

GPE 2020 Country-level Prospective Evaluations

FIRST ANNUAL REPORT: KENYA (DECEMBER 2018)

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Abbreviations and acronyms

ASALs	Arid and semi-arid lands
CSEF	Civil Society Education Fund
CSO	Civil society organization
DAC	Development Assistance Committee
DCP	Developing country partner
DFID	U.K. Department for International Development
EDPCG	Education Development Partners Coordination Group
EGM	Early grade mathematics
EMIS	Education management information system
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Program Implementation Grant
FPE	Free primary education
GDP	Gross Domestic Product
GER	Gross Enrollment Ratio
GPE	Global Partnership for Education
IBRD	International Bank for Reconstruction and Development
ITRP	Independent Technical Review Panel
JSR	Joint Sector Review
KCPE	Kenya Certificate for Primary Education
KCSE	Kenya Certificate for Secondary Education
KICD	Kenya Institute of Curriculum Development
KII	Key informant interview
KNEC	Kenya National Examination Council
KSH	Kenya Shilling
LEG	Local Education Group
M&E	Monitoring and evaluation
NASMLA	National Assessment for Monitoring Learner Achievement
NEMIS	New Education Management Information System
NESP	National Education Sector Plan
NGO	Nongovernmental organization
ODA	Overseas development assistance
OOSC	Out-of-school-children
PCU	Project Coordination Unit
PRIEDE	Kenya Primary Education Development Project
PTR	Pupil/teacher ratio
SDG	Sustainable Development Goal
SEQIP	Secondary Education Quality Improvement Project

SIP	School Improvement Plan
TSC	Teacher Services Commission
ToC	Theory of change
TPAD	Teacher Performance and Appraisal Development
TVET	Technical and vocational education and training
UIS	UNESCO Institute for Statistics

Executive summary

A) Overview

1. This is the first of three annual reports to be submitted during the three-year prospective evaluation of the Global Partnership for Education (GPE) in Kenya – one of eight country prospective evaluations that will be complemented by a total of 22 summative country evaluations, to be carried out between 2018 and 2020. It follows a baseline report on Kenya that was submitted in May 2018 and reproduces some of the material that was included in that report. In addition, it also presents the findings of the first prospective evaluation mission to the country, which took place from March 12 to March 16, 2018, and offers some initial, tentative conclusions on the basis of the limited data collection, monitoring and assessment undertaken to date. Kenya also formed the ‘pilot’ country in that it was the first country in the prospective evaluation list to be visited and thus the tools that were used in all subsequent evaluations were tested and finalized in the Kenya case.

B) Purpose and objectives

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

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

C) Intended audience

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

D) Methodology

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

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

E) GPE engagement

7. Kenya has been a GPE partner since 2005. Between 2005 and 2008 it was the recipient of a Program Implementation Grant (US\$121 million); and in 2013 it was the recipient of a sector plan development grant (US\$250,000) and a program development grant (US\$293,488). Kenya also received a further Program Implementation Grant of US\$88.4 million between 2015 and 2019 (the Kenya Primary Education Development Project (PRIEDE)).

8. GPE also provides a wide range of non-financial inputs, primarily through the work of the Secretariat, the grant agent and the coordinating agency, and from GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements). These non-financial elements also form part of the support that is being evaluated during the prospective evaluation undertaken in Kenya.

F) Key findings

9. **Planning.** The current sector plan in Kenya, the National Education Sector Plan (NESP) 2013–2018, is pragmatic, context-relevant and focuses clearly on the needs of the country while promoting transparency and accountability. This plan was developed in a consultative and participatory manner, with consultation from various agencies and partners. This included members from civil society, teachers' organizations, donor agencies and international nongovernmental organizations (NGOs) etc. (such as the United Nations Children's Fund (UNICEF), the U.K. Department for International Development (DFID), the World Bank, African Development Bank etc.). A new sector plan is currently being developed in the country for post-2018. The new sector plan could be developed further by, first, prioritizing the many goals and objectives within the plan; secondly, building a stronger evidence base; and, thirdly, updating and refining financial data.

10. The NESP focuses on key areas of need, such as enrolment (especially for hard-to-reach children and disadvantaged and vulnerable groups), literacy and numeracy, disparities in outcomes and improving overall education quality. The plan emphasizes areas such as teacher quality, leadership, teacher training, increasing overall available resources and monitoring results. The plan is based on four basic principles: inclusiveness, an integrated and unified system, an equitable school environment and quality of learning. The NESP identifies six strategic objectives/priority areas:

1. Education sector governance and accountability.
2. Access to free and compulsory basic education.
3. Education quality.
4. Equity and inclusion.
5. Relevance.
6. Social competencies and values.

11. The NESP meets five of the seven GPE education sector plan (ESP) quality standards (overall vision, strategic, evidence-based, sensitive to context and attentive to disparities), but does not meet the holistic and achievable criteria standard.

12. The GPE contribution to sector planning includes financial and non-financial support. In 2013 GPE granted a US\$250,000 Education Sector Plan Development Grant (ESPDG) for technical assistance and analytical support for the finalization of the NESP. ESPDG resources were used to fund technical assistance for the development of NESP components related to teacher effectiveness, teacher development and teacher management; to develop a detailed costing of the project components; to

design the NESP results framework and M&E framework; and to identify specific implementation arrangements. ESPDG resources and funding requirements also ensured that the draft sector plan underwent an external appraisal process.

13. A year later (in 2014) additional funding of US\$50,000 was approved to enable the World Bank (the supervising entity, now called the 'grant agent') to work with the government and development partners to complete the project design, submit the final financing application to GPE and ensure implementation readiness. The Secretariat provided quality assurance by reviewing and providing comments on the draft sector plan.

14. **Monitoring and inclusive sector dialogue.** The Education Development Partners Coordination Group (EDPCG) is the LEG; it is a broad-based, highly representative stakeholder forum. The EDPCG is frequently engaged on the status of the PRIEDE through its monthly meetings. It was formed to support the Ministry of Education, Science and Technology in the successful implementation of the NESP 2013–2018. Development partners (including civil society organizations (CSOs)) have been engaged extensively through the EDPCG. The NESP has a clear results framework with relevant indicators and targets against which partners are able to monitor implementation. However, the extent to which monitoring actually takes place is not clear, as JSRs have not taken place in recent years. While stakeholders report monthly monitoring meetings through the LEG, the lack of a systematic and documented process means it is not clear the extent to which monitoring is taking place at the program level or if monitoring is sector-wide.

15. The First Annual Mission to Kenya provided evidence that sector dialogue in the country has changed over the last few years with the involvement of GPE, which has potentially resulted in greater collaboration and transparency across different groups. The government also highlighted the fact that there was a willingness on their part to build on this going forward. Interviews with stakeholders (such as those from the private sector and private book publishing groups) indicated that they had been engaged more in conversations regarding the sector in recent years, as compared to the past, and much of this inclusive dialogue was attributed to GPE advocacy. A key strength identified is that a wider range of stakeholders appear to have gained a voice (particularly CSOs and teachers' associations) and they are engaged in sector dialogue more than was previously the case. This dialogue takes the form of regular meetings engaging a range of partners on relevant and mutually agreed priorities.

16. However, several stakeholders in-country reported concerns regarding a lack of clarity of roles and the resulting implications for accountability in Kenya. It was felt that the role of the GA should be limited to supervising the procurement framework and the legal framework to ensure that it is acceptable to the Secretariat. Partners felt the GA has fulfilled this role very well.

17. A National Education Monitoring Information System (NEMIS) has been established in 2018. Stakeholders indicated that previous approaches to improving the previous EMIS were piecemeal, funded by a series of different donors and did not meet the needs of government. Establishing the NEMIS included centralizing fragmented previous EMIS data components and orientating the system towards government needs. However, education data are not always available. This reflects the previous approach to EMIS, whereby monitoring and evaluation (M&E) frameworks for the projects and programs being implemented in the sector over several years remain weak and the new NEMIS has not yet been established long enough to fill the void of credible data.

18. However, dialogue has focused increasingly on systems strengthening and GPE financial accountability systems have increased donor confidence after previous misuse of funds. Joint sector review processes also appear to be working well and have engaged all stakeholders in a consultative and collaborative manner.

19. There is a widely held view across a range of stakeholders that GPE's contribution has been extensive in relation to the improvements that have been seen in sector dialogue and monitoring. This has included both GPE financial and non-financial support, which contributed to the following areas:

- Regaining donor confidence in the country after the large-scale corruption in 2010–2011; through the use of the World Bank as the grant agent and the application of World Bank processes and rules GPE has been able to demonstrate that donors can avoid misuse of funds in Kenya.
- Bringing together a wider range of stakeholders to make monitoring and dialogue more inclusive, however this monitoring appears to be predominantly at the program level
- The strengthening of the LEG, allowing complementary programs to be discussed and coordinated.
- The strong M&E component in PRIEDE, funded by GPE.

20. **Financing.** Expenditure on education as a share of total government expenditure in Kenya has been declining consistently over more than a decade, to below GPE norms. However, total expenditure and expenditure per student has risen. Kenya's overseas development assistance (ODA) as a percentage of gross national income is 4 percent (2015, World Bank), with the nation's largest donors being the United States, the World Bank, the United Kingdom, Japan, and the International Monetary Fund.

21. Allocations to secondary education have almost doubled in 2018/19 and much of this is earmarked for free day secondary education. Despite this increase, there remains a resource gap of US\$283 million to support free day secondary education.¹ The NESP financing gap ranges between 1 and 5 percent for each year of implementation.

22. The quality of international financing is improving in Kenya. Stakeholders indicated that under the NESP (2013-2018) funding was not pooled and priority programs were not implemented due to a lack of resources or partners taking interventions off budget. While there are still examples of donors implementing their own programs, the coordination between donor-implemented programs and the government's Project Coordination Unit (PCU) is strong and many programs will be handed over to government in the coming years.

23. GPE appears to have contributed to improving the quality of financing within the government. In particular, one stakeholder mentioned that finances tend to be the biggest challenge that government faces in the implementation of education policy. However, GPE financing was highlighted as relatively better than others. This was attributed to the fact that GPE fosters government ownership of the program.

24. Document review and stakeholder interviews provide some evidence of GPE support having leveraged additional financing from donor partners, in addition to the previously mentioned increased donor confidence after the large-scale corruption, due to the Grant Agent financial processes.

25. **Implementation.** There has been steady progress in achieving some of the educational goals in the country.

26. Implementation against the key NESP priority areas is summarized below.

27. **Priority one: Governance and accountability** implementation included:

- the adapting (in 2018) of a National Pre-Primary Education Policy and the implementation of the Basic Education Regulations (2015), which outline institutional and agency responsibilities;

¹ Ibid. Page 15.

- establishment of NEMIS, along with improved data collection, availability, integration, access and capacity at county and sub-county level; and
 - increases in employees' ethical conduct since the introduction of the financial management information system (FMIS).
28. **Priority two: Access to free and compulsory basic education** implementation included:
- the publication of guidelines for alternative provision of basic education and training, to cover the range of education providers.
 - policies to promote supportive and equitable learning environments, including the Basic Education Regulations, 2015;
 - equitable and effective targeting of secondary education towards equity; and
 - the provision of alternative pathways available for students to enter technical and vocational education and training (TVET) institutions, although this is not widespread.
29. **Priority three: Education quality** implementation included:
- regulations mandating that the Education Standards and Quality Assurance Council (ESQAC) is to carry out standards assessments, quality assure, monitor, evaluate and oversee the implementation of alternative providers of basic education and training programs to ensure they provide quality education;
 - implementation of the Basic Education Regulations (2015) to address the issue of teacher training;
 - the development of guidelines on teacher deployment;
 - the training of ICT integration in education in order to prepare teachers in using ICT in the roll-out of the digital literacy program of the government of Kenya; and
 - PRIEDE implementation (see GPE contribution to ESP implementation below).
30. Notwithstanding these achievements, according to the Education Sector Report (2016), the number of teachers managed by the Teacher Resource Management Commission falls short of the number of teachers required to staff all schools in the country (which would require the employment of an additional 87,489 teachers).
31. **Priority four: Equity and inclusion** implementation included:
- an Education and Training Policy on Learners and Trainees with Disabilities;
 - updating of the Education and Training Sector Gender Policy;
 - release of the National Council for Nomadic Education in Kenya Strategic Plan 2015–16 and the Revised Policy Framework on Nomadic Education in Kenya in 2015; and
 - policy studies on the cost-effective model of financing education in arid and semi-arid land (ASAL) areas, disadvantaged and informal settlements in Mombasa and Nairobi, and teacher deployment and utilization in primary education in Kenya.
32. GPE's contribution to sector plan implementation includes financial and non-financial support and influence to improve the effectiveness and efficiency of NESP implementation. As at May 2018 the vast majority of PRIEDE components had been implemented, and they met all targets and exceeded several targets (such as teacher training). Components of PRIEDE include (1) the improvement of Early Grade Mathematics (EGM), contributing towards the NESP priority area of Improved quality of education; (2) Strengthening school management and accountability, contributing towards the NESP priority area of Improved Governance and Accountability; (3) Strengthening capacity for evidence-based policy development at the national level, contributing towards the NESP priority areas of improved governance and accountability and increased equity; and (4) Project coordination, communication and M&E, contributing towards to NESP Priority area of Improved governance and accountability.

33. The establishment of PRIEDE was cited by stakeholders as having contributed to non-financial support through the training of key government officials on accounts and procurement and managing external resources. Government stakeholders also perceived GPE financial support to 'start-up' the project as a key element of the GPE operational model that adds value above and beyond other funding sources.

34. In addition, the implementation of centrally developed, published and disseminated textbooks through PRIEDE provides donor and government confidence that this model of resourcing teaching materials can be successful and has been adapted across non-ESPIG funded elements of the sector plan.

35. **Progress toward a stronger education system.** There has been steady progress in a number of key areas of education system improvement (such as curriculum development and improved teacher management and accountability). This has arisen through the implementation of NESP 2013–2018, which has been supported by both GPE financial and non-financial support and key development partners. In particular, there have been improvements in pupil/teacher ratios (PTRs) at the primary and secondary levels. However, there are some key challenges that remain in the education sector. For example, the pupil/trained teacher ratio may have deteriorated in this period; teacher/classroom ratios have tended to be low, on average; teacher distribution appears to be unevenly distributed; teacher absence has remained a critical constraint – with teachers in schools for about half the scheduled time, on average; and the 1:1 textbook ratio stipulated by the Ministry of Education, Science and Technology has not yet been achieved, according to delivery indicators. However, on the plus side, a learning assessment system exists in the country to systematically monitor progress.

