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.)¹⁵⁹
6. Interviews will be conducted in confidence and usually on a one-to-one or one-to-two basis (to enable note taking). Reports will not quote informants by name and will not include direct quotes where it could risk revealing the participant's identity or attribution without prior consent.
7. A protocol and standard format for recording interview notes is presented below. This will be used for all interviews and will ensure systematic recording of details, while allowing for flexibility in the specific questions asked. Interview notes will be written up, consolidated into an interview compendium and shared among team members via the internal team-only e-library. To respect interviewee confidentiality, the interview notes will be accessible only to team members. The compendium of interview notes will facilitate analysis across all interviews and will enable searches on key thematic terms, initiatives and so on. This will maximize the analytical potential of interviews and the possibilities for triangulation.

Focus group discussions

8. The evaluation team may also make use of focus group discussions (FGDs). Similar to the interview guides, the sub-headings and discussion guide points used are linked to the areas of enquiry and evaluation questions set out in the evaluation matrix, and are intended as a guide only, for the evaluation team to follow flexibly in order to maximize its learning from each discussion group.
9. All focus group discussions will comply with the ET's commitment to appropriate evaluation ethics (as referenced above).

¹⁵⁹ See references cited in Annex F.1.14

Annex Table 14. Interview template

Date of Interview:			
Location:	<i>Include whether remote or face-to-face</i>		
Team members present:			
Notes by:		Date completed:	
Interviewees			
Name	m/f	Designation (position/unit/organisation):	Contact (email/phone)
<i>add rows for additional people.</i>		<i>Give sufficient information for the list of people consulted in our reports</i>	

Interviewee background

Interviewee's relevance to the CPE

Main topic

Use topic headings, not necessarily in order discussed

Subtopic

Main topic

Subtopic

Recommended follow-up

People to consult

Recommended documents/data

Annex I People Consulted

Annex Table 15. List of people consulted

ORGANIZATION (ALPHABETICAL ORDER)	FIRST NAME/LAST NAME	TITLE (AND DEPARTMENT)	M/F
Civil Society Education Coalition (CSEC)	Clara Makonyola	Finance & Admin Manager	F
Civil Society Education Coalition (CSEC)	Peter Kayenda	Research, Monitoring & Evaluation Manager	M
DFID	Chikondi Maleta	Education Specialist	M
DFID, GPE Co-coordinating Agency	Sabina Morley	Education Advisor	F
EU	Lena Veierskov	Education Manager	F
German Embassy	Dagmar Krenz	Deputy Head Cooperation	F
JICA	Chisato Maruyama	Education Coordinator	F
KfW	Ann-Christine Schwagman	Assist Education Advisor	F
KfW	Lamulo Nsanja	Senior Country Economist	M
Ministry of Finance	Lucious Chipendo	Assistant Budget Director	M
MoEST	Hon. Bright Msaka, SC	Minister	M
MoEST	Bodgers Gwedeza	GPE Project Financial Specialist	M
MoEST	Christopher Naunje	GPE Project Facilitator	M
MoEST	Edwin Kanyoma	Deputy Director and GPE Focal Point	M
MoEST	Esmie Saka	Chief Accountant	M
MoEST	Jean Chiona	GPE Component Coordinator,	F
MoEST	Justin Saidi	Principal Secretary	M
MoEST	Macleod Mwale	Chief Statistician, EMIS Unit	M
MoEST	Mahala Nthengwe	GPE Project M&E Specialist	M
MoEST	Precious Ntotha	Director of Finance	F
MoEST	Silvester Tsokonombwe	GPE Project Procurement Specialist	M
MoEST	Thokozile Banda	Chief Director	F
MoEST, Lilongwe District	Lawford Palani	District Commissioner	M
MoEST, Lilongwe Rural West District	Innocent Hauya	Education Manager	M
Royal Norwegian Embassy	Vigdis Aaslund Cristofoli	Counsellor-Education & GPE Coordinator (2017)	F
Teachers Union of Malawi	Alinafe Katsulukuta	Assist Administrative Officer	F
Teachers Union of Malawi	Elton Chauluka	Deputy Treasurer General	M
Teachers Union of Malawi	Ernest Chirwa	Treasurer General,	M
Teachers Union of Malawi	Gerard Ngambi	ICT Officer	M

ORGANIZATION (ALPHA-BETICAL ORDER)	FIRST NAME/LAST NAME	TITLE (AND DEPARTMENT)	M/F
Teachers Union of Malawi	Tamanda Kapindu	Administrative Officer	F
World Bank	Innocent Mulindwa	Senior Education Specialist	F

Annex Table 16. Participants in debriefing session

ORGANIZATION (ALPHA-BETICAL ORDER)	FIRST NAME/LAST NAME	TITLE (AND DEPARTMENT)	M/F
EU, GPE Coordinating Agency	Lena Veierskov	Education Manager	F
GIZ	Ingar During		F
JICA	Chisato Maruyama	Education Coordinator	F
MoEST	Alick Banda		M
MoEST	Chikondano Mussa	Director for Secondary & Distance Learning	F
MoEST	Edwin Kanyoma	Deputy Director and GPE Focal Point	M
MoEST	Ellen Simango	Deputy Director Basic Education	F
MoEST	Felix Sanyala		M
MoEST	Justin Saidi	Principal Secretary	M
MoEST	Lindiwe Chide	Dept. Inspectorate Advisory Service	F
MoEST	Louis Jumpha	Finance	M
MoEST	Mary Chirwa	Department Teacher Education Development	F
MoEST	Rose Kalizanag'one	Higher Education	F
MoEST	Steffan Nippes		M
UNICEF	Kimana Milhang'i		M
World Bank	Michal Mambo		M

Annex J Plausibility of Contribution Claims: Qualitative Stakeholder Assessment

1. With regard to the six contribution claims listed in section 0, Table 11, all those interviewed during the field visit to Malawi in April 2018 were asked to provide their assessment with regards to each, and provide a sense of the progress to date. Annex Table 17 below provides a brief summary of the main points raised by all those interviewed, which will be compared with their responses over the next two years.

Annex Table 17. Summary of evidence

Key Area of GPE's work	Summary of Evidence	
	Strengths	Weaknesses
The contribution of GPE (financial and non-financial) support to the <i>development</i> of government owned, credible and evidence-based sector plans focused on equity, efficiency and learning	<ul style="list-style-type: none"> • High quality inputs, focused MESIP into a feasible/ implementable plan • Strong alignment between Sector Plan, MESIP and needs of Basic Education, especially in terms of gender and equity • GPE support complements several interventions of relevant government and development partners • GPE support is being implemented according to what was planned, but not always on schedule 	<ul style="list-style-type: none"> • Process seen as very onerous/ time- consuming • exhaustive design process – questions regarding the high transaction costs of the design process related to the level of funding • MoEST and DPs seeking funding elsewhere for financing revisions to ESP as reluctant to use GPE processes and procedures
The contribution of GPE (financial and non-financial) support for inclusive sector planning and joint monitoring to <i>mutual accountability</i> for education sector progress	<ul style="list-style-type: none"> • Strong focus on inclusivity • Broad spectrum of role players actively participating in different structures • Monitoring data routinely shared in Meetings 	<ul style="list-style-type: none"> • Irregularity of meetings • Whilst dialogue and sector monitoring is seen by many as largely transparent, questions remain as to who is being accountable to whom • Meetings may discuss progress, but there is often little time/space to critique progress and plan remedial actions
The contribution of GPE advocacy and funding requirements to more and better financing for education in the country	<ul style="list-style-type: none"> • Common Funding Mechanism being implemented • Influencing DPs to combine and harmonize resources through this process • Announcement by Government of Malawi at GPE Replenishment Conference (February 2018) to increase public education expenditure from 24% in 2018 to 31% in 2020 • At least two donors are currently in the process of 	<ul style="list-style-type: none"> • Funding remains outside of government • Governance/ financial management concerns remain and may influence further participation by DPs • Some DPs believe too much focus on Basic Education and thus are moving into other sectors which they believe have been neglected

Key Area of GPE's work	Summary of Evidence	
	Strengths	Weaknesses
	finalizing investing substantial additional funds in the sector. ¹⁶⁰	
The contribution of GPE (financial and non-financial) support and influence to the effective and efficient <i>implementation</i> of sector plans	<ul style="list-style-type: none"> GPE grant has triggered greater commitment by GoM to finance basic education 	<ul style="list-style-type: none"> Much of the agents overseeing implementation are not resourced by GPE (e.g. component managers are on inferior salary scale to PFT, CA are expected to provide considerable facilitation but without additional resources and are expected to do their 'day job'). Many outside MoEST question whether the Ministry has the capacity to implement, yet very little of the grant is earmarked for either capacity building or recruiting additional capacity
Development, implementation and monitoring of realistic evidence based sector plans contributes to positive changes at the level of the overall <i>education system</i>	<ul style="list-style-type: none"> Too early to tell to what extent planned sector outcomes have been attained, in particular. Too early to tell whether GPE has contributed to increased and more equitable access to education in Malawi. Steps are being taken to gather evidence on progress. For instance, considerable effort and resources currently being expended to improve the reliability and validity of relevant tools (e.g. MLA, EMIS, SACMEQ, MLSS). Should all the different tools finally become operational, there should be an opportunity to provide a robust triangulation of the evidence in order to assess whether or not the expected objective is achieved 	
Education system-level improvements result in improved learning outcomes and in improved equity, gender equality, and inclusion in education	<ul style="list-style-type: none"> The scale, and approach, of any GPE contribution will depend on how the preceding claims work out in practice. Moreover, as per the previous claim, reviews of ESIP I provide a mixed picture of success to date with regards to whether there have been any improvements and whether these have led to any noticeable change in terms of equity, equality and inclusion in Malawi. It is too early to tell whether ESIP II will meet with greater success and so it is not yet known whether this claim is plausible. The PE will continue to monitor such data but that the leads in influence and the lags in reporting mean that it will not be possible, within the reporting timeframe of the PE, to make definitive contribution claims about GPE's contribution during the evaluation period to all of these outcomes. The PE will endeavor to assess as robustly as possible whether, and if so how, GPE influence in each of these dimensions has been positive. Moreover, contributions to equity, gender equality and inclusion will be more susceptible to firm conclusions during the PE period. 	