36. Implementation of the NESP (2013-2018) has contributed to a stronger Education Management Information System (EMIS) in Kenya, which has been supported by GPE through the PRIEDE program. However, future annual reports will need to examine whether any additional noticeable changes have taken place within the system, and then assess to what extent these have been influenced by GPE financial and non-financial inputs, through NESP implementation.

37. **Progress toward stronger learning outcomes and equity.** Access to education has been a partial success story in Kenya, with the government emphasizing access to education by introducing Free Primary Education in 2003, which resulted in the withdrawal of formal fees for primary school. This was followed by the policy of free (day) secondary schooling in 2008, under which the government meets the cost of tuition while parents pay for boarding and uniform. Despite good intentions and progress to date, Kenya is still a long way from ensuring that all children, adolescents and youth are enrolled in school in the first place. The percent of OOSC from 2002 to 2016 (where data are available) show that the rate has declined dramatically over the period. The Gross Enrolment Ratio is an indicator that measures the proportion of pupils that a country is capable of enrolling in relation to the total number of pupils who should be enrolled. Essentially, it is the rate of enrolment at a given level of education (irrespective of age) as a percentage of the population who are in the school-age group corresponding to that level. Across the board in Kenya, for boys and girls, pre-primary education GERs have been increasing, from approximately 50 percent in the early 2000s to just under 80 percent in 2015, a marked increase over a decade or so.

38. Taken together, exam results, the National Assessment for Monitoring Learner Achievement (NASMLA) and UWEZO show marginal improvements in literacy and numeracy. However, evidence also suggests that the quality of educational services varies across counties and different geographical regions. Therefore, while initiatives have been implemented and there has been some progress to date, Kenya is still on the road to ensuring that all children receive a good quality education.

39. Key stakeholders suggested that GPE financial and non-financial support has been instrumental in reducing equity gaps, in particular for the most disadvantaged, such as nomadic communities. However, it is too early in the evaluation to establish linkages between the observed system-level changes and high-level trends in learning outcomes and equity in education.

G) Conclusions, based on lessons learned

40. Kenya's education sector has made strong progress over the last decade, and there is little doubt that GPE has made significant material and strategic contributions to that progress. Key stakeholder interviews across the board overwhelmingly supported the view that GPE support, both financial and non-financial, has been instrumental in the country's achievements over the past few years.

41. Evidence of GPE contributions include government ownership of the education sector planning and the implementation of NESP, as well as of the M&E systems that have been developed to support the sector. This 'inclusive partnership' has been a very strong feature of GPE's partnership in Kenya and was repeatedly lauded by government stakeholders interviewed during the first country mission.

42. This prospective evaluation in Kenya will focus with interest on the country transitioning to the new ESP, and on further evidence of progress in implementation and changes to the education sector as the new government establishes itself and takes the country forward.

H) Recommendations

43. It is too early in the evaluation in Kenya to offer specific recommendations. Areas that will require further attention throughout the evaluation period include: (1) the balance of roles and responsibilities of donor partners within the partnership, not only to ensure that the expertise of each partner is leveraged but also to give everyone sufficient voice; (2) ensuring there is sufficient financial and non-financial support in the future to capitalize on gains made to date; and (3) ensuring GPE processes maintain an equilibrium between stringency and effectiveness, without hindering actual implementation and government processes.

1 Introduction

1. This section introduces the report and the evaluation. It covers the relevant country context, as well as the background of this project and the methodology for the evaluation.

1.1 Background

1.1.1 Overview of Kenya

Context area	Features
Country context	<ul style="list-style-type: none"> High levels of inequality (with a national Gini coefficient estimated at 0.445) Comparatively high levels of human development (ranked 146 in 2016) The government has moved to a policy of decentralization ODA as a percentage of gross national income was at 4 percent in 2015
Education context	<ul style="list-style-type: none"> A recent new curriculum Large inequalities Steady progress toward education sector goals Three previous grants from GPE
Structure and features of the education system	<ul style="list-style-type: none"> The 8-4-4 structure being replaced A focus on continuous assessment tests at early years, middle school and senior school Ministry of Education, Science and Technology responsible for national policies and programs that aim to help Kenyans access quality and affordable basic and tertiary education

Country context

2. In the region, Kenya ranks highly on measures of standards of living and other human development dimensions. However, it has high levels of inequality. The country transitioned from being a low-income to being a lower middle-income country in 2015, and has made steady progress over the last few decades.

3. The new 2010 Constitution and Vision 2030 provide a strong foundation on which long-term development can be mapped out. The latter of these focuses on three key pillars of progress: the economic and macro pillar, the social pillar and the political pillar. In 2017, Kenya ranked 92nd (out of 190 countries) in the World Bank's Ease of Doing Business ranking, up from 113th in 2016. Agriculture is one of the key sectors on which the economy relies. However, the agricultural sector remains one of the least developed and exhibits large inefficiencies, with 75 percent of the workforce employed in this sector, a far larger proportion than in other more food-secure countries. However, the economy has seen much expansion in many areas, with tourism forming the second largest source of revenue following agriculture. The social pillar of Vision 2030 involves the objective of building a just and cohesive society that enjoys equitable social development in a clean and secure environment. The political pillar envisages a 'democratic political system that is issue-based, people-centered, results oriented and accountable to the public.'² Politically, there has been a rapid and ambitious devolution

² Vision20130.go.ke

process, subsequent to the establishment of the new Constitution, which has created two levels of political authority (national and county).

4. The country had a population of approximately 48 million in 2017, with almost three-quarters of the population below the age of 30,³ as is the case in many other African countries.

Education context

5. Education has arguably been a somewhat successful story in the country. The government has emphasized access to education, introducing the free primary education (FPE) initiative in 2003, which abolished formal fees for primary school. This was followed by the policy of free (day) secondary schooling in 2008, under which the government aims to meet the cost of tuition while parents pay for boarding fees and uniforms. While this national emphasis on education has resulted in more children enrolling and completing the primary cycle, concerns have been raised about children accessing poor quality education, which is reflected in low learning outcomes.

6. The latest Education Sector Report (2016)⁴ highlights the country's progress toward its education sector goals, which are: to increase access to education and training, to improve the quality and relevance of education, to reduce inequality and also to leverage knowledge and skills in science, technology and innovation). The report highlights significant achievements during the period under review across early childhood education, primary education and secondary education, as well as TVET and higher education. The report also highlights that Kenya undertook a major curriculum reform during this period (a crucial focal point for many stakeholders during the First Annual Mission interviews). The report also highlights some key challenges faced by the sector during this period, which have included, for example, deficits in teacher deployment and inadequacies of the current summative assessment system (which is currently undergoing reform, as highlighted by stakeholders, in an effort to align teaching materials, syllabi and assessments etc. with the new competency-based curriculum).

7. However, there is a recognition that the education sector's budget and resource allocations have increased and the key priority areas for financing include teacher resource management (recruiting new teachers and promoting existing ones, FPE, free secondary education, and TVET).

Structure and features of the national education system

8. Kenya's current school education system comprises two years of early childhood education, 8 years of primary (universally funded) and four years of universally funded secondary education (8-4-4). However, a new education system has been developed to replace the previous 8-4-4 system and will be piloted in 2018 and subsequently rolled out over the following two years. The new system emphasizes continuous assessment tests over one-off assessments and has been categorized into three phases: early years education, covering nursery to Grade 3; middle school education, covering Grades 4–9 and senior school education, covering Grades 10–12. The National Basic Education Curriculum Framework implementation plan by the Kenya Institute of Curriculum Development (KICD) states that the last pupils to sit the Kenya Certificate for Primary Education (KCPE) examination will do so in 2019 and the last candidates for the Kenya Certificate for Secondary Education (KCSE) will do so in 2022. Also, in January 2018, the KICD embarked on retraining teachers, as well as beginning to develop learning materials and teaching guides. This in-service training aims to improve competency-based curriculum content, competencies, instruction and assessment for teachers. This new framework specifically states that by the end of early-year education pupils should be able to demonstrate basic literacy and numeracy skills and be appropriately proficient in verbal and non-

³ <http://worldpopulationreview.com/countries/kenya-population/>

⁴ Republic of Kenya, 2016, Education Sector Report, 2017/2018–2019/2020.

verbal modes of communication. There are clear guidelines setting out expectations for children at the end of the primary and secondary cycles. The high expectations are indicated by the view that ‘KICD believes that the new curriculum will give every child in Kenya an opportunity to thrive – and no child will be left behind while teachers will be empowered to approach teaching and assessment in a more effective way that will secure high standards for all.’⁵

9. The Ministry of Education, Science and Technology is responsible for national policies and programs that aim to help Kenyans access quality and affordable basic, tertiary and vocational education. The functions of education service delivery are shared between the national and county governments, as stated in Schedule 4 of the Constitution. The functions of the national government cover the following areas: education policy, standards, curriculum, examinations, granting of university charters, universities, tertiary educational institutions, institutions of research, higher learning, primary schools, special education, secondary schools, special education institutions and promotion of sports and sports education. The functions of the county governments in relation to education cover the following areas: pre-primary education, village polytechnics, home-craft centers, farmers training centers and childcare facilities. The traditional level I and II schooling are the responsibility of the national government.

10. The education sector comprises four sub-sectors. The departments responsible for managing the various sub-sectors (or components of sub-sectors) include: The State Department of Basic Education, the State Department for Vocational and Technical Training, the State Department for University Education and the Teacher Services Commission.

National education policies and plans

11. 2017 marks the last year of the implementation of NESP 2013–2018. Starting in 2017, there has been increased commitment from the government of Kenya in devising policies aimed at improving the quality of education. Evidence of this shift includes a new curriculum (discussed above), policies aimed at 100 percent transition from primary to secondary school, a change in textbook distribution and provision of free sanitary towels for girls.⁶ The government has also made promises regarding a ‘truly free secondary education’. Within Kenya’s Vision 2030, at the heart of the social pillar is the NESP, which outlines the investments and reforms required to achieve Vision 2030’s education priorities⁷. The Vision sets out to address the acute teacher shortage and low PTR, to improve enrolment, to enhance the use of technology in schools and to improve the learning outcomes of marginalized groups, including: (1) children from poor households, (2) children with disabilities, and (3) children rescued from early marriages and child abuse. It also aims to reduce regional disparities – in particular in arid and semi-arid lands.

12. The 2013–2018 had a very ambitious scope and scale, reflected in six priority objectives. This plan was the second strategic framework and plan for the education sector; it built upon past accomplishments in the education sector and sought to address some of the challenges that emerged during implementation of the previous plan (2005–2010). Subsequent to the Annual Mission (March 2018), key stakeholders have indicated that a new sector plan has been completed and is likely to be published shortly (estimated to be in May or June 2018).

5 <https://www.nation.co.ke/news/education/education/2643604-3782408-14o33xxz/index.html>

6 https://www.the-star.co.ke/news/2017/12/29/2017-the-year-education-sector-went-through-radical-changes_c1690351

7 <http://www.vision2030.go.ke/vision/>
<http://www.education.go.ke/phocadownload/SEQIP%20VMGF%20REPORT%20JULY%202017.pdf>

1.1.2 GPE in Kenya

GPE support in Kenya

13. In 2005 Kenya became a member of GPE. GPE's financial support to Kenya is summarized in Table 1 below.

Table 1: GPE funding in Kenya

Grant type	Years	Allocations (US\$)	Disbursements (US\$)	Grant agent
Education Sector Program Implementation Grant (ESPIG)	2015–2019	88,400,000	32,587,258	International Bank for Reconstruction and Development (IBRD)
	2005–2008	121,000,000	121,000,000	IBRD
Education Sector Plan Development Grant (ESPDG)	2013	250,000	248,350	IBRD
Program Development Grant	2014	293,488	291,074	IBRD
Civil Society Education Fund 1 (CSEF I)	2009–2012			
CSEF II	2013–2014			
CSEF III	2016–2018			
	TOTAL	209,943,488	154,126,682	

Source: GPE website and documentation (retrieved January 25, 2018)

14. During the evaluation period (2018–2020), GPE's engagement will largely consist of PRIEDE and non-financial support to planning, dialogue/monitoring and financing (e.g. technical support to the treasury regarding budgeting etc.). PRIEDE forms the second ESPIG, in the value of US\$88.4 million. This was supplemented with an additional US\$8.8 million by the government. The World Bank is the grant agent and UNICEF is the coordinating agency. PRIEDE has four key components:

- **Component 1:** Improvement of EGM competencies (US\$34.5 million), including scaling up of the EGM methodology. This component focuses particularly on schools in rural areas, pockets of urban poverty and ASAL counties, which tend to perform poorly in maths.
- **Component 2:** Strengthening school management and accountability (US\$38.8 million).
- **Component 3:** Strengthening capacity for evidence-based policy development at national level (US\$10.8 million). This component aims to strengthen capacity for evidence-based (education sector) policy development at the national level.
- **Component 4:** Project coordination, communication and M&E (US\$4.3 million). This component covers project management functions, supervision and M&E⁸.

1.1.3 Evaluation background

15. In June 2016, the GPE Strategic Plan 2016–2020 aligned its vision and mission to the Sustainable Development Goals (SDGs), and recognized that education is pivotal to the achievement of all other SDGs. It also articulated this vision in actionable goals, as well as both country and global objectives. The GPE Strategic Plan 2016–2020 adopted an M&E strategy for the 2016–2020 period, including a results framework for monitoring progress across three goals and five strategic objectives in GPE's ToC and a set of 37 indicators (fully detailed in Annex C). The strategy comprises independent evaluation

⁸ PRIEDE-Wrap up PPT Jan 28 2016_FINAL; ⁸ Government of Kenya Program Implementation Grant Application, September 24, 2014.

studies, including programmatic, thematic and country-level evaluations, which will lead to an evaluation of GPE's entire portfolio.

Country-level evaluations

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

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

Prospective evaluations

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

19. 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 to assess the validity of GPE's ToC in light of its strategic plan. The prospective evaluations seek to establish if and how GPE inputs and activities contribute to outcomes and potential impact at country level. They are designed to assess GPE's progress on the goals and objectives contained in its mission and vision of inclusive and equitable quality education and lifelong learning opportunities for all.

20. In this context, GPE support is defined as both financial inputs deriving from GPE grants and related funding requirements, and non-financial inputs deriving from the work of the Secretariat, the grant agent and the coordinating agency, and from GPE's global-level engagement (e.g. technical assistance, advocacy, knowledge exchange, quality standards and funding requirements).

21. The following figure maps recent GPE-supported activities against evaluation activities in Kenya.

Figure 1: Timeline of key events in the education sector in Kenya

Category	2003	2005	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Legislation	Free primary education		Free Secondary Education		Constitution of Kenya (2010) Kenya Vision 2030										
Planning		NESP (2005-2010)						NESP (2013-2018)					New sector plan		
GPE events, grants		Kenya joins GPE ESPIG (2005-2008)		CSEF I (2009-2012)				ESDP (2013) PDG CSEF II (2013-2014)			ESPIG (2015-2019) PRIEDE				
World Bank events, grants												SEQIP Approved			
Evaluation Fieldwork for Prospective Evaluation Reports													1st Annual mission (Q1)	2nd Annual mission (Q2)	
GPE Prospective Evaluation Reports													1st Annual Report	2nd Annual Report	Final Synthesis report
Review processes											JSRs 2015-2018				
National Monitoring							Service Delivery Indicators report		MLA (2014)		Education Sector Report (2016) UWEZO (2016) NASMLA (2016)		Education Sector Analysis		

1.1.4 Methodology and tools

22. 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 are presented in an evaluation matrix (included in Annex C).

- Key Evaluation Question 1: Has GPE's support to Kenya contributed to achieving country-level objectives related to sector planning, sector plan implementation, sector dialogue and monitoring, and more/better financing for education?⁹ If so, how?
- Key Evaluation Question 2: Has the achievement of country-level objectives¹⁰ contributed to making the overall education system in the reviewed country more effective and efficient?
- Key Evaluation Question 3: Have changes at education system level contributed to progress toward impact?

23. The methodology for the prospective evaluations is a theory-based contribution analysis approach, and the guiding framework is provided in an evaluation matrix and a generic country-level ToC, developed according to the existing overall ToC for the GPE Strategic Plan 2016–2020. The evaluation methodology envisages a seven-stage process. The first four stages focus on establishing a solid baseline for each country and the subsequent three stages constitute iterative annual country-level reporting. This is further described in Annex C and in the inception report.

24. This approach is consistent with that of the summative evaluations and thus contributes to their final combination in a summative 2020 evaluation. In the application of contribution analysis, the prospective evaluations are forward-looking and assess if inputs and influence in the education sector planning are conducive to intermediary outcomes, as per the ToC. Conversely, the summative evaluations trace the ToC ex-post the contribution of inputs to intermediate outcomes, outcomes and impact. The country-level ToCs (in line with the evaluation matrix and the generic ToC) are the evaluator's tools and guiding documents. The evaluation matrix and generic ToC are presented in Annex C.

25. The focus for data collection and analysis is relevant to the key indicators in GPE's results framework and additional indicators described in the respective countries' ESPs. The evaluation team has not collected primary quantitative data but instead has drawn upon secondary data to base the evaluation findings on a solid quantitative basis. In addition, three rounds of data collection will be conducted in 2018, 2019 and 2020. Each of these will contribute to the respective annual reports.

26. Key informant interviews (KIIs) will be conducted in each year of the evaluation and will gather information on the following main lines of inquiry:

- Education planning (including alignment and coherence).
- The implementation of the ESP (including the stage of implementation against plans and implementation challenges).
- Sector dialogue.
- Monitoring (including the strengths and weaknesses of monitoring systems, both in terms of data production and transparency).
- Education financing.
- GPE financial and non-financial support.
- Donor partner activities.

⁹ Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria of relevance, effectiveness, and efficiency.

¹⁰ GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

27. In addition to the KIIs, the Kenya team also attended a full day's workshop that initiated the third Joint Support Mission, which was held at Centre for Mathematics, Science and Technology Education in Africa (CEMASTEA) on March 12, 2018, and which discussed the status of the GPE PRIEDE project. This meeting was attended by GPE members, PRIEDE members, World Bank team members, representatives from the LEG and many other key stakeholders.

1.1.5 About this annual report

28. This report frames the country-level evaluation throughout 2020 and provides the baseline plus an assessment of change thus far, upon which GPE's support to the country will be evaluated. It includes a country-specific ToC; a stakeholder mapping (Annex A); an analysis of GPE's alignment, coherence and harmonization at baseline; an analysis of GPE support to planning, dialogue/monitoring, implementation and financing since baseline; and any available information on the current policy cycle's education sector planning and implementation; an analysis of country-specific work planning and data collection, and relevant analytical approaches; and a stocktaking of available data for all levels of the ToC, highlighting data gaps that could be addressed in subsequent reporting.

29. The anticipated risks and related potential limitations that may negatively affect the conduct of the progressive and summative country evaluations over the three-year evaluation, as well as proposed mitigation strategies, are detailed in Annex F. This report presents a snapshot of relevant information and data available on the country at this time, gathered via desk review and the First Annual Mission; it constitutes the baseline plus progress thus far, for subsequent analysis.

30. This first annual report constitutes an in-country analysis and will contribute to the first synthesis report (November 2018). The Second Annual Mission and report are planned for the second quarter of 2019, and their corresponding synthesis for the last quarter of 2019. Last, the Third Annual Mission and its report will occur between March and April 2020, with the final synthesis being finalized between April and May 2020.

1.2 Country-specific ToC

1.2.1 Objective

31. The evaluations are based on a generic country-level ToC that elaborates the key changes targeted by GPE and their main causal explanations and factors, and alternative hypotheses that determine them. The generic ToC assumes a scenario in which 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 to be tailored to each country's context in the form of a country-level ToC.

1.2.2 Development of country-adapted ToC

32. 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 one to four of the evaluation methodology, including the first country mission. These include the following:

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

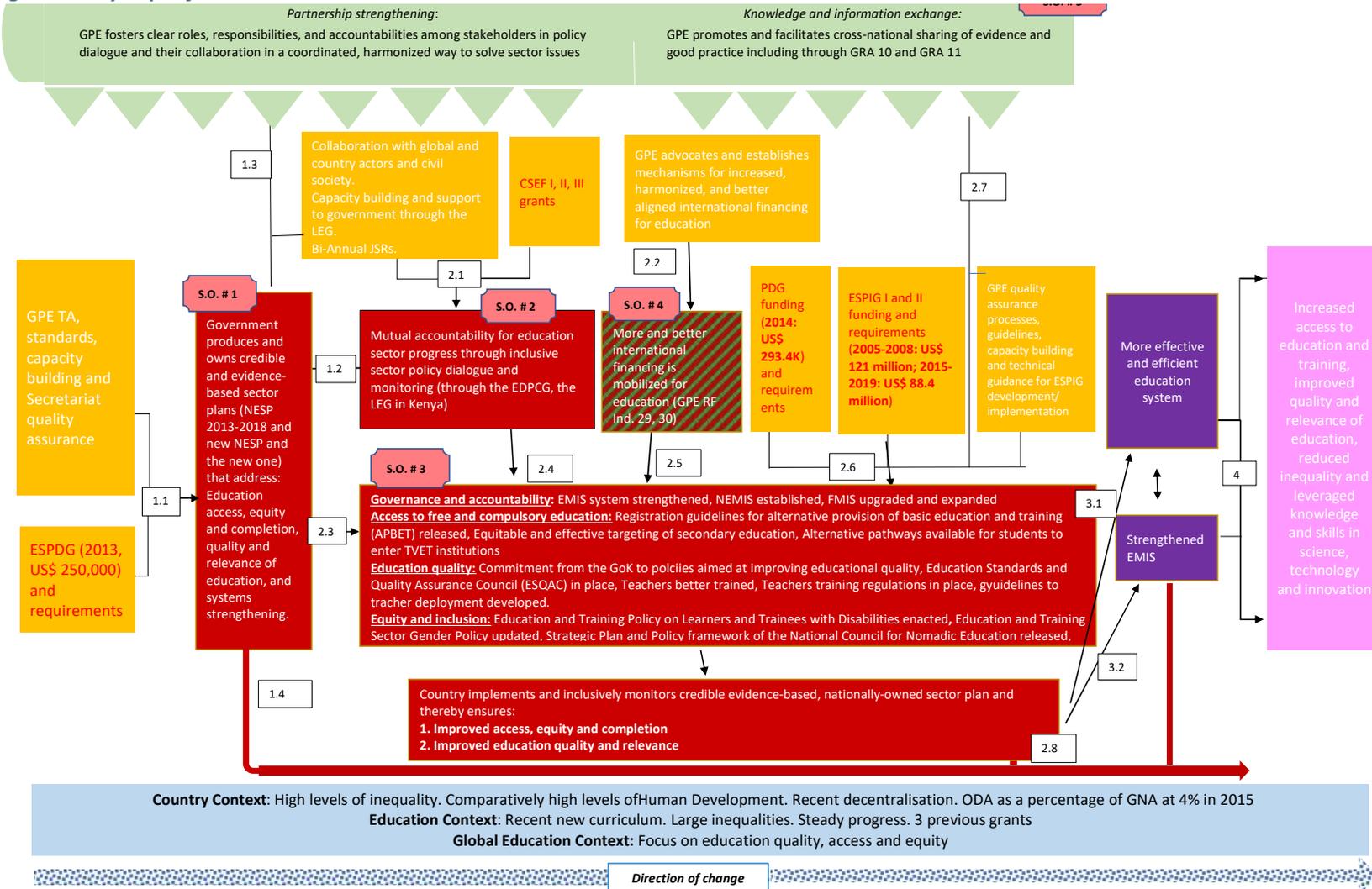
- **Stage Four:** Assessing the validity of the ToC on the basis of the current state of affairs and the broader evidence base for each country in the prospective evaluation sample.

1.2.3 Country-specific ToC

33. below outlines the emerging country-specific ToC for Kenya within the review period. The TOC will continue to be reviewed and updated during the course of the evaluation.

34. The ToC presents the logical links from inputs to impact. It suggests that GPE financial and non-financial support will increase access to, and the quality and relevance of, education in the country. The logical links in the ToC also suggest that GPE's activities will lead to a stronger, more inclusive planning process, and will foster improved mutual accountability, as well as improving financing quality and quantity. The ToC suggests that the intermediate outcomes will lead to stronger education systems that will deliver on the NESP.

Figure 2 Kenya-specific ToC



LEGEND

xxx	Non-financial GPE inputs/support (technical assistance, facilitation, advocacy)
xxx	GPE financial inputs/support (grants) and related funding requirements
	Country-level objectives that GPE support/influence directly contributes to. <u>Underlined</u> items are issues (at least partly) supported through the ESPIG-funded PRIEDE project.
	Global-level objectives that GPE support/influence directly contributes to, which have consequences at country level
	Global-level objectives with ramifications at country level, that are influenced but not solely driven by GPE's global and country-level interventions and/or influence
	Intermediate outcomes: Education system-level changes
	Impact: Changes in learning outcomes, equity, equality, and inclusion
	Contextual factors

S.O. # 3

Corresponding Strategic Objective in the GPE 2020 Strategic Plan

1

Numbers represent the key areas where **logical linkages** (explanatory mechanisms) connect different elements of the theory of change to one another ('because of x, y happens'). Numbers are aligned with the anticipated sequencing of achievements (1. sector plan development, 2. sector plan implementation, sector monitoring and dialogue, 3. education system-level changes, 4. envisaged impact).

1.2.4 Assembling the contribution story

35. GPE claims to contribute in the areas of planning, implementation, financing, dialogue and monitoring, through both financial and non-financial inputs.

36. As outlined in the inception report, there are seven mechanisms by which GPE claims to contribute to impact. The mechanisms, critical underlying assumptions, contribution claims and indicators to assess GPE's contribution in Kenya are provided in Table 2. The Kenya case study makes use of the framework from the GPE country-level evaluation inception report and tailors the assumptions and indicators to the Kenyan case study.

37. Following the GPE contribution claims, Section 2 assesses GPE contributions to education sector planning and policy implementation, financing and sector monitoring in Kenya.

Table 2: Explanatory mechanisms, critical underlying assumptions, contribution claims and indicators for Kenya

Explanatory mechanism	Critical underlying assumptions	(implicit) contribution claim
<p>BECAUSE (1) GPE provides ESPDGs and guidance, quality assurance, capacity development and technical guidance, and (2) promotes evidence-based and adaptive planning—DCP governments produce and own credible and evidence-based sector plans focused on equity, efficiency and learning.</p>	<p>There is sufficient alignment across partner activities Country-level partners work inclusively through LEGs.</p> <p>There is political will to use evidence and best practice in sector analysis and planning.</p> <p>GPE has sufficient leverage within the country for GPE advocacy and support to be effective.</p> <p>The process of sector plan development aligns with the principles and good practices promoted by GPE.</p>	<p>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.</p>
<p>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.</p>	<p>The context is conducive to effective partnership engagement.</p> <p>Generated evidence is trusted and accurate.</p> <p>Civil society groups have the capacity to monitor education service delivery, based on outcomes.</p> <p>Parents and communities have the capacity to monitor education service delivery, based on outcomes.</p>	<p>Contribution claim B: GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contribute to <i>mutual accountability</i> for education sector progress.</p>
<p>BECAUSE (1) GPE advocates for increased, harmonized and better coordinated international financing for education, and (2) GPE funding requirements include the promotion of improvements in domestic financing for education promotes – more and better financing for education is mobilized in the country.</p>	<p>Grants and increased national financing are sufficient to support required improvements</p> <p>GPE has sufficient leverage to influence domestic and international education sector financing.</p> <p>External (contextual) factors permit national and international actors to increase/improve the quality of education sector financing.</p>	<p>Contribution claim C: GPE advocacy and funding requirements contribute to more and better financing.</p>
<p>BECAUSE of – (1) GPE funding through Program Development Grants and ESPIGS, and (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</p>	<p>The combination of GPE and partner outputs will result in the policy influence and capacity necessary for education management to achieve outcomes and impacts.</p> <p>Outputs are relevant to partners and government to sustain the partnership and achieve impacts.</p> <p>There is sufficient political will to improve education systems.</p> <p>Partnership outputs are coherent.</p> <p>Public sector duty bearers want education service delivery impact and are willing to change.</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>implements and monitors realistic evidence-based sector plans based on equity, efficiency and learning.</p>	<p>There are sufficient financial resources to implement two large national programs.</p> <p>There is sufficient alignment across partner activities.</p> <p>Government has the capacity and financial resources to continue to implement PRIEDE and absorb TUSOME</p>	
<p>BECAUSE (1) countries implement and monitor realistic, evidence-based ESPs based on equity, efficiency and learning – the education system becomes more effective and efficient in delivering equitable quality educational services for all.</p>	<p>There is sufficient political will to improve education systems.</p> <p>The required partner inputs are sufficient for GPE inputs to be effective.</p> <p>There is sufficient alignment across partner activities.</p> <p>Inputs are sufficient, in combination, to allow partnerships to occur.</p> <p>Grants and increased national financing are sufficient to support the improvements required.</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) 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>Generated evidence is trusted and accurate.</p> <p>There are clearly delineated roles and responsibilities to produce data, report against data and use data to monitor implementation.</p>	
<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>Systemic issues within the education sector keep children out of school, reduce quality and increase inequality.</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>

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

47. This section summarizes the progress since baseline and assesses the likelihood of GPE contributing in the areas of planning, implementation, financing and sector dialogue and monitoring.