Source: Authors' compilation on the basis of interviews

¹⁶⁰ Both development partners are still to finalise their commitment and asked that they not be named in the report, albeit to note that one of the DPs is likely to more than double their current investment in Basic Education.

Annex K Findings of Previous Evaluations & Reviews

1. Evaluation reports consulted include the following (and already referenced and referred to throughout the main narrative report include:

- Education Sector Plan Review, Report prepared by Mambo MN., Cole P., & Ndala K. (Sept 2012), submitted to MoEST (and 2012 JSR).
- Heart, on behalf of DFID (November 2014) 'Report on Appraisal of the Second Education Sector Implementation Plan (ESIP II) on behalf of Development Partners and Local Education Group in Malawi'.
- MoEST, 2017 'Review Report for National Education Sector Plan 2008 – 2017, and the Education Sector Implementation Plan II 2013/14 – 2017/18' (October, 2017).

Review of ESIP I

2. The 2012 Review¹⁶¹ covered the implementation of the Education Sector Implementation Plan (ESIP) (2009-2013). It was commissioned by GIZ on behalf of MoEST. The main findings of the review included:

- a) There was overly ambitious planning not linked to the budget. Many annually planned activities were not completed and were carried over to the next year.
- b) Monitoring structures worked well: TWGs met regularly to review implementation progress. SWGs met every quarter, involved all the stakeholders and produced SWG reports. Joint Annual Sector Reviews reviewed implementation over the year for each sub-sector, leading to a signed Aide Memoire that highlighted areas that needed to be addressed.
- c) EMIS quality had improved over time and had been very useful in planning and monitoring ESIP activities.
- d) Procurement delays resulted in inefficiencies in ESIP implementation. None of the targets that were set for the provision of infrastructure were met, although it was noted that there were noticeable improvements in the completion of infrastructure projects in 2011/12.

3. With specific reference to Basic Education, the review found that there had been several achievements during the four years, but at the same time further work was urgently needed. Points included:

- a. Enrollment and the number of ECD centres had increased and at the current rate of expansion it was likely that the NESP target that 80% of children aged 5 and below should have access to ECD would be met by 2017. Many ECD care givers were however untrained and there was lack of government support to improve community ECD centres. Many areas still faced the challenge of limited access to ECD.
- b. Primary Education enrollment was increasing at 3.3% per annum with a welcome increase in special needs enrollment of 6.9% per annum over the period 2007 to 2011, although from a small base.
- c. The number of primary teachers in all schools had increased over the period 2006 to 2011 from 41,637 to 51,529. However, the PTR increased from 76:1 in 2006 to 81:1 in 2009 and had since declined back to 76:1. PQTR had however increased since 2006 from 84:1 to 92:1 showing that there was still need for trained teachers. Without a substantial increase in the number of teachers, the NESP target of a primary PTR of 57:1 by 2017 would not be met.

¹⁶¹ Education Sector Plan Review, Report prepared by Mambo MN., Cole P., & Ndala K. (Sept 2012), submitted to MoEST (and 2012 JSR).

- d. Only 16% of the targeted primary classrooms under ESIP had been constructed between 2007 and 2011. While the PCR had fallen from 116:1 in 2009 to 105:1 in 2011 it was unlikely that the NESP target of 79:1 by 2017 would be met. ESIP had however succeeded in improving gender parity in primary schools with the enrollment of girls above the targeted 50%.
4. With regards to equity, the review made little mention of any progress achieved. Nor was there any mention of learning outcomes. Instead much of the review focused on the extent to which planned activities were either implemented or not implemented. In this regard, the review identified a number of failings regarding ESIP I, including:
- Insufficient teaching and learning materials,
 - No replenishing of textbooks,
 - Only 300 of the targeted 1500 classrooms were constructed (and no community grants were issued to enable communities to construct planned 30 classrooms per annum),
 - About half the number of sanitation facilities were constructed,
 - Very little progress on distributing teachers equitably in the rural areas,
 - Very little done to address the housing shortage for teachers.

Review of ESIP II

5. The most recent review of ESIP II provides an overview of progress to date, including a perspective on progress within Basic Education¹⁶². The review also coincides with the ten-year anniversary of the ESP, and rather soberly notes (p.ix)

Our overriding summary, two-part finding is that (i) the reasonable policies, programs, plans and strategies of the past ten years (and before) have yielded results that are well – below expectations, and ii) issues related to implementation capacities pose the major challenge to attaining these expectations.

6. Moreover, the review also notes that whilst the development of plans as been robust and the plans developed have been of reasonable quality, the challenge remains with implementing these plans. The review thus highlights a range of implementation challenges including systemic issues (such as insufficient human resources), technical know-how, insufficient hardware (such as weak ICT, lack of Transportation, crumbling infrastructure and so on), lack of reliable data to inform decision making and so on. Most of which resonate with earlier diagnostic studies of the sector, including the PAD. Certainly at the time of the review (October 2017) little appears to have changed since the PAD of 2015.

7. With regards to Basic Education the review found that progress is being made against the relevant indicators and strategies as espoused in the NESP. In terms of the policy priorities, relevant activities implemented have seen
- Gender Parity being achieved
 - Increase in the hours of the school day
 - Learning centres being introduced in ten districts
 - Improving the distribution of textbooks
 - Introducing the new Monitoring of Learning Achievement
 - Cluster system being piloted
 - Decentralizing procurement of teaching and learning materials

¹⁶² Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report, 5 October 2017. Prepared by MoEST.

8. Significant challenges remain with regards to the policy priorities of the ESP, including:
 - Ensuring adequate and suitable deployment of teachers in the sector, and
 - Reducing repetition (and a range of other learning outcome challenges discussed below in section 3.2.6)
9. In addition, the review also raised concerns about DP resources increasingly moving off budget, the extent to which there is a 'viable and active partnership' between MoEST and DPs (p.x), and the extent to which there is mutual accountability in the sector.

Annex L Malawi Stakeholder Analysis

1. The stakeholder analysis below (Annex Table 18) is for the prospective evaluation of GPE's work in Malawi. The table illustrates which stakeholders are active in the education role, whether or not they have a role vis-à-vis GPE, to what extent they should be rated as important with regards to this evaluation. The table also provides additional information on their involvement in the sector.

Annex Table 18. Stakeholder analysis

Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
<i>Country-level stakeholder analysis</i> ¹⁶³		
<i>Central government</i>		
Ministry of Education, Science and Technology: <ul style="list-style-type: none"> • Secretary of Education, Science and Technology (SEST) • Program Facilitation Team (PFT, headed by MoEST Director of Planning) • Local Development Fund (LDF) • Basic Education Directorate • Education Planning Directorate • Education Infrastructure Management Unit (EIMU) • Department of Teacher and Education Development (DTED) • Department of Inspection and Advisory Services (DIAS) • Malawi Institute of Education (MIE) • Education Management Information (EMIS) Unit • M&E Unit • Procurement and Supplies Unit • Department of Finance 	Chairs the Local Education Group Main partner for GPE grant design and implementation Responsible for shaping and implementing education sector policy and managing related financing. Responsible for implementation of the Education Sector Strategic Plan (ESSP) ¹⁶⁴ Has a particular interest in issues related to capacity development as the direct institutional beneficiary. SEST co-chairs the ESIP-II Steering Committee with the Coordinating Agency	Key informants. Will be interviewed in person during country visits. Importance: High. Influence: High. Interest: High
Ministry of Finance, Economic Planning and Development	Ensures financial execution of the PRGSP	Key informants at country level. Will be interviewed in person during country visits.

¹⁶³ The global-level stakeholder analysis is identical across country case studies (see Inception Report, Universalialia et al., 2017) and does not need to be repeated in this table.

¹⁶⁴ MoEST, 2008.

Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
	Responsible for budget allocations to the education sector and key informants for questions on additionality of GPE funding. Important for donor harmonization and use of mechanisms such as pooled funding.	Importance: High. Influence: High. Interest: High
Other Line Ministries involved in, or relevant for (basic) education, equity and equality issues: Ministry of Civic Education, Culture and Community Development Ministry of Gender, Children, Disability and Social Welfare Ministry of Local Government and Rural Development Ministry of Health		Informants. Will be interviewed during country visits if consultation is advised by Ministry of Education, other LEG members and/or grant agent. Importance: Moderate Interest: Moderate Influence: Low
Decentralized administration ¹⁶⁵		
District Education Manager	Responsible for administration of all sectors at district level	Key for implementation on the ground, therefore, a key task for this PE will be to track whether capacity is built at local sub-national level to implement.
District Education Officers	Important role in service delivery of primary education	
District and Zonal EMIS Officers	Zonal EMIS Officers have been newly established in 120 zones with the aim to decentralize and strengthen data collection efforts	
Primary Education Advisor	Responsible for supervision of and support to primary schools and continuing professional development of teachers	
Non-governmental organizations: <ul style="list-style-type: none"> • Civil Society Education Coalition (CSEC) • Save the Children • Action Aid Malawi 	In most countries, members of the LEG, albeit with varying degrees of influence and capacity. Key stakeholders within the GPE operational model.	Key informants at country level. Will be interviewed in person during country visits – regardless of whether nongovernmental organizations are or are not part of the LEG. Importance: High

¹⁶⁵ The GoM adopted a National Decentralization Policy in 1998 to improve the targeting to those most in need and for decision-making to be closer to schools. The Local Government Act of 1998 established 34 education districts, each of which was divided into 10-20 zones and was responsible for the delivery of primary education. The national MoEST retains overall responsibility for the education sector, with responsibility for supervision, quality assurance and the maintenance of primary schools devolved to District Councils. Primary Education Advisors (PEAs) were appointed and made responsible for supervision of and support to primary schools and the continuing professional development of teachers. (see PAD, p.3, World Bank, 2016b).

Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
		Influence: Interest: High
Local Education Group/SWG	Chaired by MoEST, co-chaired by EU Includes: <ul style="list-style-type: none"> • DPs: JICA, DFID, UNICEF, EU, KfW, USAID, World Bank, German Embassy, Norway, AfDB, GIZ • Government Representatives: from MoEST, Ministry of Local Government and Rural Development, Ministry of Finance, Economic Planning and Development, Ministry of Gender, Children, Disability and Social Welfare • CSOs led by the Civil Society Education Coalition (CSEC) • Teachers Union of Malawi Responsible for leading, coordinating and guiding education sector programs, initiatives and reforms Also acts as interface between national and provincial Government, DPs, and CSOs. Provides advisory support to the ESIP-II Steering Committee through regular joint meetings (PAD p. 84, World Bank, 2016b)	Importance: High Influence: High Interest: High
Teachers Union of Malawi National Parent and Student Association Teacher organizations, Educational Institutions in country (e.g., textbook producers, teacher training institutions) Churches/Religious institutions	Should be part of the LEG, or at least otherwise engaged in sector dialogue processes. Key stakeholder group in view of ensuring quality instruction to facilitate learning outcomes.	Informants. Will be interviewed during country visits if/as feasible and relevant. If not represented on the LEG, the evaluation team will elicit suggestions from the DCP government, grant agent and (other) LEG members on what organizations/institutions and related individuals to consult with.

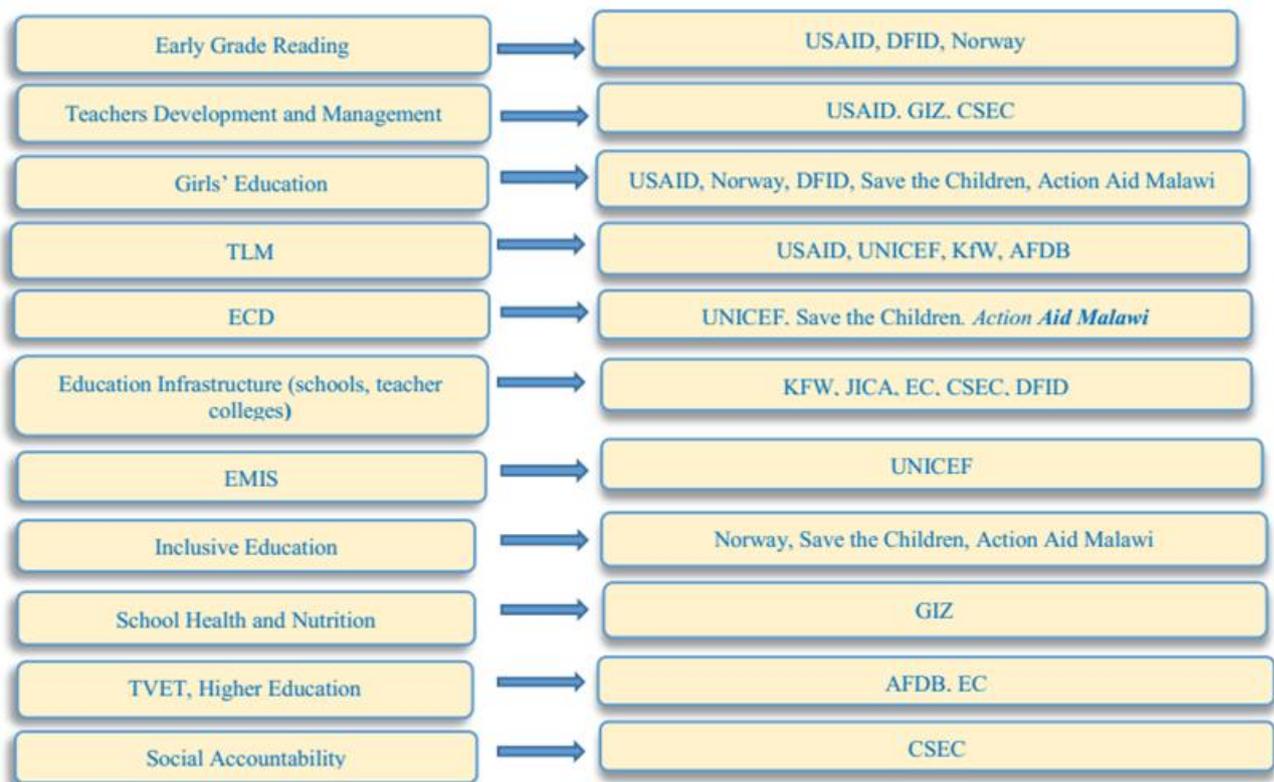
Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
Private sector representatives		Informants will be interviewed during country visits if represented on the LEG. If not members of the LEG, the evaluation team will elicit suggestions from the DCP government, grant agent and (other) LEG members to identify private sector representatives positioned and willing to be consulted.
Philanthropic Foundations	Depending on the nature and extent of their financial and non-financial support to the education sector, and their global standing and related influence.	Informants. Will be interviewed during country visits if so suggested by the Secretariat and/or LEG members and DCP government.
School Heads	Play a key role in any improvement in school governance and reforms to collection and management of school fees. Privileged position over schools and have a key relationship with sub-provincial Ministry staff. Linked to parents and teachers through School Management Committees (SMC).	Not high significance, but will be consulted during school visits.
Teachers	<p>Community level stakeholders provide valuable insights on how policy changes have improved teaching and learning, and have positively affected the lives of specific individuals.</p> <p>At the same time, it is difficult to directly attribute individual cases to GPE support. Furthermore, conducting school visits may run the risk of implying that the country evaluations aim at assessing how well the respective country is implementing education sector reforms, rather than focusing on the relevance, effectiveness and efficiency of GPE support.</p> <p>Individual teachers at the community level have low influence on the overall performance of GPE support, however teachers as a group are key for ensuring quality instruction to facilitate learning outcomes, hence they are important informants who can</p>	Teachers and education administrators will be consulted during school visits, only if the Secretariat country leads, DCP government, grant agent and coordinating agency deem this relevant for understanding and assessing GPE contributions in the respective country.

Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
	provide evaluators with a 'reality check' on whether and how policy change supported by GPE has affected practice.	
Education administrators at school or sub-national level	While education administrators play an important role for ensuring that education sector policy is implemented on the ground, individual administrators have low influence on the overall performance of GPE support in a particular country, but are also important informants who can provide evaluators with a 'reality check' on whether and how policy change supported by GPE has affected practice.	
Students	Students are the ultimate beneficiaries of the GPE program.	Their views are important, however, since the scope of the evaluation does not allow time for interviews, their views will be collected through secondary sources.
Other Key Education Sector Stakeholders (national level)		
World Bank, Grant Agent	Key in ensuring that the GPE grants are appropriately managed and fully aligned with broader education sector developments and add value to the country level processes and results	Key informants at country level. Will be interviewed in person during country visits. Importance: High Influence: High Interest: High
DFID & EU, Coordinating Agencies	Through its facilitating role, the Coordinating Agency plays a key role in ensuring harmonized support for development effectiveness, as well as mutual accountability and transparency across the partnership. Co-chairs ESIP-II Steering Committee together with SEST (see above under MoEST)	Key informants at country level. Will be interviewed in person during country visits. Importance: High Interest: High Influence:
Other Development Partners: <ul style="list-style-type: none"> • DFID • Norway • Germany • GIZ • JICA • UNICEF • USAID 	Participation and contributions to the LEG and to GPE grant implementation and monitoring, as well as through other development partner activities in the education sector and degree to which these are harmonized with the Education Sector Plan and	Will be interviewed in person during country visits (FGD). If deemed relevant to assess the notion of additionality of GPE funding in a particular country, additional telephone consultations may be held with development partner representatives (at HQ

Stakeholder	Role in the education sector Role vis-à-vis GPE	Implications for the evaluation (Importance/Influence/Interest)
<ul style="list-style-type: none"> • KfW • EU • World Bank <p>(donor agencies, multilateral organizations)</p>	<p>implementation activities funded through the ESPIG.</p> <p>Donors have an interest in knowing whether their funds have been spent efficiently and whether the GPE program has been effective and has contributed to their strategies. They also have a specific interest in ensuring that operational performance reflects their standards and accountability requirements, as well as an interest to inform changes in project strategy, the results framework and critical assumptions.</p>	<p>level or those who have moved on but were significantly involved).</p> <p>Importance: High Influence: (varies) Interest: High</p>

Supplementary Information

Annex Figure 8. Key Interventions Supported by DPs and CSOs in Malawi



Source: World Bank, 2016b, Project Appraisal Document, p. 14.

2. A number of agencies and organizations under LEG have supported the development of ESIP II and the coordination is effective. Several DPs and CSOs have been supporting programs in education sector in Malawi, as set out in Annex Table 19.