2.1 Situation analysis at Year 1

2.1.1 Education sector planning

Summary

- *The NESP is pragmatic, context-relevant and focuses clearly on the needs of the country, while promoting transparency and accountability.*
- *The NESP 2013–2018 was developed in a consultative and participatory manner, with consultation from various agencies and partners. Consultation included members from civil society, teachers’ organizations, donor agencies and international NGOs etc. (such as UNICEF, DFID, the World Bank, African Development Bank etc.).*
- *A new ESP is currently being developed in the country. It has not been made available to the evaluators at this stage but in subsequent years the evaluation will review the new plan with regard to the relevance of PRIEDE under the plan, and if and how lessons learnt from the implementation of the current plan are reflected in the new plan.*
- *The ESP could be developed further, firstly by prioritising the many goals and objectives within the plan; secondly, by building a stronger evidence base; and thirdly, by updating and refining financial data.*
- *In 2013 GPE granted an ESPDG of US\$250,000 for technical assistance and analytical support for the finalization of the NESP. A year later, additional funding was also granted to further assist in this process.*
- *The new ESP has also benefitted from GPE technical support and stakeholder interviews indicate that while this was a highly nationally-led initiative, it has been a collaborative process that has benefitted greatly from the relationship with GPE.*

Assessment of sector planning

48. The Development Partners’ NESP Appraisal Report relating to the NESP 2013–2018 states that the NESP provides ‘...a strong platform for the development of basic education in Kenya and a coherent framework within which to coordinate resources. It should be considered a “living document”, particularly given the current reform and devolution of most sectors in Kenya, and should be adjusted as and when more and better data and evidence becomes available and government and

development partner budgetary commitments become clearer.’¹¹ According to this report, the Ministry of Education, Science and Technology has demonstrated a commitment to working with development partners while at the same time maintaining strong ownership of the NESP. The strengths of the plan that are highlighted in the report are: its comprehensive coverage of the key development needs in basic education, its focus on addressing quality concerns, the plan’s strong prioritization of improving governance and accountability mechanisms, focusing appropriately on effective M&E, and, finally, the Ministry’s ownership and ‘commendable’ commitment to the NESP development process.

49. According to the various stakeholders interviewed, a key strength of NESP is that it is nationally owned. Stakeholders also stressed the plan’s focus on equity, efficiency and learning. In terms of equity and inclusion, the plan specifically focuses on marginalized groups, such as nomadic populations, disabled children, displaced children, victims of post-election violence, children in national disaster areas, minorities and indigenous people, illiterate youth and adults, women, refugee and migrant communities, and the poor. Stakeholders indicated that, as compared to previous plans, these populations received due consideration at the NESP planning stages and are not afterthoughts.

50. The NESP met five of the seven GPE ESP Quality Standards (overall vision, strategic, evidence-based, sensitive to context and attentive to disparities), but did not meet the holistic and achievable criteria.

51. The NESP focuses on key areas of need, such as enrolment (especially for hard-to-reach children and disadvantaged and vulnerable groups), literacy and numeracy, disparities in outcomes and improving overall education quality. The plan emphasizes areas such as teacher quality, leadership, teacher training, increasing overall available resources and monitoring results. The plan is based on four basic principles: inclusiveness, an integrated and unified system, an equitable school environment and quality of learning. The NESP identifies six strategic objectives:

1. Education sector governance and accountability.
2. Access to free and compulsory basic education.
3. Education quality.
4. Equity and inclusion.
5. Relevance.
6. Social competencies and values.

52. The NESP 2013–2018 was developed in a consultative and participatory manner, with consultation from various agencies and partners forming a LEG, called the EDPCG, which provided support to the Ministry of Education, Science and Technology through technical assistance, capacity building and the provision of funding to facilitate consultation around the NESP. The EDPCG included members from civil society, teachers’ organizations, donor agencies and international NGOs etc. (such as UNICEF, DFID, the World Bank and the African Development Bank etc.)¹².

53. The challenges faced by the sector were highlighted in the Education Sector Report for 2017/2018 to 2019/2020. For example, deficits in terms of teacher deployment are highlighted as potentially affecting the quality of learning and pupil performance. The report also highlights the inadequacies of the current summative assessment system and states that this system does not adequately measure learners’ abilities and that it is not sufficiently standardized.

54. The key priority areas that the NESP highlights that need to be financed include teacher resource management (recruiting new teachers and promoting existing ones), FPE, free secondary education and TVET etc. The report also highlights the need for a new teacher deployment framework and the mobilization of donor funding to achieve better results.

¹¹ Development Partners’ NESP Appraisal Report (undated).

¹² ESPDG Initial Grant Assessment Kenya (2013).

55. The negative perceptions of TVET held by the public, parents and potential trainees has meant that it is regarded by many as a career choice of last resort. In the NESP the TVET sub-sector's budget and resource allocations are increased.

56. According to the Development Partners' NESP Appraisal Report, the areas where the NESP could be developed further include prioritizing the many goals and objectives within the plan; building a stronger evidence base; and updating and refining financial data.¹³

57. In addition, the Development Partners' NESP Appraisal Report recognizes that the scope and scale of the NESP is ambitious, with six priority objectives, each of which includes a number of investment programs. It will be important for the feasibility of each of these objectives to be conducted and for priorities to be identified based on this feasibility assessment. In addition, building the evidence base will need to be an area for further development – and in particular the development of an effective EMIS. A key development concern will be the rigorous analysis of the collected data. In conclusion, the development partners' report also states that the NESP provides a strong platform and coherent framework for the development of education and the coordination of resources to that end.

58. According to some interviewed stakeholders, the NESP currently being used faces several challenges. One challenge emerged from the development of the plan by three different state departments, which resulted in three stand-alone volumes. The new ESP (2018 onwards) aims to consolidate these areas into one aligned, coherent and comprehensive plan.

59. The focus of the NESP 2013–2018 aligns well with GPE's goals and objectives, as well as their key focus areas. The goals of GPE are: 1) improved and more equitable learning outcomes; 2) increased equity, gender equality and inclusion; and 3) effective and efficient education systems. Country-level objectives are: 1) strengthened education sector planning and policy implementation; 2) supporting mutual accountability through inclusive policy dialogue and monitoring; 3) ensuring efficient and effective delivery of GPE support; 4) mobilizing more and better financing; and 5) building a stronger partnership. The importance accorded to country-level education sector planning and analysis is represented by the fact that in 2016 GPE allocated US\$8.9 million toward education sector planning worldwide. The NESP 2013–2018 aligns well with these goals because it emphasizes a holistic and balanced development of the entire education system. In particular, it focuses on enrolling all children in basic education, improving literacy and numeracy, reducing disparities and improving education quality through a focus on teacher quality, school leadership, more effective teacher training, increased resources to the sector and improvements in monitoring, sector governance and accountability.

60. According to stakeholders, a new ESP has virtually been completed and is to be shortly published (estimated to be in May/June 2018) and an appraisal of this ESP will be presented as soon as it becomes available.

61. Government stakeholders have indicated that the new ESP, partially funded by GPE (provided for by Component 4 of PRIEDE), is well aligned with GPE's goals and objectives and is well-guided by donor partners, not only financially but also through technical assistance. Additionally, government stakeholders have commended the collaboration across different entities in developing the new plan.

62. According to stakeholders, the new ESP aims to balance the country's strategy and the areas of focus of the donor agencies. For example, it was highlighted that the donor agency strategy appears to focus on quality and learning, while the country strategy may focus on different aspects (such as transition and access). However, stakeholders did state that the goals generally were well aligned and harmonized, with all stakeholders focusing on the same high-level goals – for example, SDG4. It was

¹³ The evaluation team did not find clear evidence regarding how and why the plan came to be so ambitious and not sufficiently prioritized.

also indicated that the development of NESP 2013–2018, with GPE support, has developed local capacity within the Ministry to the level that it is now able to drive the process of developing the new ESP. This process is involving partners, civil society and other stakeholders, and by working with the grassroots, while also keeping national priorities at the forefront, the new ESP aims to be more inclusive.

63. In addition to this, the new ESP has also considered the opinions and views of civil society groups, as well as the 47 county-level stakeholders and other interested parties in the education sector. In collaboration with donor partners, there is an aim for future policy and planning to be more evidence-based, through the efforts that have gone into strengthening the NEMIS.

64. The new ESP has not been made available to the evaluators at this stage but in subsequent years the evaluation will review the new plan with regard to the relevance of PRIEDE to that plan, if and how lessons learned from the implementation of the current plan are reflected in the new plan.

GPE contribution to sector planning

65. In 2013 GPE granted a US\$250,000 ESPDG for technical assistance and analytical support for the finalization of the NESP. ESPDG resources were used to fund technical assistance for the development of NESP components related to teacher effectiveness, teacher development and teacher management; to develop a detailed costing of the project components; to design the NESP results framework and M&E framework; and to identify specific implementation arrangements. ESPDG resources and funding requirements also ensured that the draft sector plan underwent an external appraisal process.

66. A year later (in 2014) additional funding of US\$50,000 was approved to enable the World Bank (the supervising entity, now called the 'grant agent') to work with the government and development partners to complete the project design, submit the final financing application to GPE and ensure implementation readiness. The Secretariat provided quality assurance by reviewing and providing comments on the draft sector plan.

67. The consultative nature of the process through which the current plan was developed was repeatedly stressed by stakeholders, who indicated that the convening of various stakeholders for planning by the coordinating agency was an important contribution of GPE.

68. A comprehensive sector analysis (2018), financed through the ESPIG, was conducted; it was recognized that this benefited greatly from donor support.¹⁴ This sector analysis provides a roadmap for future planning and, therefore, highlights the importance of technical as well as financial support in planning. It is also important to highlight the fact that the previous ESP was not being 'overhauled' but that the sector analysis was assessing what had been accomplished from the previous plan, building on what has been achieved so far, as well as reviewing any previous challenges so as to re-focus and strengthen the future plan.

¹⁴ The sector analysis report was not available at the time of reporting and will be reviewed and discussed in the next annual report.

2.1.2 Mutual accountability through sector dialogue and monitoring

Summary

- *Development partners (including CSOs and Technical Assistance) have been engaged extensively through the EDPCG (the LEG in Kenya).*
- *Dialogue has focused increasingly on systems strengthening.*
- *The financial accountability systems of the grant agent in Kenya (World Bank) have increased donor confidence after previous misuse of funds.*
- *JSRs have not taken place, yet DPs report monitoring implementation on a monthly basis. It is not clear the extent to which sector plan implementation is monitored, or if monitoring remains predominantly at the project level as sector level monitoring does not appear to take place through a systematic and documented process. However, there is evidence of improved joint monitoring at the project level – including joint missions for PRIEDE and TUSOME being introduced.*
- *Education data are not always available, despite several projects and programs being implemented in the sector – indicating M&E frameworks for these remain weak. While the new NEMIS has been established, it has not been in place long enough to generate consistent and reliable education data.*
- *There was a widely held view across a range of stakeholders that the GPE's contribution has been extensive in relation to the improvements that have been seen in terms of sector dialogue and monitoring.*

Assessment of sector dialogue

69. The First Annual Mission to Kenya provided some evidence that sector dialogue in the country has changed over the last few years, with the involvement of GPE, which has potentially resulted in greater collaboration and transparency across different groups. The government also highlighted the fact that there was a willingness on their part to build on this going forward. Interviews with stakeholders (such as those from the private sector and private book publishing groups) indicated that they had been engaged more in conversations regarding the sector in recent years, as compared to the past, and much of this was attributed to GPE. A key strength identified is that a wider range of stakeholders appear to have gained a voice (particularly CSOs and teacher associations) and are engaged in sector dialogue than was previously the case. This dialogue takes the form of regular meetings engaging a range of partners on relevant and mutually agreed priorities.

70. The EDPCG is the LEG. It is a broad-based, highly representative stakeholder forum. The EDPCG is frequently engaged on the status of PRIEDE's engagement, through its monthly meetings. The group was formed to support the Ministry of Education, Science and Technology in the successful implementation of the NESP 2013–2018.

71. The Development Partners' NESP Appraisal Report (undated) examines stakeholder engagement and indicates that development partners have been engaged extensively in the development of the NESP under the auspices of the EDPCG, through which development partners in Kenya meet monthly to share information, discuss policy issues and seek opportunities for alignment and harmonization. The PRIEDE Mid Term Review (2017) also notes that mutual accountability takes place, in that the EDPCG frequently engages on the status of project implementation through monthly meetings. The

level of development partner engagement highlights relatively high levels of inclusivity and mutual accountability in this regard within the system.

72. Some stakeholders reported that the GPE's operational model for appointing the coordinating agent and grant agent in the country could benefit from more clarity with regards to the roles and responsibilities of these agents. It was suggested that this would improve accountability.

73. Additionally, DPs expressed concerns regarding clarity within government and the extent to which it was known that GPE grants managed by the GA, were not programs of the GA. However, this was not reflected in interviews with government officials, who demonstrated knowledge of GPE grants and programs funded by the GPE, which were managed through the GA.

Assessment of sector monitoring

74. The NESP adopted a results-based framework, in which the results (outputs, outcomes, impact, performance, efficiency and value for money) are proposed to be measured annually in order to measure the effectiveness of inputs at many levels (national, county, sub-county, institution). An annual cycle of Joint Sector Reviews (JSRs) forms part of the NESP. These annual JSRs are established to provide a comprehensive report on the sector. However, progress reports suggest that monitoring appears to be taking place at the project level and there is no evidence JSRs did occur, between 2015 to 2018.