Annex Table 19. Interventions and programs supported by DPs and CSOs

Development Partner /CSO	Intervention	Beneficiaries	Duration	Funding
USAID (with DFID)	Early grade reading; National reading strategy; Girl's education. Teacher training Std 1-8	All learners in Std 1-4; All learners in Std 4-8 in Balaka and Machinga; Chechewa and English textbooks for all learners in Std 4-8	2015-2020	US\$20.5 million annually
AfDB	The Higher Education, Science, and Technology Project aims to help improve the quality and relevance of skills development in Malawi for job creation and employability of graduates. The Project has 4 components, namely; (a) ICT for Skills Development and Employability, (b) Increasing Access to HEST, (c) Improving Relevance and Quality of HEST and TEVET.	Higher Education Institutions	2012-2018	Total: SDR 26.5 million (US\$36.5 million)
UNICEF	ECD Policy review; CBCC modeling; ECD advocacy and partnership building; ELDS standards development; ECD training strategy development; ECD study on indigenous knowledge on child care practices.	ECD Sector	2012-2016 (extended to 2017)	US\$1 million
	Enhanced analysis and monitoring; EMIS support; PSIP TA support; Review of CPD policy piloting; Development of inclusive education strategy; Capacity building of MoEST in gender analysis, budgeting and M&E; Girls' education	Basic Education and Teachers Education Sectors	2012-2016 (extended to 2017)	US\$15 million
	Policy review; Youth Development Advocacy; Joint sectors strategy for adolescent and youth development;	Youth Sector	2012-2016 (extended to 2017)	US\$4 million
	NFE curriculum development; Action 4 Adolescence (youth, literacy life skills, participation); Sports for development; Multipurpose youth centers			
KfW	Procurement of primary education textbooks and teachers guides	All primary schools	2015-2016	
	Rehabilitation of infrastructure in Teacher Training Colleges (TTC); Construction of teachers houses in teaching practice primary schools; Construction of student hostels in teaching practice schools for primary teacher trainees	Selected TTCs and teaching practice primary schools	Starting in 2016	
GIZ	Basic Education Program (framework conditions on teacher management, pre- and in-service teacher education,	All primary schools	2014-2018	

Development Partner /CSO	Intervention	Beneficiaries	Duration	Funding
	revision of initial teacher education curriculum, materials development)			
	Nutrition and Access to Primary Education (home grown school meals, nutrition education)	40 primary schools in 23 districts	2012-2015	
JICA	Reconstruction and expansion of 21 CDSS schools and 2 conventional schools (3 phases)	Secondary schools students	2011-2016	
	Construction of a secondary school teachers training college and a demonstration secondary school in Lilongwe	Secondary school teachers and learners	2014-2016	
	Strengthening of Mathematics and Science in Secondary Education Project (3 rd phase)	Secondary school teachers and learners	2013-2017	
EC	Secondary education (rehabilitation and provision of equipment to technical workshops in CDSS and secondary schools; teachers training; assistance in rolling out secondary education curricula; contribution to improving good governance and decentralization)	Secondary school teachers and learners	2015-2018	
	TVET (governance and management; quality and relevance; equitable access; rehabilitation and re-equipment of technical workshops; training of technical teachers; gender component)	TVET Sector	2015-2018	
Norway	Joint Program on Girls Education (JPGE) Girls' Education - improve access and quality of education for girls in three districts in Malawi. The project has an inter-sectoral and whole school approach. Implemented by WFP (school feeding, school gardens), UNFPA (integrated sexual and reproductive health and rights programs for girls) and UNICEF (educational development).	Girls' in primary and secondary education	2014-2017	
	Unlocking talent through technology: improving learning outcome. Implemented by VSO in 53 primary schools across 9 education districts.	Primary school aged children	2014 - 2017	
	Inclusive education Deprived children learn and develop from a safe and inclusive education system in 245 schools across 20 targeted education zones	Primary school aged children	2015 – 2018	
DFID	Keeping Girls in School (KGIS). eight components to support girls in primary and secondary schools through: cash transfers (100,000 in primary) and bursaries (15,000 in secondary); sanitation and toilets in 200 CDSSs (3000 latrines);	Primary school girls, secondary school girls	2012 – 2018	

Development Partner /CSO	Intervention	Beneficiaries	Duration	Funding
	1,700 teaching assistants; approx. 1700 Mother Groups; TA to MoEST. Construction of phase 2 of DAPP Mzimba TTC, expansion from a capacity of 64 to 156 boarding students incl. all learning facilities – allowing of training of more female teachers			
	Education Support to Malawi (ESM). Construction of classrooms (370), latrines (715), teachers' houses (113) and IT Resource Rooms (48 Sites serving 31,488 learners p.a.), Support to USAID's MERIT (5600 schools) and technical support.	650.000 early grade learners, 48 primary schools	" 2015 - 2017	
CSEC	Trocaire. Enhancing Civil society participation in influencing Government Decision making in the Education Sector	Schools, teachers and learners Direct: 36, 000 Indirect: 55, 000	" 2014-2017	
	RNE. Access to Justice and Education in Prison	Learners, teachers, wardens Direct: 600 Boys: 450 Girls: 60	2015 - 2018	
	CSEF32: Increased teacher motivation through provision of social and economical, incentives and facilities	Schools, Teachers, learners	2012-2015	
	Strengthened Civil Society participation in the LEG processes and engagement with policy makers on girls' education and teacher welfare by December 2014			
	Cordaid. Result Based Funding: improving primary school performance and ECDE Structures	ECDE learners, primary schools Teachers and Primary school learners Constructing 30 school blocks and 15 ECDE centers	Sept 2015- Aug 2016	
	World Bank/CARE - CSEC Social Accountability Project. Monitoring procurement in schools and improving accountability, Reducing teachers Absenteeism and Learning and knowledge	Schools, Learners, Government	"2015-2017	
	World Bank/ MEJN - CSEC Social Accountability Project. monitoring textbook distribution care and usage	Schools, learners, Community	"2014-2017	
	OSISA: ECDE project	Learners, care givers and	July 2015- June 2016	
	OSISA. Out-of-school youth and SNE [Gawo Langa] project	SNE learners [150] Out of school [20,000] Others: communities, government,	2013 – June 2016	

Development Partner /CSO	Intervention	Beneficiaries	Duration	Funding
		development officers, local councils		
Save the Children	Inclusive Education. To enable marginalized and deprived children to learn	2,147 in school and out-of-school children	August 2015 -	
International	The Girls' Empowerment through Education and Health Activity (ASPIRE). Improving reading skills among learners especially girls in standards 4 to 8.	Direct beneficiaries: 121,398 (60,530 boys and 60,868 girls) Indirect beneficiaries: 31,226	17th December 2014 to 16th December 2018	
	School Health and Nutrition. Aims to improve health and educational status of school-age children	68,484 School children.	1st January 2010 to 31st December 2018	
	Early Childhood Care and Development (ECCD).- aims at enabling children to learn and develop to their full potential	15000 (7000 males; 8000 females)	2009 - 2018	
	Quality Learning and Accountability (QLA). Aims at making vulnerable and marginalised children to enjoy their right to quality education and development as well as other rights in line with UNCRC.	40805 Boys 40634 Girls 1275 teachers 15000 community volunteers 35000 community, district and national level stakeholders	1st January 2015 to 31st December 2018	
	Sponsorship Basic Education Program. The intervention is aimed at making children acquire knowledge and skills that will enable them to develop physically, mentally, morally, emotionally and socially and be able to function as productive and responsible citizens of the country	68,244 (34168 girls and 34076 boys) learners	2008 to 2018	
	Keeping Girls in School - Improving School Experience and Environment. Strand-Aimed at keeping girls in school and achieve gender parity for girls in Standard 7 and 8 by 2017 in 10 education districts of Malawi	42,481 boys and girls in standards 7-8 and forms 1-2; 7,087, Female teachers, 5,512 male champions, 3,190 teachers and 12,929 mother group members.	1 October, 2014 to 30th September, 2016	
	Keeping Girls in School (KGIS) - Cash Transfer strand. Keeping girls in school to achieve gender parity for girls in Standard 7 and 8 by 2017 in 10 education districts of Malawi	100,000 Girls in Standard 7 and 8	1st October 2014 to 30th Sept. 2017	
	Reducing Teenage Pregnancies in Malawi. Aims to reduce teenage pregnancies among girls in in Malawi	270,000 Boys 500,000 Girls 1,180 women	1st January 2014 to 31st	