75. Stakeholders reported monitoring takes place through the LEG, whereby the ministry presents the sector plan, budgets, challenges, gaps and needs. Stakeholders reported that on a monthly basis the government and DPs review progress 'line by line, output by output'. However, it is not clear the extent to which this monitoring covers the full sector plan, and to what extent the process monitors the implementation of programs. In this way, monitoring of implementation of the sector plan (not just at the project level) does not appear to take place through any systematic and documented process. Therefore, there is little data available on changes in monitoring at the sector level, but evidence of increased joint project monitoring – for example: joint sector missions now take place between PRIEDE and TUSOME. Relevant sector data are not yet consistently available.¹⁵ The Education Sector Report (2016) highlights that while there are several projects and programs being implemented in the sector, the M&E framework for these remains weak and, therefore, requires strengthening to ensure that allocated funds are used for the purpose for which they are intended. The situation appears to have changed over the recent past, with a greater focus on strengthening systems and sector monitoring, however this appears to predominantly take the form of investments into sector monitoring systems, rather than established processes for inclusive monitoring.

GPE contribution to sector dialogue and monitoring

76. There was a widely held view among a range of stakeholders consulted that GPE has contributed extensively to the improvements that have been seen in both sector dialogue and monitoring toward mutual accountability. Pushing the dialogue from construction, to access, and then to quality learning has been attributed as a GPE initiative. One stakeholder commented *'To get the government to start talking about low learning outcomes and move the discussion from outside Nairobi – I 100 percent attribute that to the GPE.'*

77. Interviews with stakeholders and documentation confirm that regular project reviews (there is a plan that there should be biannual joint review missions)¹⁶ have been conducted and have engaged all stakeholders in a consultative manner. The GPE has contributed through its operational model which brings together a wider range of stakeholders to make the process more consultative, through the coordinating agency and the grant agent.

¹⁵ Watkins, K. and W. Alemayehu (2012) Financing for a Fairer, more Prosperous Kenya, Centre for Universal Education at Brookings, Working Paper 6.

¹⁶ Interim Project Status Report (Ministry of Education), March 2018.

78. Subsequent missions will explore how sector monitoring takes place in the absence of JSRs.

79. Stakeholder interviews have also indicated that the LEG in Kenya and the development partners are typically coordinated by the Ministry of Education, Science and Technology, and that GPE, through the CA and GA have contributed significantly to strengthening the LEG and allowing complementary programs to be discussed. For example, it was mentioned that joint meetings are held by the PRIEDE and TUSOME teams to enable conducting of joint monitoring and support for the two programs, thereby leveraging resources and technical knowledge. Sources have also indicated that other groups are also involved in discussions and that this collaboration has included the inputs of civil society members, as an example.

80. It has also been recognized that GPE has significantly contributed to two key elements of system improvement in the country. The first relates to the development of government capacity (see Section 2.2 Progress toward a stronger system). The second relates to enhancing donor coordination and confidence (as evidenced by alignment of donor funding to government systems). In Kenya, as the World Bank is the grant agent, GPE trust funds are subject to the World Bank financial accountability requirements. The World Bank uses strong systems of financial management, audit, risk management and fraud prevention. For this reason, fast and effective responses to instances of fund misuse have been possible. These strong systems have increased donor confidence after the large-scale corruption in the education sector in Kenya in 2010–2011, and the forensic audit of Kenya's ESSP will see the government of Kenya repay US\$27 million to GPE and US\$7 million to other partners.¹⁷

81. There is a strong element of M&E built into Component 4 of PRIEDE. One activity within this is the formation of a national steering committee and Project Coordination Unit (PCU). Sub-component 4.2 of Component 4 relates to project M&E and supports the M&E of project progress and outcomes. The sub-component supports the enhancing of capacities for M&E at the national, county and institutional levels. The primary objective of this is to provide timely, sufficient, complete and reliable information to ascertain the progress of PRIEDE against expected results. It aims to build a robust results-based M&E system. This will be achieved through conducting baseline, midline and end-term evaluations, including the implementation of EMIS, an impact evaluation under Component 2 and documentation of good practices and semi-annual joint project reviews by the government of Kenya, the World Bank and other development partners. These were the requirements mentioned in the Project Appraisal Document (May 2015). According to the Joint Support Mission Report (March 2018), as at February 28, 2018, the Ministry of Education, Science and Technology stated that it had established a PCU, and had trained 16 PCU staff on project M&E for donor-funded projects in June/July 2017, and county teams had been trained on fiduciary matters in the previous year. Biannual joint review missions have been conducted.

82. The PCU has successfully hosted three joint missions (February 2016, July 2016 and a mid-term review in February/March 2017). A financial management review mission was completed in October 2016 and September 2017. Documentation of best-practices has been prepared in relation to developing a comprehensive evaluation strategy. A baseline evaluation was conducted in November/December 2016 and the midline study was being finalized in the first half of 2018. The impact evaluation is scheduled to take place at the end of the project. Internal audits have been carried out in 20 selected counties and an internal M&E mission was carried out in September/October 2017. Another aspect of Component 4 is the development of a comprehensive communication strategy and its implementation, while another relates to disclosures and safeguards. For the former, disbursement of funds to schools and counties has been published in local dailies and on the Ministry of Education, Science and Technology website. Quarterly newsletters have also been developed and distributed (Joint Support Mission Report, March 2018). With respect to the latter, a vulnerable and

¹⁷ Australian Multilateral Assessment (GPE), March 2012.

marginalized group framework has been developed, and a grievances and compliments register has been created and is in use.

83. Stakeholder interviews have indicated that PRIEDE has resulted in greater engagement on the part of teachers and parents, as well as increased monitoring. Interviewees suggested improved class attendance rates of teachers and lesson observations occurring on course. According to some interviewed stakeholders, TPAD has emerged as a very useful tool in ensuring teachers do not miss class and hence has created greater accountability at the school level. This view was also voiced by representatives of the teachers union who indicated that while there was initial reluctance from teachers to adopt this tool, the value of it became apparent over time (through dialogue via seminars and workshops held by the Teacher Services Commission) and teachers have since accepted it as a useful tool for professional development and accountability. However, it was noted that teachers wanted some proof, in the form of certificates, of having attended the training.

84. There is also evidence of complementarity of the EGM component of GPE II funding with a national-level government reading program (TUSOME) that aims to scale up the existing early grade reading component (this literacy program is funded by DFID and USAID). Alignment of the two programs was recognized as being important due to the links between the ability to read and success in mathematics, as well as acknowledging efficiency gains in training the same teachers who are involved in both subjects. This complementarity was also apparent during the stakeholder interviews. One aspect highlighted is the fact that the CSOs deliver both TUSOME and PRIEDE and, therefore, are trained jointly to implement the programs. They also conduct both TUSOME and PRIEDE classroom observations. However, a difference across the two programs in how CSOs are remunerated has been highlighted as a disincentive to CSOs conducting PRIEDE observations.

85. It was also indicated that the multiple roles assigned to CSOs has meant that often they are not truly accountable to anyone. Additionally, the extent to which the resultant data collected by the CSOs are actually used by the government was questioned in relation to PRIEDE.

2.1.3 Education sector financing

Summary

- *Expenditure on education as a share of total government expenditure has been declining consistently over more than a decade, to below GPE norms.*
- *However, total expenditure and expenditure per student (PPP\$) has risen.*
- *There is evidence of GPE grants being aligned with national systems and co-financed projects and sector pooled funding mechanisms.*
- *GPE's financial contribution through PRIEDE in particular is seen as crucial to the success in the education sector witnessed over the last few years.*

Assessment of sector financing

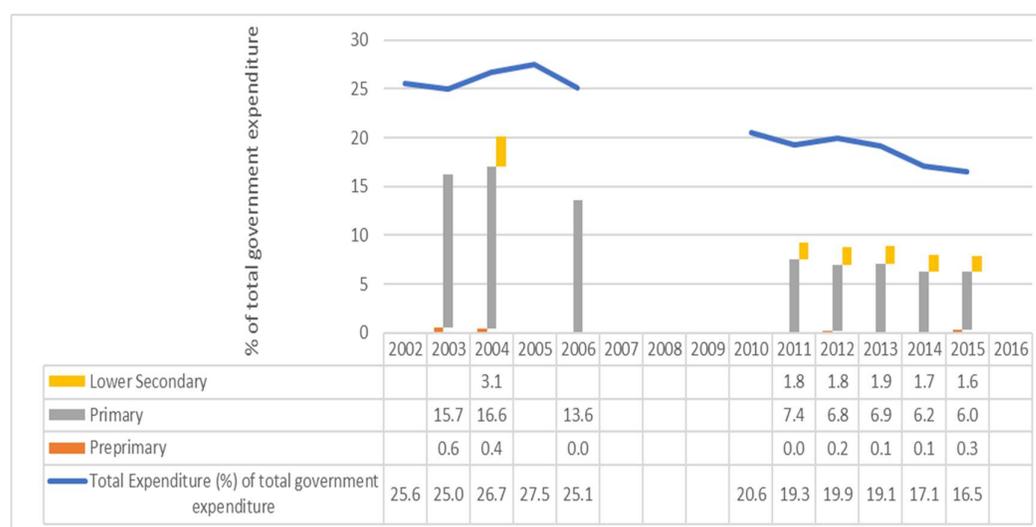
Public expenditure on education

86. The constitutional and policy focus on education in Kenya requires parallel revenue and budget allocation to help meet those constitutional and policy targets aimed at reducing disparities in equitable access to and quality of education. Currently, the state of affairs in Kenya indicates that the country has a strong commitment to education via sustained public spending within the sector at six

percent of GDP, which equates to a quarter of its total national budget over the last five years or so¹⁸. This has been a key strength in the country.

87. According to UNESCO Institute for Statistics (UIS) data reported in Figure 3 below, expenditure on education as a share of total government expenditure has been declining consistently over more than a decade to below the GPE-promoted target (20 percent), and this is a current weakness within the country. The largest share of expenditure has been allocated to primary education and the smaller share to lower-secondary education has also seen a decline.

Figure 3: Expenditure on education as a percentage of total government expenditure (percent)



Source: UIS data *Data not available for 2007–2010

88. However, while education expenditure as a percentage of total government expenditure may have declined across all education levels, the total expenditure per student (in PPP\$) has risen from US\$254 in 2012 to US\$313 in 2015 (UIS data). According to the Education Sector Report (2016), the overall education sector budget and resource allocations have increased from KSH 339,924 million in 2016–2017 to KSH 349,861 million in 2017–2018. Allocations to basic education increased from KSH 56,246 million to KSH 67,106 million in 2015/2016. The total budgetary allocations to the Teachers Service Commission increased from KSH 165,683 million in 2013/2014 to KSH 186,586 million in 2015/2016.

89. The Education Sector Report (2016) has noted that the key priority areas to be financed include teacher resource management (recruitment of 5,000 additional teachers and promotion of existing workforce), FPE, free day secondary education, university education, TVET infrastructure, and science and technology research. An additional allocation was also provided for the establishment of seven new universities.

90. In 2018/19 the government plans to spend 3.9 percent of the national budget on early learning and basic education, an increase in the allocation of 48 percent from 2017/18. However, despite this increase, allocations to primary education have declined by 4.1 percent and have been in decline since 2015/16. The FPE program, which accounts for 87.5 percent of the primary education budget, is facing a funding deficit of KSH3.4 billion. A pro-poor analysis of Kenya's 2018/19 budget estimates states that 'the reduction in funding does not respond [to] the government's commitment to achieve universal

¹⁸ <http://www.worldbank.org/en/news/press-release/2017/09/15/kenyas-education-sector-gets-a-200-million-boost-from-the-world-bank>

primary education and may have negative implications for achieving the program's targets for 2018/19 such as the planned increase in beneficiaries by 100, 000 students.¹⁹ The School Health, Nutrition and Meals Program, which provides a midday meal to primary school students in ASAL, urban informal settlements and other areas with high poverty levels, is also facing a financing deficit of KSH0.5 billion. This may limit its scope to achieve the government aim to increase the beneficiaries of the program by six percent in 2018/19.²⁰

91. Allocations to secondary education have almost doubled in 2018/19 and much of this is earmarked for free day secondary education. Despite this increase, there remains a resource gap of US\$283 million to support free day secondary education.²¹

92. The NESP financing gap ranges between 1 and 5 percent for each year of implementation. The financing gap for 2013/14 was estimated at 5 percent, that for 2014/15 at 2 percent, that for 2015/16 at 5 percent, that for 2016/17 at 2 percent and that for 2017/18 at 1 percent.²²

Amount and quality of international financing

93. Kenya's ODA as a percentage of gross national income is 4 percent (2015, World Bank), with the nation's largest donors being the U.S., the World Bank, the U.K., Japan, and the International Monetary Fund.

94. In 2014, Kenya leaped past Ethiopia, Ghana and Tunisia as one of the top 10 economies in Africa. This put Kenya into the World Bank's lower middle-income country category.²³ As a country with between US\$1,045 and US\$4,125 GDP per capita, Kenya was therefore no longer eligible for interest-free loans. Stakeholders in-country expressed concerns regarding this reduced funding and felt that this could be perceived as a disincentive for success. Many stakeholders felt that the success Kenya had achieved with the assistance of donors required sustained funding to allow for the returns from these investments to be fully capitalized. While these concerns are apparently not shared by analysts, who state that the change in status is unlikely to have an effect in Kenya since investors and lenders have already been treating it as if it were a middle-income country,²⁴ it is clear that the next ESPIG to Kenya will be significantly smaller. Figure 4, Net ODA and official aid have been decreasing since 2013 and in 2016 US\$251 million of the US\$2.19 billion ODA received by Kenya was committed to education.²⁵

¹⁹ 'Pro-poor Analysis of Kenya's 2018/19 budget estimates. What do the numbers tell us?' June 2018. Devinit.org. Page 14

²⁰ Ibid. Page 14.

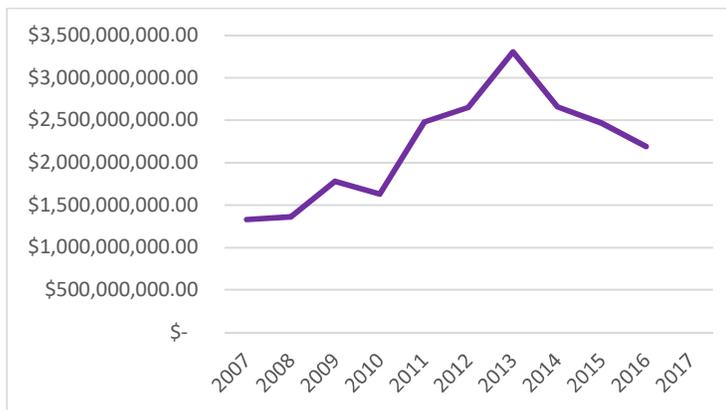
²¹ Ibid. Page 15.

²² NESP Financing Gap, NESP Volume 1.

²³ Business Today. 5 September 2014. *Kenya becomes a Middle-Income Economy*. Accessed at <https://businesstoday.co.ke/kenya-becomes-a-middle-income-economy/>

²⁴ Business Today. 5 September 2014. *Kenya becomes a Middle-Income Economy*. Accessed at <https://businesstoday.co.ke/kenya-becomes-a-middle-income-economy/>

²⁵ <https://www.oecd.org/dac/financing-sustainable-development/development-finance-data/Africa-Development-Aid-at-a-Glance-2018.pdf>

Figure 4 NET ODA and Official Aid Received

Source: World Bank Development Indicators 2018

95. Stakeholders indicated that under the NESP (2013-18) funding was not pooled and priority programs were not implemented due to a lack of resources or partners taking interventions off budget. Stakeholders stated that this is being addressed in the new ESP. While the evaluation team has not yet been able to review the current NESP, future evaluation reports will include an assessment of the plan with regard to pooled funding.

96. In Kenya the quality of financing is improving. While a government PCU is in place, and while there are examples of donors implementing their own programs, the coordination between donor implemented programs and the government's PCU are strong and many programs are being handed over to government in coming years. For example, the TUSOME National Coordinator has been based in the Ministry of Education, Science and Technology, and integrated with the PCU team, and the project will be taken on and scaled up by government in 2019.

GPE contribution to sector financing

97. Indicators 29-30 of the GPE Results Framework indicate that GPE grants are aligned with national systems and alignment between donors is reflected in a number of co-financed projects in the sector. Sector pooled funding mechanisms are being developed to ensure pooled funding opportunities are available.

98. While the PRIEDE funding covers around 5 percent of the overall public resource allocation to education,²⁶ the cost efficiencies add additional value on top of the funding figure. GPE's financial contribution through PRIEDE is seen as crucial to the success within the education sector witnessed over the last few years. The delivery model and structure of PRIEDE is being utilised as an effective model to support other programmes as they begin to be implemented through government after previously being donor implemented. One government stakeholder even stated that the cost savings to the government due to adopting the PRIEDE model have been immense and invaluable. One stakeholder suggested that prior to this model, an inefficient process of budgeting and financing was in place and this led to many cost inefficiencies that have since been improved upon. In this respect, GPE appears to have contributed to improving the quality of financing within the government. In particular, one stakeholder mentioned that finances tend to be the biggest challenge that government faces in the implementation of education policy. However, GPE financing was highlighted as relatively better than others. This was attributed to the fact that GPE was said to engage actively with various government members and to include the government to such an extent that they take ownership of the program so that sustainability is in-built and funding of the project is also in-built in the national

²⁶ Based on figures from the NESP Volume One: Printed estimates in the 2013/14 Budget and spending for 2016/17 based on a linear extrapolation.

treasury budget. It was indicated that this may not be the case for TUSOME, which is currently housed outside the Ministry of Education, Science and Technology, and is expected to be absorbed within the Ministry in the near future.

99. Document review and stakeholder interviews provide some evidence of GPE support having leveraged additional financing from donor partners (e.g. SEQIP). In addition, as stated in Section 2.1.2 of this report, the strong financial management, audit, risk management and fraud prevention systems of the GPE grant agent in Kenya increased donor confidence after the large-scale corruption.

100. A full additionality analysis to assess whether additional finance has been leveraged from other stakeholders (e.g. private finance etc.) will be undertaken at midline and endline.

2.1.4 Education sector plan implementation

Assessment of ESP implementation

Summary

- *Despite two elections, elements of all NESP priority areas have been implemented, however there are key areas where improvement could be made to achieve ambitious targets.*
- *Many key stakeholder responses reflected a limited interest in how project activities relate to or fit within the NESP, signalling a need for partners to communicate the bigger NESP picture and how the different components of the plan contribute to the wider goals of the education sector in Kenya.*
- *Government stakeholders outlined financial processes as one of the greatest limitations to NESP implementation across the sector. The combination of financial (PRIEDE implementation) and non-financial support (capacity building regarding financial reporting to donors) were identified as key GPE contributions to education sector plan implementation.*

101. The bureaucratic processes involved in fund disbursement were frequently cited as less efficient than similar processes outside of government systems and for this reason, financial processes are one of the greatest limitations to implementation across the sector.

102. The Education Sector Report (2016) noted that the key priority areas financed under the NESP include teacher resource management (recruitment of 5,000 additional teachers and promotion of existing workforce), FPE, free day secondary education, university education, TVET infrastructure, and science and technology research). However, despite significant progress in educational expenditure allocations, there are key areas where improvements could be made in implementation to achieve ambitious targets. Continuous review of the curriculum is one such area that requires focus, particularly in the form of more resources toward piloting the new curriculum, as well as resources focused on training teachers for effective implementation (Education Sector Report 2016). This also needs to be aligned with the needs of teachers in that a mandate for competency-based education and training needs to be developed and effectively implemented so that the teachers are equipped with the knowledge and skills they need to translate new curricular needs into actual improvements in outcomes.

103. In interviews with stakeholders in Kenya, questions regarding the progress of NESP implementation were often met with project-level implementation information. When probed, some stakeholders clearly outlined their scope of interest at the project level and not at the level of sector plan implementation. Some were unable to conceptualise how the various projects relate to the broader plan. This implies some further work can be undertaken to ensure actors know how different elements of the plan fit together to contribute to the sector as a whole. Evidence regarding progress towards NESP priorities are outlined in Table 3 below.

Table 3: NESP Implementation by Priority Area

NESP COMPONENTS ²⁷	IMPLEMENTATION
PRIORITY ONE: SECTOR GOVERNANCE AND ACCOUNTABILITY	<p>A National Pre-Primary Education Policy was adapted in 2018 and the Basic Education Regulations, 2015 outline institutional and agency responsibilities.</p> <p>The NEMIS has been established and there is improved data collection, availability, integration, access and capacity at county and sub-county level.</p> <p>While there was no direct evidence regarding the upgrading and expanding of the FMIS, there is secondary evidence to suggest that since the introduction of FMIS employee's ethical conduct has improved and that this was predominantly achieved through the provision of rules, processes and procedures for employees. In addition, there is evidence that FMIS lead to a positive effect on financial probity where there is management commitment, capacity and training and positive views of FMIS.²⁸</p>
PRIORITY TWO: ACCESS TO FREE AND COMPULSORY BASIC EDUCATION	<p>The registration guidelines for alternative provision of basic education and training (APBET) were released in 2015 to cover the range of education providers.</p> <p>Policies to promote supportive and equitable learning environments include the basic education regulations, 2015. The regulations include the mandatory facilities to be required in every institute of basic education and training.</p> <p>Equitable and effective targeting of secondary is reflected in the approved SEQIP. Approved in September 2017, SEQIP is expected to run for a six-year period and will support 7, 852 primary and, 127 secondary schools that, across 30 counties that are economically and educationally disadvantages</p> <p>We did not find evidence that the special needs education policy framework of 2009 has been updated.</p> <p>Alternative provision of basic education and training is dealt with expressly in part v of the basic education regulations of 2015.</p> <p>There is evidence of alternative pathways available for students to enter TVET institutions and progress to universities for students who have completed their KCPE but have not completed their KCSE.²⁹ however, it is unclear how many TVET institutions offer these alternative pathways and the level of community engagement regarding the opportunities provided by alternative pathways.</p>
PRIORITY THREE: EDUCATION QUALITY	<p>Some key strengths identified by the evaluators is that 2017 saw increased commitment from the government of Kenya in devising policies aimed at improving educational quality</p> <p>With respect to quality, the 2015 Regulations stipulate that the Education Standards and Quality Assurance Council (ESQAC) is mandated to carry out standards assessments, quality assure, monitor, evaluate and oversee the implementation of the Alternative Providers of Basic Education and Training programs for quality education.</p> <p>PRIEDE implementation, (see GPE contribution to ESP implementation below).</p>

²⁷ As detailed in the MEST NESP Operational Plan.

²⁸ Bosire, K. 2016. *The Impact of Integrated Financial management Information System (IFMIS) on Financial Performance in the Public Sector in Kenya.*

²⁹ KTN News. *Little Known Alternative Path in Education for Kenyans.* <https://www.standardmedia.co.ke/lifestyle/article/2000202930/little-known-alternate-path-to-higher-education>

NESP COMPONENTS ²⁷	IMPLEMENTATION
	<p>The Basic Education Regulations, 2015 addresses the issue of teacher training, which provides that all persons deployed to teach in basic education institutions of learning and training shall be required to have undertaken a training program approved or recognized by the Cabinet Secretary (CS) and be registered by the Teachers Service Commission (TSC). The regulations define ‘institution of basic education and training’ broadly to include pre-primary, primary and secondary school.</p> <p>According to the Education Sector Report (2016), the number of teacher’s managed by the Teacher Resource Management Commission falls short of the number of teachers required to staff all schools in the country (which would require the employment of an additional 87,489 teachers).</p> <p>The TSC developed guidelines on teacher deployment in 2017. Changes included a limit to the number of years heads of institutions should service in one station, the introduction of a competitive basis for recruitment, the use of performance contracting and teacher performance appraisals and supervision of curriculum implementation by school heads.</p> <p>CEMESTEVA has implemented training of ICT integration in education in order to prepare teachers in using ICT in the roll-out of the digital literacy programme of the government of Kenya.</p>
<p>PRIORITY FOUR: EQUITY AND INCLUSION</p>	<p>An Education and Training Policy on Learners and Trainees with Disabilities was enacted in May 2018. This is complemented by implementation guidelines for the sector regarding the policy for learners and trainees with disabilities</p> <p>The Education and Training Sector Gender Policy was updated in 2015.</p> <p>The National Council for Nomadic Education in Kenya released the Strategic Plan 2015-16 and the Revised Policy Framework on Nomadic Education in Kenya in 2015.</p> <p>Policy studies on cost-effective model of financing education in ASAL areas, disadvantaged and informal settlements in Mombasa and Nairobi, and teacher deployment and utilization in primary education in Kenya.</p>

GPE contribution to ESP implementation

104. In this section we outline how GPE financial and non-financial support and influence contributes to the effective and efficient implementation of the ESP in Kenya.

105. As at May 2018 the vast majority of PRIEDE components had been implemented, with many targets being exceeded (such as teacher training targets).

106. Government stakeholders responsible for project implementation outlined financial processes as one of the greatest limitations to implementation across the sector. The bureaucratic processes involved in fund disbursement was frequently cited as less efficient than similar processes outside of government systems. In addition to the government processes, the requirement to build capacity on WB procurement and financial regulations delayed PRIEDE implementation by about six months. The loss of institutional knowledge due to retirements since 2014 were also cited and capacity gaps were filled through support from the National Treasury. However, the establishment of PRIEDE was cited as having trained key government officials on accounts and procurement and managing external resources. Government stakeholders also perceived GPE financial support to “start-up” the project as a key element of the GPE Operational Model that adds value above and beyond other funding sources.

107. With the implementation of textbook distribution came a reduction in the school capitation grant in recognition of textbooks being provided by government. This textbook distribution was highly

controversial and was first undertaken as part of PRIEDE. Government perceived the success of this element of PRIEDE to have provided confidence that such a model for the funding and distributing of workbooks centrally can work more broadly. Additionally, the delivery model and structure of PRIEDE is being utilised as an effective model to support other programmes as they begin to be implemented through government after previously being donor implemented. With regard to PRIEDE implementation, PRIEDE specifically aligns with the goals in the NESP, with a particular focus on early grade numeracy and enhancing teachers' skills. The second key priority of the NESP is the establishment of oversight mechanisms to improve accountability at all levels. This priority also aligns well with the GPE strategic goals and objectives. As mentioned above, the GPE PRIEDE Project Status Report (March 2018) presents the status of implementation of the project as at 2018. The table below summarizes key PRIEDE achievements under Project Components 1, 2 and 3, and indicates which NESP 2013–2018 priorities and specific initiatives the respective project achievements supported.

Table 4: PRIEDE contributions to NESP implementation (Project Components 1, 2 and 3)

PRIEDE 2013–2018 (SUB-) COMPONENT	PRIEDE ACHIEVEMENTS	NESP 2013–2018 PRIORITY AREA
1. Improvement of EGM – exceeding targets, with the exception of classroom observations behind targets (May 2018)		
	<p>Distribution of 2,337,474 Grades 1 and 2 EGM textbooks and teachers guides completed on June 25, 2016. Printing of 2,449,280 pupil textbooks, which were distributed to schools. Development of adapted materials for children with special needs.</p> <p>102 master trainers trained, who in turn trained 2,100 EGM Champions and 1,052 Curriculum Support Officers. 22,259 head teachers and 49,215 Class 1 and 2 teachers trained.</p> <p>EGM baseline survey conducted.</p> <p>1,400 pilot classroom observations undertaken, with 938 valid observations. 17, 121 classroom observations undertaken with CBC and KICD.</p> <p>Principals from 26 Primary Teacher Training Colleges sensitized on the instructional methods and pedagogical practices for EGM.</p>	Improved quality of education
2. Strengthening school management and accountability – Achieving targets (May 2018)		
Sub-component 2.1: Provision of KCPE analysis and feedback to schools	<p>4,000 school-specific analysis reports prepared and accessed by schools. Printing of reports was delayed due to administrative challenges, and the contract for printing reports was awarded on December 30, 2016.</p> <p>Development of a digitalization platform.</p>	Improved governance and accountability
Sub-component 2.2: Teacher appraisal and development	<p>1,200 CSO training manuals, 6,000 TPAD tools and 6,000 teaching standards printed and distributed.</p> <p>6,000 training manuals for school administrators developed.</p> <p>6,000 training materials for BOMS developed.</p> <p>6,000 TPAD manuals developed.</p> <p>141 sub-county directors trained.</p> <p>1,041 CSOs trained.</p> <p>15 familiarization visits to counties.</p> <p>SIP training manual and SIP template developed through a consultative process.</p> <p>5,500 copies of the SIP training manuals printed and distributed to all 4 000 schools.</p> <p>Eight firms engaged to conduct SIP training for the 4,000 schools.</p> <p>20,000 stakeholders trained on SIPs.</p>	
Sub-component 2.4 Strengthening school audit	Baseline audit of 4,000 schools	Improved governance and accountability
3. Strengthening capacity for evidence-based policy development at the national level – Achieving targets (May 2018)		

PRIEDE 2013–2018 (SUB-) COMPONENT	PRIEDE ACHIEVEMENTS	NESP 2013–2018 PRIORITY AREA
Sub-component 3.1 Strengthening data/EMIS in primary education	Improved data collection, availability, integration, access and capacity at county and sub-county level.	Improved governance and accountability
Sub-component 3.2: Monitoring learning achievement	NASMLA conducted for Class 3 in 2015 and reported on in 2017. SACMEQ IV data interpreted and analyzed. Validation of the report is ongoing.	Improved governance and accountability
Sub-component 3.3: Policy development	Policy studies on cost-effective model of financing education in ASAL areas, disadvantaged and informal settlements in Mombasa and Nairobi, and teacher deployment and utilization in primary education in Kenya.	Increased equity
4. Project coordination, communication M&E		
N/A	Establishment of a dedicated PCU, headed by a national project coordinator, four deputy coordinators and component leads. Establishment of county-level PCU. Development of a finance manual. Basic safeguards put in place. Feedback from over 1,000 beneficiaries on the project. Monitoring of PRIEDE implementation.	Improved governance and accountability

108. GPE's contributions to ESP implementation through PRIEDE were also triangulated through stakeholder interviews. For example, representatives from the Teacher Services Commission indicated that GPE support has facilitated the deployment of trained field officers who measure teacher performance, and teacher training has informed development of teacher policies. The November 2017 progress report indicates that as at September 2017 91,645 teachers had been trained and 13,580 classrooms had been observed.