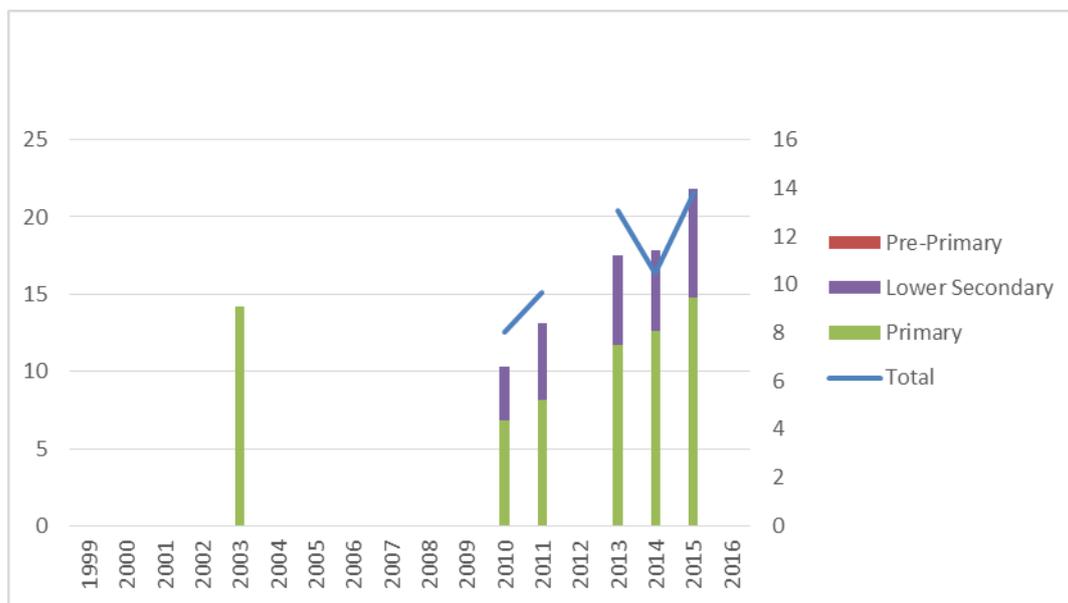
Development Partner /CSO	Intervention	Beneficiaries	Duration	Funding
			December 2016	
ActionAid Malawi	ECD. Aims at improving the lives and wellbeing of poor and vulnerable children aged between 3 and 6 years through promoting access to quality and sustainable ECD services. It includes construction of 80 Model CBCCs.	135,000 children in 6 districts 4,800 caregivers 4,800 CBCC Management committees + Parental committees	May 2011- April 2021	
	Improving access and retention of children in primary schools and transition to secondary schools. Interventions include	100,000 boys and 100,000 girls. Teachers, SMCs, Mother Groups and HTs in 240 schools in 12 districts.	January 2012- December 2017	
	Action for children's Rights in Education. Aims at ensuring that children in the participating communities enjoy a good quality inclusive public education where girls and boys are treated equally and their rights are respected. It includes provision of results based financing to schools.	12,500 children 420 teachers 5,000 parents 12,500 children In 40 schools in 4 districts	October 2013- May 2016	
	Collective Action to End Violence Against Children in Schools It aims at ensuring that boys and girls access and benefit from an expanded range of protection services that include early identification and prevention of violence, case management, referral, and support.	14,340 children Targeting children from Standards 5-8 and forms 1-4. In 60 schools in 4 districts	November 2014- October 2016	
	Promoting Education Rights through increased Domestic Resource Mobilization. It aims at ensuring that Children, especially girls have improved access to free quality public education through influencing government for increased financing of education and increase in fair tax revenue.	Reaching 37,500 primary school children In 20 primary schools in 4 districts. District Education Networks, mother groups, SMCs, PTAs.	July 2015- December 2018	
	DAPP – People to People	DAPP. May 2014 to August 2016 UNICEF Mk 325,576,112 – in-service provision to 60 primary schools with focus on operationalizing all 3 key areas of PSIP.	In-service provision to 60 primary schools with focus on operationalizing all 3 key areas of PSIP.	May 2014- August 2016
DAPP. June 2015 to mid-2018 Roger Federer Foundation – in-service provision teachers in standard 1 and 2 to 116 primary schools with focus transition from preschool to primary.		In-service provision teachers in standard 1 and 2 to 116 primary schools with focus transition from preschool to primary	June 2015- June 2018	

Source: World Bank, 2016a

Annex M UIS Data

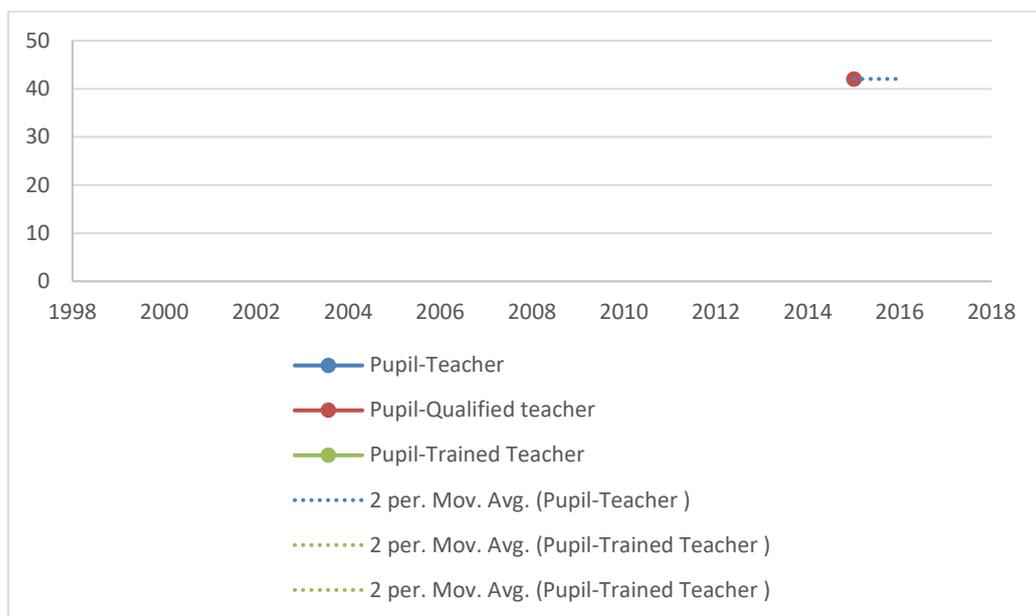
1. The figures in this annex display UIS data. As can be seen below there are significant gaps in the data.

Annex Figure 9. Expenditure on education as a percentage of total government expenditure (%), Malawi



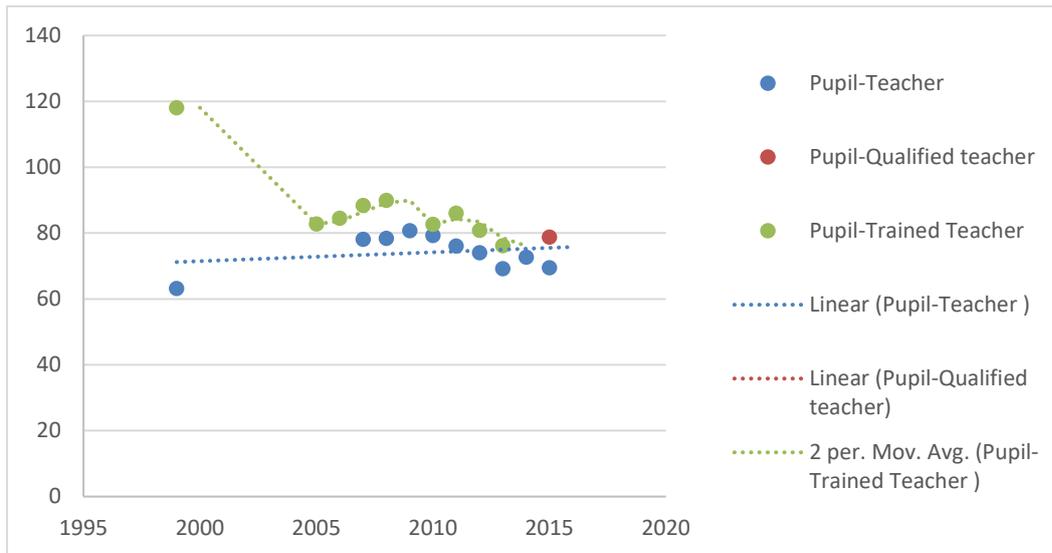
Source: UIS.

Annex Figure 10. Pupil-Teacher Ratios, Pre-Primary – Malawi



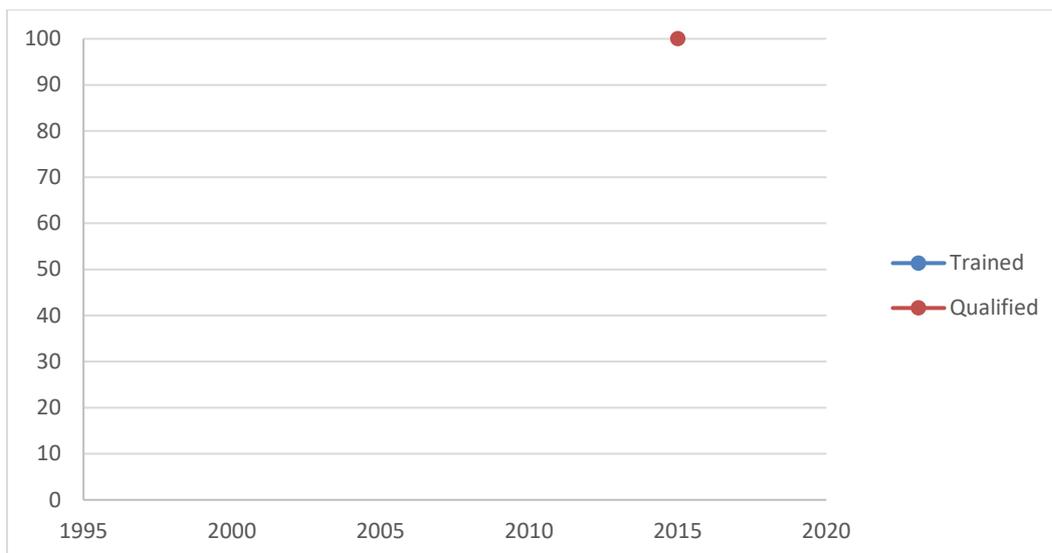
Source: UIS.