109. The GPE CSEF grant supported civil society engagement in education sector policy, planning, budgeting and monitoring; however, there is no evidence of specific effects that these activities had on ESP implementation.

2.1.5 Alternative explanations and unintended/unplanned effects

Confirming and refuting alternative explanations

110. For prospective evaluations, confirming and refuting alternative explanations is undertaken iteratively throughout the evaluation. In this first annual report we have assembled the contribution story and provided a ToC, with indicators to track and confirm or refute alternative explanations. Thus far in the evaluation process we are able to provide alternative explanations for implementation and will continue to add to the list of alternative explanations as the evaluation progresses.

111. The impact of PRIEDE has also been attributed to other factors. The concurrent implementation of the TUSOME program has meant that through coordination, resources can be leveraged to address GPE goals.

112. For the purposes of this evaluation, it is important to note that one likely additional factor contributing to NESP implementation are the activities of other, non ESPIG-funded projects that

address different aspects of the education sector. These include the US\$200 million program approved by the World Bank on September 15, 2017, known as SEQIP. This is expected to support more than 7,500 primary schools and more than 2,000 secondary schools in 30 counties that are deemed to be economically and educationally disadvantaged. In addition to this, other development partners, such as UNICEF and CIDA also provide critical support to the education system in the country.

113. Unravelling the evidence to create an entire contribution story will form a crucial part of this evaluation in the coming years. Opportunities include utilizing secondary evidence produced through other program evaluations and aligning country activities.

Unintended consequences of GPE financial and non-financial support

114. Little evidence on this area was identified in the First Annual Mission. However, this is an aspect that will continue to be monitored during the evaluation period. One unintended benefit mentioned during the Joint Support Mission (March 2018) was the improvement in facilities for schools receiving the SIP grant. Similarly, CSOs experienced technical issues with their tablets. To resolve this, a WhatsApp group was created, with the unintended consequence that it improved communication on other aspects as well.

2.2 Progress toward a stronger education system

Summary

- *There have been improvements in PTRs at the primary and secondary levels. However, the pupil/trained teacher ratio may have deteriorated in this period.*
- *Teacher/classroom ratios on average tend to be low.*
- *Teacher distribution appears to be unevenly distributed.*
- *Teacher absence is a critical constraint – with teachers in schools for about half the scheduled time, on average.*
- *The 1:1 textbook ratio stipulated by the Ministry of Education, Science and Technology has not yet been achieved, according to delivery indicators.*
- *A learning assessment system is in place to monitor progress.*
- *NESSP and GPE efforts in Kenya have placed a strong emphasis on M&E, including the strengthening of the EMIS system through county EMIS centres and the creation of automated, real-time information systems that can be accessed by various stakeholders.*

2.2.1 Teachers

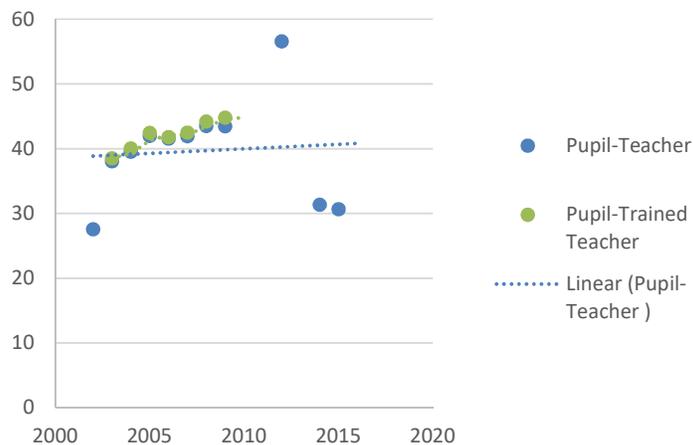
115. Teachers are among the most critical institutional inputs affecting a child's educational experience. They are also a very policy-amenable input in education. Research in various country contexts has indicated that while in many contexts teacher shortages are a major constraint, simply supplying more resources is not a panacea, particularly because deep-rooted distortions in developing country education systems, such as weak teacher incentives, can undermine efforts to produce higher student achievement through interventions and reforms focusing on education inputs. The major challenge in increasing teacher effectiveness (with the end goal of achieving better student learning) lies both in recruiting and training competent teachers, improving the effectiveness of teachers already in post, as well as motivating and incentivizing them through ensuring the infrastructure around them is conducive to high productivity. One key channel through which GPE supports and helps partner countries is through investments targeted toward quality teaching and effective learning. The GPE website clearly indicates the partnership's recognition that teachers are central to

the learning process, play a critical role in improving learning outcomes and are the most important school-based factor in predicting student learning.

116. According to the Education Sector Report (2016), a weakness within the sector is that currently the Teacher Resource Management Commission manages a total of just over 300,000 teachers, with approximately 213,000 of these in primary and the remainder in post-primary education. This currently falls short of the number of teachers required to staff all schools in the country (which would require the employment of an additional 87,489 teachers). This is a critical weakness; the staffing gaps have been increasing over the years and are partly attributed to FPE in 2003 and free and affordable secondary education in 2008. However, to mitigate this challenge, since 2013–2014 an additional 22,000 teachers were employed, and, according to the Education Sector Report (2016), the government plans to recruit 25,000 additional teachers during the second Medium-Term Plan of Vision 2030. The national average PTR at primary level was 44:1 in 2007 and 42:1 in 2016.

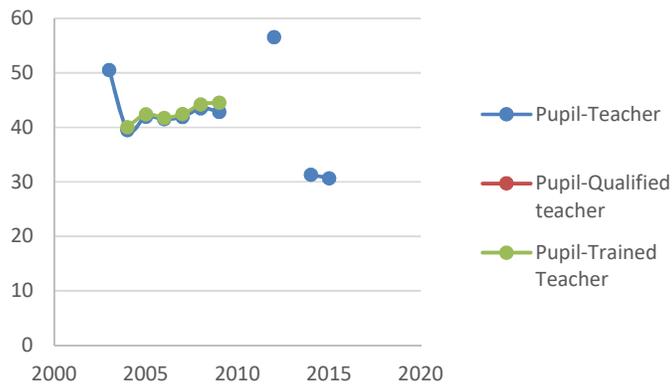
117. PTRs provide a useful insight into teacher shortages in an education system, with a high PTR being indicative of fewer teachers in the system and resources spread more thinly. Research evidence has shown that in developing countries excessively high PTRs could be detrimental to pupil learning. Pupil/trained teacher ratios provide an even more useful indicator in that they provide the ratio of how many trained teachers are allocated, on average, to a given number of students at a given education level.

Figure 5 Pupil Teacher ratios, Primary



Source: UIS data

118. As outlined in the desk study report, the PTRs (pupil/teacher ratio and pupil/trained teacher ratio) at the primary and secondary education levels in the country have improved over the 2002–2016 period. The figures indicate that there have been improvements in the PTR at both the primary and the secondary levels over the time period examined.

Figure 6 Pupil-Teacher Ratios, Secondary (UIS Data)

Source: UIS data

119. However, the pupil/trained teacher ratios appear to have deteriorated, although we do not have the most recent figures from UIS. UWEZO data (2016) also provide an alternative examination of critical issues in relation to teacher distribution. These data show that teacher/classroom ratios in Kenya tend to be low on average (12 teachers for every school with 10 classrooms). However, according to UWEZO data, these teachers appear to be unevenly distributed in favor of urban and agriculturally rich areas. In the counties with the best PTRs, there are on average 12 teachers for 10 classrooms, and double that in the counties with the worst PTRs (i.e. with six teachers for 10 classrooms). The urban counties have the best PTRs, while the rural counties have the worst ones.

120. Teacher absence has also been noted as a critical constraint in many developing contexts and Kenya is no different, with various reports and newspaper articles citing high teacher absence as a key factor undermining student learning³⁰ (Chaudhury et al. 2006).³¹ The Service Delivery Indicators report for Kenya (2013) shows that absence in both rural and urban schools in the county is 'relatively' low and uniform (across public and private and urban and rural schools). However, there is evidence of variation across schools, with 70 percent of the schools having an absence rate of between 0–20 percent, 20 percent having an absence rate of between 20 and 40 percent, and 10 percent of the schools having an absence rate of more than 40 percent³². The UWEZO (2016a) report finds that on the day of the survey, on average, 12 out of 100 teachers were absent from school, as compared to nine out of 100 in 2014. However, this could be attributed to the fact that the survey happened shortly after a nationwide teacher strike. The rate of absenteeism was slightly lower in urban areas (11 out of 100 absent). This report also highlighted the fact that there are disparities in the distribution of teachers, with teachers unevenly distributed in favor of urban or agriculturally rich areas (UWEZO 2016b).

121. The Service Delivery Indicators report measures the amount of time a teacher spends teaching in a school and finds that in Kenya, on average, this is approximately 2 hours and 40 minutes, which is only half of the scheduled time. The percentage of lessons lost to non-teaching activities is approximately 18 percent of a typical lesson. The report also finds that in private schools the actual

³⁰<https://www.standardmedia.co.ke/article/2000088605/report-shows-teacher-absenteeism-hurting-classroom-learning>

³¹ Chaudhury, Nazmul, Jeffrey Hammer, Michael Kremer, Karthik Muralidharan, and Halsey F Rogers. 2006. 'Missing in Action: Teacher and Health Worker Absence in Developing Countries'. *Journal of Economic Perspectives* 20 (1): 91 - 116.

³² <https://www.sdindicators.org/sites/sdi/files/SDI-Report-Kenya%20.pdf>

time spent teaching is one hour longer, despite the fact that the duration of posted class times in private schools is only 60 percent of the public-school schedule.

122. The Service Delivery Indicators report also finds that content knowledge of the material that Kenyan teachers have to impart is low. Only 39 percent of surveyed teachers scored more than 80 percent, with levels disappointingly low in both the public and the private sector, albeit with the private sector teachers performing better than their public-school counterparts.

123. The sub-sections above have highlighted key areas within the education system that need to be addressed and those that are currently being focused on. Because GPE program funding, government initiatives and other donor partner activities are designed to be aligned in ways that aim to address some of the issues highlighted above (e.g. low learning levels, inequities in learning outcomes, teacher pedagogical knowledge etc.), through the course of the evaluation period we hope to be able to assess and validate whether the assumptions underpinning the ToC are being validated, the strength of the evidence behind them, and ultimately whether these initiatives have resulted in improved outcomes and have had the desired impact.

2.2.2 Other non-teacher inputs

124. NASMLA (2016) also provides some indicators about non-teacher-related inputs into the education system. Nationally, pupils reported that they had textbooks in English, mathematics and Kiswahili, at 74.7, 76.0 and 75.9 percent, respectively. It was also noted that a large percentage of children share textbooks. This suggests that the 1:1 pupil/book ratio stipulated by the Ministry of Education, Science and Technology has not been realized. It is also worth noting that there are still schools where only the teachers have access to textbooks, at 6.4, 6.9 and 7.6 percent for English, mathematics and Kiswahili, respectively. According to NASMLA data a large proportion of pupils (97.4 percent) also reported having a toilet/latrine in school, indicating compliance with hygiene standards. Additionally, 73 percent of the sampled schools reportedly had a gate and 81 percent had a fence, but the percentage of schools with fire extinguisher(s) was very low (8.9 percent), though with a considerable percentage of usability (76.5 percent). This has a direct impact on the safety not only of the learners, but also the entire school community. NASMLA data also show that a majority of the sampled schools (97.3 percent) had textbooks which were adequate (46 percent) and usable. Almost all the sampled schools (99.5 percent) had classrooms and desks. The adequacy and usability of classrooms was reported to be 59.1 percent and 97.4 percent, respectively, while that of desks was reported to be 54.0 and 98.9 percent, respectively. The level of adequacy of these two facilities is worth noting, given that they are a requisite for effective delivery of curriculum. In addition, according to the NASMLA data 74.6 percent of the sampled schools had a kitchen, with 56.1 percent adequacy and 98.2 percent usability. Furthermore, 29.2 percent of the sampled schools reportedly had a computer room/lab with levels of adequacy and usability at 56.0 and 33.0 percent, respectively. The Service Delivery Indicators report (2013) also highlights the problematic area of school infrastructure.

2.2.3 Learning assessment system

125. Summative assessments make it possible to compare learning outcomes at a systems level, to compare differences across schools and to monitor whether expected standards are being met over time. At an individual level, they can be used to make pupil admission and progression decisions, as well as to award certificates/qualifications. They are also a tool for identifying underachieving pupils and can be used for targeted support and policies aimed at addressing inequities in educational access and outcomes.

126. The availability of data on learning outcomes is important for individual, system level and equity reasons. Researchers and policymakers alike recognize that a child's ability to read, write and count has a significant relationship with personal, social and economic outcomes in later life, particularly for

girls. The health of an education system can be measured by the average level of learning within the system. Aggregating by social group provides a lens on the extent of inequity within the system.

127. The Constitution of Kenya (2010) provides for children's rights to a free and compulsory basic education and the Basic Education Act of 2013 provides the legal framework for the implementation of this constitutional obligation. In addition to this, as previously discussed, the free secondary education agenda is also currently underway. The social pillar within Kenya Vision 2030 makes provision for globally competitive quality education and emphasizes the role of assessment in informing teaching and learning processes.