Annex Figure 11. Pupil-Teacher ratios, Primary – Malawi



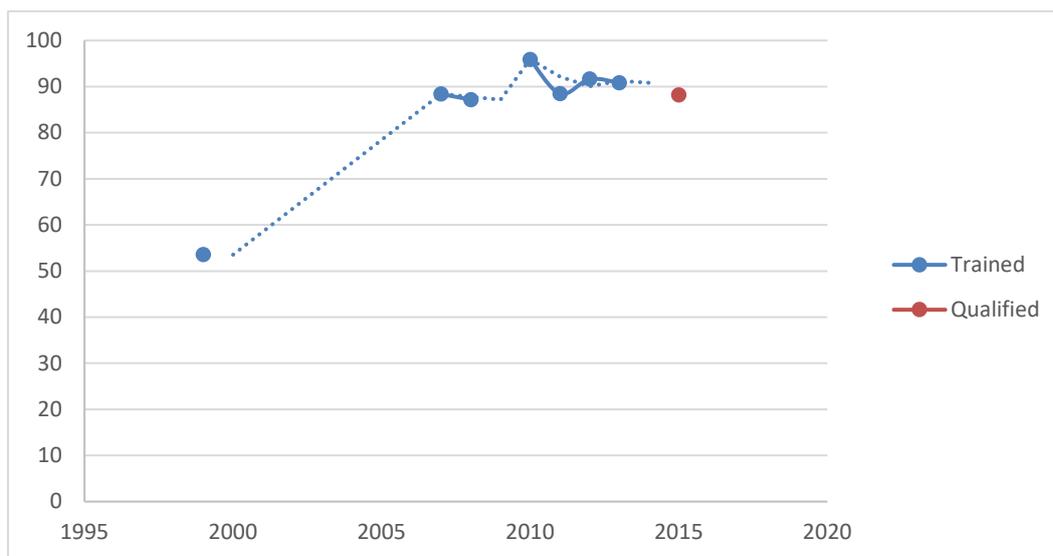
Source: UIS.

Annex Figure 12. Pre-Primary teachers trained/ qualified (%) – Malawi



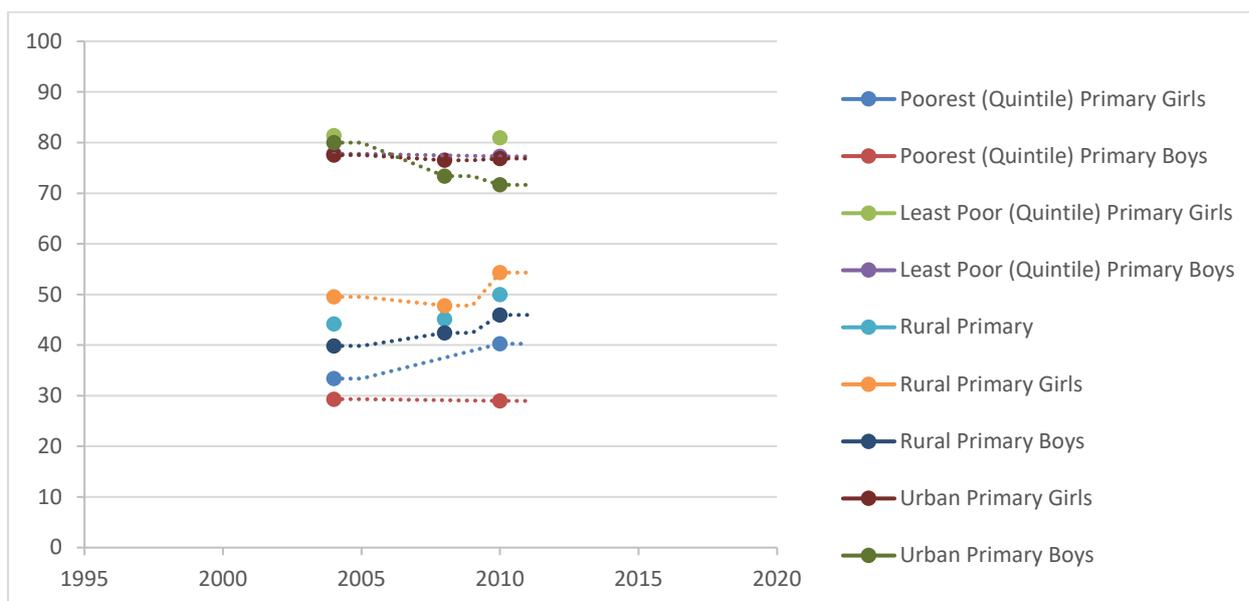
Source: UIS.

Annex Figure 13. Primary teachers trained/ qualified (%) – Malawi



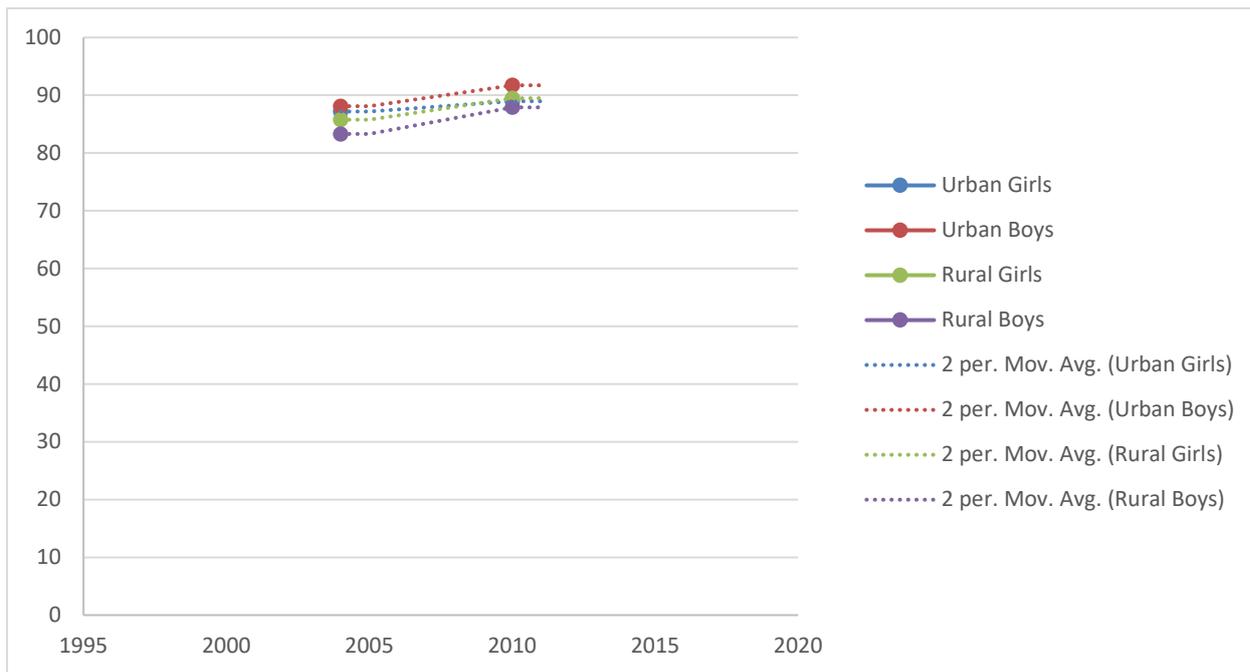
Source: UIS.

Annex Figure 14. Primary Completion Rates (%) – Malawi



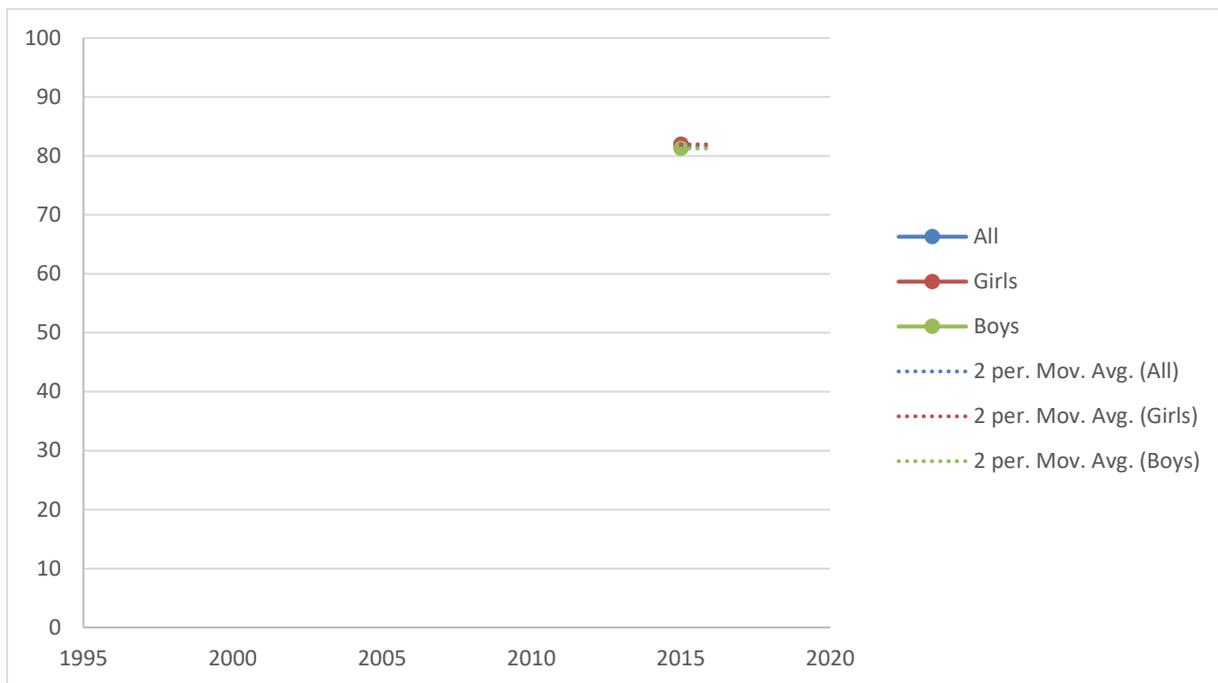
Source: UIS.

Annex Figure 15. Net Primary Attendance (%) – Malawi



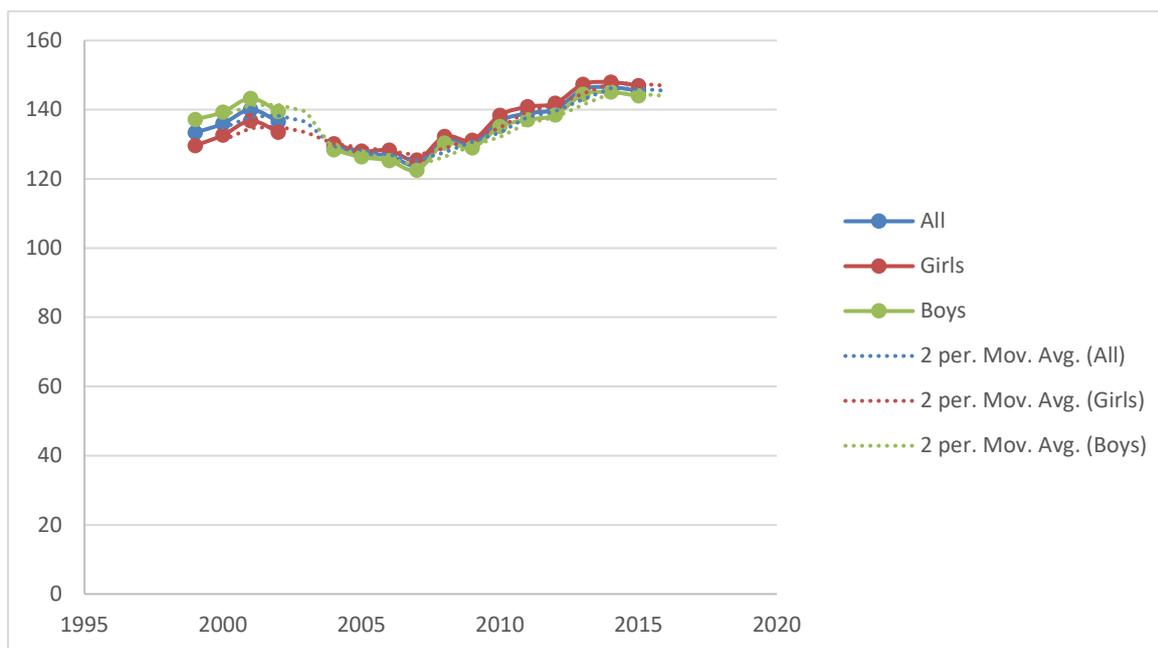
Source: UIS.

Annex Figure 16. Gross Enrollment Pre-Primary (%) – Malawi



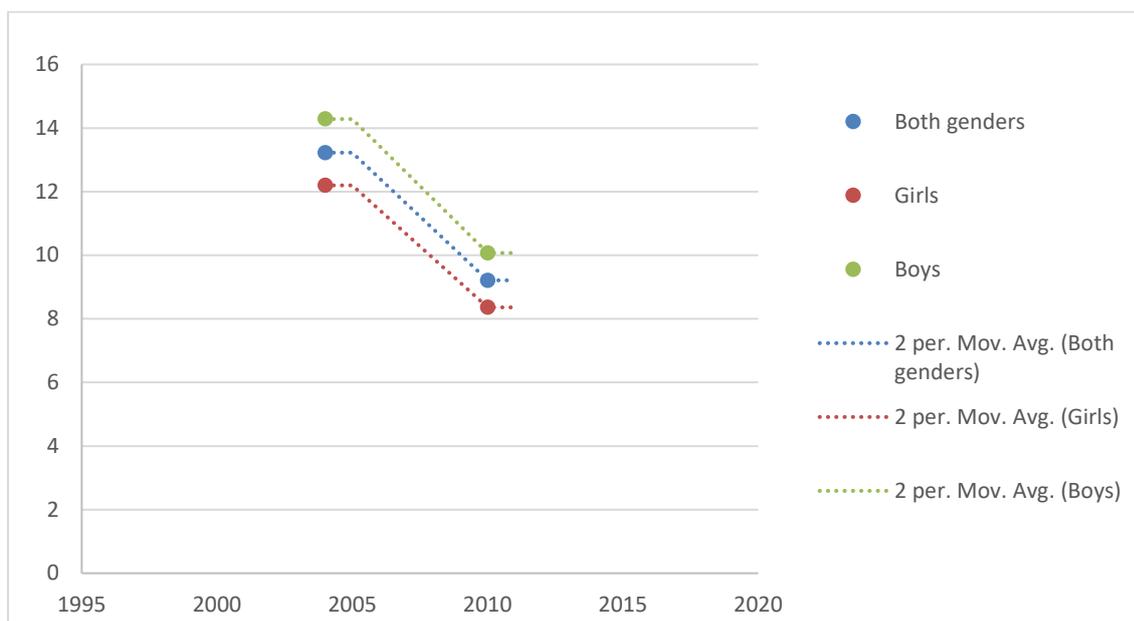
Source: UIS.

Annex Figure 17. Gross Enrollment Primary (%) – Malawi



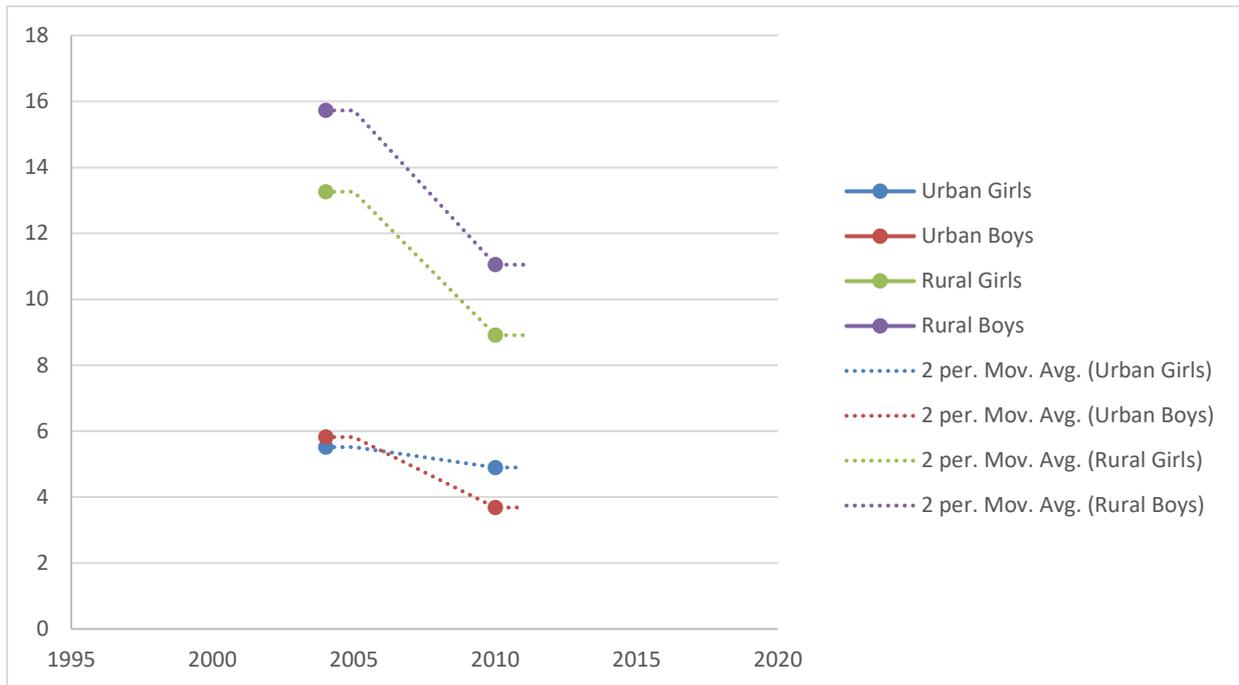
Source: UIS.

Annex Figure 18. OOSC of Primary Age (%), by gender, Household Data – Malawi



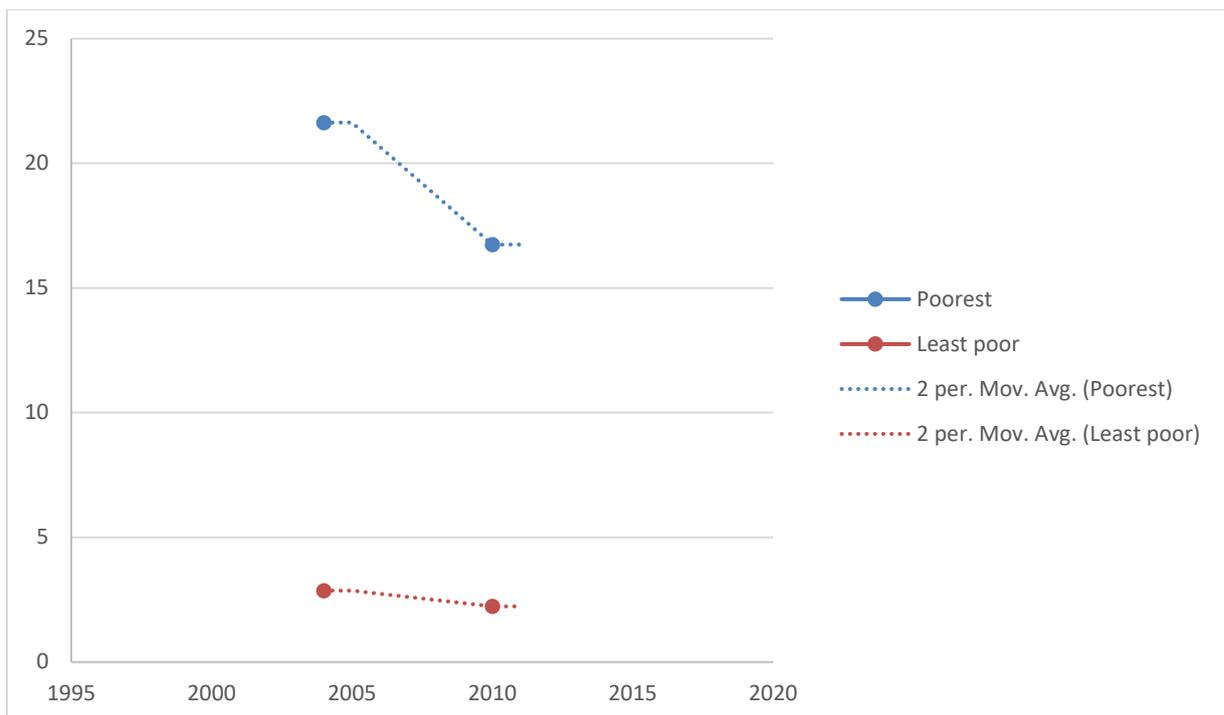
Source: UIS.

Annex Figure 19. OOSC of Primary Age (%), by location and gender, Household Data – Malawi



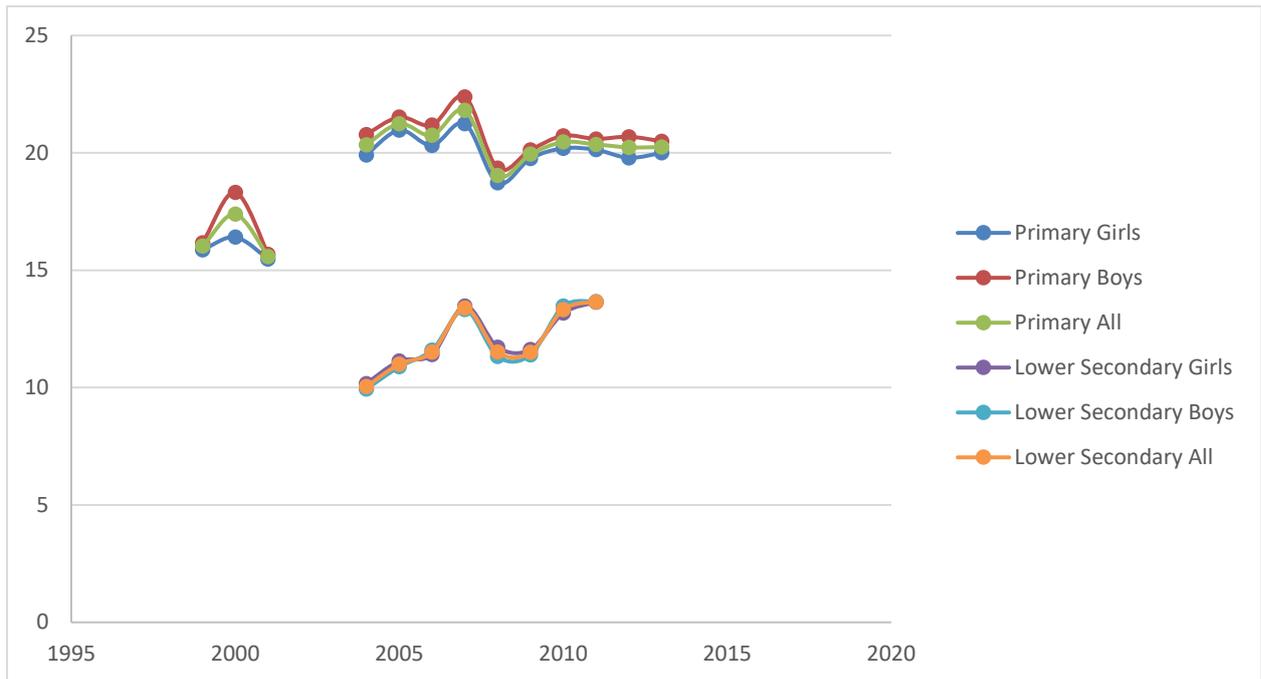
Source: UIS.

Annex Figure 20. OOSC of Primary Age (%), by wealth, Household Data – Malawi



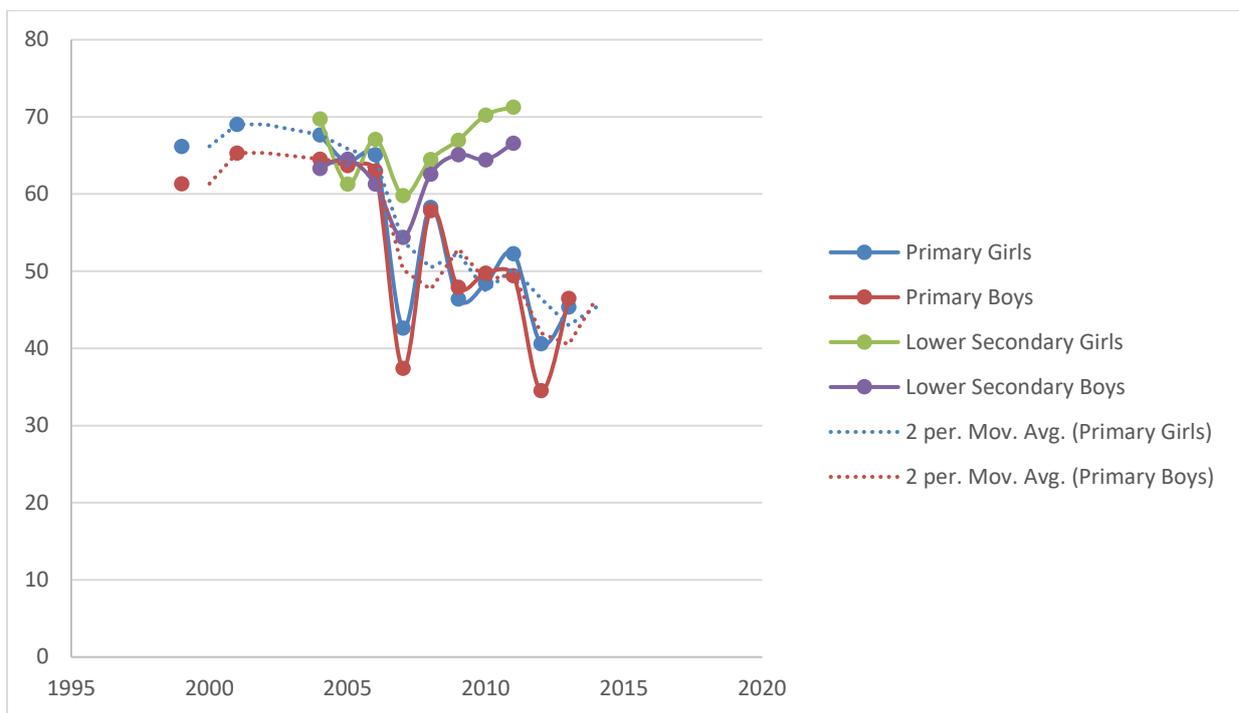
Source: UIS.

Annex Figure 21. Repetition Rates (%), by school level and gender – Malawi



Source: UIS.

Annex Figure 22. Cumulative Dropout (%), by level and gender – Malawi



Source: UIS.

Annex N Evaluation Team Composition & Roles

1. Annex Table 20 describes the Mokoro team that has conducted the evaluation thus far, and specifies team members' different roles and responsibilities.

Annex Table 20. Roles and Responsibilities

NAME	ROLE	RELATED RESPONSIBILITIES
Matthew Smith	Country-level evaluation team leader	<ul style="list-style-type: none"> Leads and conducts the Malawi prospective evaluation, including preparation, data collection (home-based and in the field), data analysis, and reporting. Contributes to the annual Synthesis Reports and final report, and to the presentation and dissemination of findings and recommendations as required. Provides quality assurance to reports drafted by other senior consultants. Provides input on subject matter expertise as required throughout the mandate.
Hannock Kumwenda	National Consultant	<ul style="list-style-type: none"> Supports the country evaluation team leader in the preparation and conduct of the Malawi prospective evaluation baseline, including data collection in country, analysis, reporting, and dissemination of findings and recommendations among key stakeholders. Contributes to leveraging national capacities.
Christine Fenning	Researcher & Evaluator	<ul style="list-style-type: none"> Supports the country evaluation team leader throughout the evaluation period as required. Supports the implementation of this prospective country-level evaluation, including preparation, data collection, data analysis, and reporting. Contributes to the baseline, annual and final reports. Provides technical support as required throughout the mandate. Contribute to the annual Synthesis Reports and final report, and to the presentation and dissemination of findings and recommendations as required.
Stephen Lister	Mokoro Coordinator, Senior Consultant, Quality Support	<ul style="list-style-type: none"> Main Mokoro liaison with the Team Leader, Deputy Team Leader and Itad Coordinator. Responsible for the contractual relationship, management and implementation with consortium partners throughout the assignment. Responsible for coordinating the work of Mokoro consultants throughout the assignment. Conducts prospective evaluations. Contributes to the annual Synthesis Reports and final Synthesis Report as required and participates in the presentation and dissemination of findings as required. Provides advice on the methodological approach during inception phase Reviews deliverables before their submission, and advises on the relevance, credibility and practicality of the evaluation's approach and of its findings, conclusions and recommendations.
Philip Lister	Editor	<ul style="list-style-type: none"> Mokoro's in-house report editor, provides proofreading, editing, and formatting attention to draft and final deliverables.

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In the table below the first column gives the short reference used in the text, by which it is linked to this table. The second column gives details of the document, while the third column indicates where the document can be found in the team dropbox.

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