128. The provision of good quality education entails an effective assessment mechanism that runs in tandem to education delivery to ensure that competencies within the curriculum are actually attained in practice. National examinations can provide a means for summative assessment in this regard, such as the KCPE, which examines pupils at completion of the primary education cycle. The KCPE is a certificate awarded to students at the end of an eight-year primary education. The exam is supervised by the KNEC, which is an examining body under the Ministry of Education, Science and Technology. The KNEC also conducts and regulates the KCSE, which is awarded on the completion of secondary education. In addition to this, critical skills such as literacy and numeracy can be assessed through national assessments that have the added advantage of being able to link achievement to factors such as pupil, teacher, school and home characteristics. In Kenya, national assessments are carried out by the National Assessment Center. NASMLA was established due to stakeholder concerns that national examinations do not provide a formative assessment of pupils' progress through the education system. To show the government and development partners' commitment to ensuring the equity, access, relevance and efficiency of education, this initiative was set up in 2005. NASMLA is a function of the Ministry of Education, Science and Technology, and the KNEC is tasked with gathering empirical data on education standards at the national level and with supplementing the national examinations by providing a means to monitor learners' progress through various education levels.

2.2.4 EMIS

129. The NESP and GPE's efforts in Kenya have placed a strong emphasis on M&E, and this includes the strengthening of the EMIS system. EMIS data have been submitted for 2014, 2015 and 2016, and a new NEMIS has been established in 2018 as part of GPE's efforts. This includes the setting up of county EMIS centers and the strengthening of the existing EMIS to fill the void of credible data through the creation of an automated, real-time information system that can be accessed by various stakeholders on a regular basis.

130. The government of Kenya has shown significant commitment to ensuring a commensurate focus on providing relevant and efficient education to all. This has meant an increased need for accountability and evidence of learning outcomes. Investment in building the national statistical capacity that is required to underpin a devolved financing system and to inform approaches to equitable sharing is required not only from the government of Kenya but from aid donors as well. While there is a relatively strong set of institutions generating data in Kenya (such as the Kenya National Bureau of Statistics), some of the indicators produced by these institutions are either intermittent, outdated or non-comparable.

2.2.5 ESP Implementation contribution to system-level change

131. NESP implementation has contributed to a stronger EMIS in Kenya, which was supported by GPE through the PRIEDE program. For other system-level changes described above, it is too early to assess whether and to what extent they derive from specific interventions put in place as part of NESP implementation. However, future Annual Reports will need to examine whether any additional

noticeable changes have taken place within the system and then assess to what extent these have been influenced by NESP implementation.

132. The implementation of data strengthening and EMIS in primary education aims to establish the structures and frameworks for the management of data and the setting up of county EMIS centers. According to the EMIS Roadmap (February 3, 2017), the Ministry of Education, Science and Technology in Kenya is in the process of developing a comprehensive EMIS that aims to generate accurate, and reliable data to support quality education provision in the country. The complex nature of how data have historically been collected in the country has led to fragmented datasets that can often provide contradictory information. Therefore, the proposed EMIS hopes to fill this void of credible data to help with the planning and resource allocation associated with projects allowing education stakeholders to make informed decisions. The EMIS Roadmap (Ministry of Education, Science and Technology)³³ sets out specific activities that will be conducted to this end. The PRIEDE Mid Term Review (2017) indicated that this component was in the process of restructuring and some progress has been registered. According to the GPE Results Framework for Kenya as at September 20, 2017, 85 percent of primary schools reported submitting EMIS data in June 2017. This evaluation will follow up and document progress during the first country mission.

133. One crucial achievement repeatedly lauded by various stakeholders during the First Annual Mission (2018) was the new NEMIS, an automated, agile process that is in line with the NESP and forms part of Component 3 (strengthening data management and evidence-based policymaking) with PRIEDE. One key stakeholder even stated that this system is one of the grandest EMIS designs that they had ever seen globally. The main objective of the NEMIS portal is to help the Ministry of Education, Science and Technology to gather accurate and real-time information on learners and learning institutions. These data can also be accessed by development partners, the national treasury, KNEC, TSC and others interested in the education statistics in Kenya. NEMIS data are shared and consolidated and are available in a disaggregated form. The data are produced by one producer but are aimed at many users. This system is more versatile than the EMIS it replaces and is fully automated from end to end. To date, data of 4.6 million (of the target 10 million) learners have reportedly been uploaded. In the first instance, primary- and secondary-level data are being collected, then TVET data and finally data on higher education. The custodians of the NEMIS system are the Ministry of Education, Science and Technology, TSC, KNEC and others, thereby giving full ownership and creating accountability. One challenge thus far is that not all learners have birth certificates, and there is an issue of duplicate birth certificates. In April 2018, initial analysis of these data was planned. Crucially, the NEMIS data aim to feed into the Education Sector Analysis as well as the NESP 2018–2022 currently being developed³⁴.

³³ EMIS Roadmap PowerPoint (Ministry of Education, Science and Technology).

³⁴ Presentation at the Joint Support Mission (March 11, 2018) attended by evaluators.

2.3 Progress toward stronger learning outcomes and equity

Summary

- *The steady progress in achieving some (if not all) of the educational goals of NESP is apparent through various educational indicators in the country. In 2016 enrolment in early childhood education was 56 percent, primary school net enrolment rate, 89 percent and transition rate from primary to secondary school, 81 percent. FPE continues to be implemented with the GER consistently registering more than a 100 percent and hitting 103.6 percent in 2015 according to the Government Education Sector Report (2016). Secondary school enrolment also increased with the GER estimated to be 63.3 percent in 2015 according to government statistics (Ibid).*
- *However, Kenya's educational system still has significant challenges to overcome. For example, the need to tackle high dropout rates at grades 7 and 8 compared to lower grades and poor learning outcomes. For example, the national Monitoring Learner Achievement (NASMLA) 2014 showed that 90 percent of students did not have minimum competency in algebra and geometry, and there are significant disparities in learning outcomes between genders, urban and rural areas and across counties. NASMLA showed that on mathematical skills boys and urban students outperformed their female and rural counterparts, respectively. Number skills were high in urban counties like Kwali, Tana River and Lamu, and were lowest in rural counties like Baringo and Trans Nzoia.*

Assessment of learning outcomes

134. The KCPE is a national examination administered at completion of the primary-level cycle in Kenya. The KCPE examination is assessed on five subjects, with each subject scoring a maximum of 100 marks and each candidate, therefore, able to score a maximum of 500 marks. The pass mark is 250. KCPE results in Kenya indicate that over the last decade performance at the end of the primary cycle has improved marginally, with the 2017 results showing that the number of pupils scoring more than 400 marks increased from 5,943 in 2016 to 9,846 in 2017.^{35,36} (see Table 5). However, this only reflects a small percentage of candidates within this top performing category during the two years.

³⁵ <https://www.businessdailyafrica.com/news/Fred-Matiangi-releases-KCPE-exam-results-in-Nairobi/539546-4196112-13e0oq9z/index.html>

³⁶ <https://www.businessdailyafrica.com/news/Fred-Matiangi-releases-KCPE-exam-results-in-Nairobi/539546-4196112-13e0oq9z/index.html>

Table 5: KCPE examination overall performance (2016–2017)

Standard mark range	Number (2017)	Percentage	Number (2016)	Percentage ¹
001–100	2,360	0.24	6,747	0.71
101–200	234,308	23.59	221,438	23.25
201–300	529,897	53.31	501,552	52.66
301–400	217,307	21.87	207,141	21.75
401–500	9,846	0.99	5,143	0.54
Absent	9,726	0.97	10,365	1.1
Number sat	993,718	100	942,021	100
Total registered candidates	1,003,444	100	952,386	100

Top candidate in 2017 scored 455 marks, versus 437 in 2016

Source: KNEC Get Data

135. The 2017 KCSE results showed that, generally, female candidates performed better than male candidates.³⁷ It was also reported that 28 counties did not have a candidate that achieved an A grade, meaning that those students who did score the top grade were only from 19 of the 47 counties, with most of them from the urban counties of Kiambu and Nairobi. This skew in the spread of top performers highlights equity concerns with regards to the distribution of the quality of educational services across the country.³⁸ There are also concerns that performance in math and sciences has been deteriorating over the last few years. On average, the proportion of candidates who scored the top three grades in both mathematics papers was almost three times less than in 2015.³⁹

136. Consulted stakeholders expressed the concern that national examinations do not necessarily provide a formative assessment tool for monitoring progress through the schooling system. This led to the conceptualization and implementation of NASMLA. A recent report (2016).⁴⁰ using NASMLA data investigated Class 3 learning outcomes. There were four competency levels in numeracy, and similarly four competency levels in literacy. The assessments indicated very low levels of achievement as compared to what would be expected at this age, particularly in English and numeracy. For example, at Level 3 (basic reading), the majority of pupils (69.2 percent) had attained basic reading competency in Kiswahili, while only 38.1 percent had attained the same in English. Slightly more than a third (36.1 percent) of pupils attained Level 3 (single arithmetic operations) competency in numeracy, with only 4.5 percent attaining Level 4 (multiple arithmetic operations).

137. An important determinant of learning outcomes was found to be pupil socioeconomic status: pupils from richer households performed better in mathematics, English and Kiswahili, by 7.1, 6.9 and 11.0 percentage points, respectively, than those from poorer backgrounds (very significant). School location was also additionally reported to significantly influence pupil achievement, with students in rural schools scoring less in mathematics, English and Kiswahili, by 15.0, 37.1 and 24.9 percentage points, respectively, than those in urban schools. UWEZO provides an example of a citizen-led initiative aimed at improving competencies in literacy and numeracy among children aged 6–16 years in Kenya, Tanzania and Uganda, by using an innovative approach to social change that is citizen-driven

³⁷ <https://www.standardmedia.co.ke/article/2001263716/revealed-top-candidates-in-2017-in-the-just-released-kcse-results>

³⁸ <http://www.advance-africa.com/kcse-results-28-counties-without-as.html>

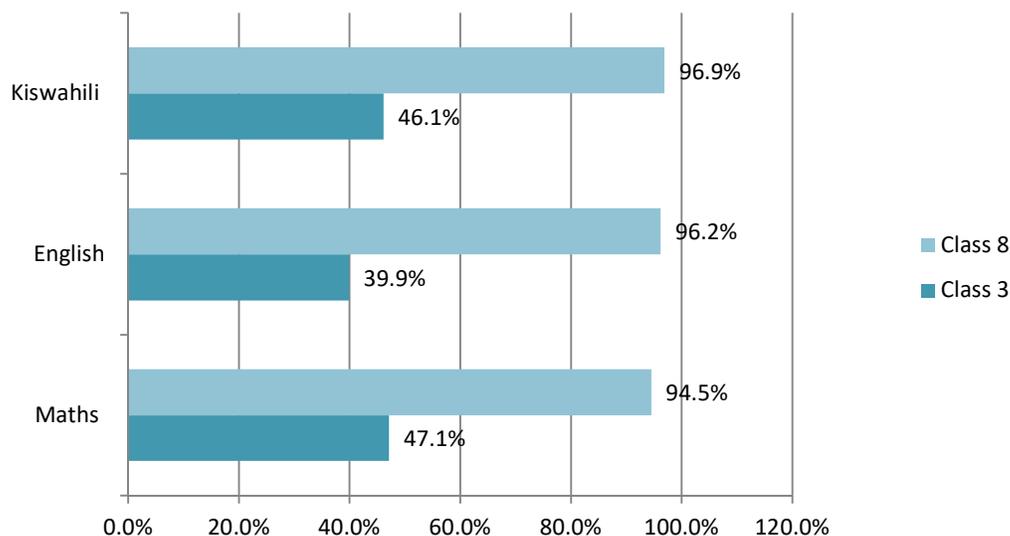
³⁹ <http://www.advance-africa.com/kcse-candidates-falling-flat-in-maths-and-sciences.html>

⁴⁰ Monitoring of Learner Achievement at Class 3 in Literacy and Numeracy in Kenya, 2016, published by KNEC.

and accountable to the public. UWEZO measures actual levels of literacy and numeracy across the three countries by conducting annual large-scale household-based assessments. UWEZO reports have consistently highlighted the very low learning levels among children in Kenya. The best and worst performing districts in east Africa are reportedly both in Kenya; however, on average Kenya outperforms Uganda on literacy and numeracy and outperforms Tanzania on numeracy, with a similar proportion of pupils achieving literacy benchmarks in Tanzania⁴¹. Similar low learning levels were found in Uganda and Tanzania, with similar patterns in intra-country disparities based on socioeconomic status, rural/urban location etc.

138. UWEZO's sixth learning assessment report (2016) reported that while budgets and other inputs into learning have increased steadily since 2010, learning outcomes remain stagnant. Nationally, only three out of 10 Class 3 pupils were found to be able to do Class 2 work. This report also found that learning outcomes were not only low but extremely inequitably distributed across factors relating to types of school, geographic location and socioeconomic status of children, among other factors. These findings were based on data collected toward the end of 2015 and were based on testing over 130,000 children aged 6–16 years across 157 (out of 158) districts from more than 4,500 schools and over 69,000 households. Figure 7 below illustrates that while the vast majority of Class 8 children can complete Class 2 work across English, Kiswahili and math, more than half of Class 3 children cannot do so in all three subjects. Given that the curriculum is progressive and is based on the presumption that competencies from the previous year have been mastered, cumulative knowledge gaps can grow year on year, to a worrying degree.

Figure 7: Percent of pupils who can do Class 2 work



Source: UWEZO (2016)

139. The Service Delivery Indicators report (2013) tests children in English, mathematics and non-verbal reasoning (Grade 4 children tested on Grade 3 competencies). The average scores were 78 percent, 62 percent and 60 percent (English, math and non-verbal reasoning). Scores among private school pupils were significantly higher than those for government school pupils.

140. Figure 8 and Figure 9 below depict the percentage of pupils in Class 3 who can do Class 2-level work based on different demographics. In general, across the three subjects, girls tend to outperform boys. Figure 7 shows that children coming from a poor, as compared to a non-poor background, are

⁴¹ <http://www.uwezo.net/>

less likely to be able to complete Year 2 work when in Year 3. This differential is reduced once children have reached Year 8. However, an important caveat remains in that this result may be due to the fact that many poor children have dropped out by this education level. An additional explanation for this finding is that by Grade 8 a narrowing of gaps would be expected as the pupils are being assessed on Grade 2 competencies.

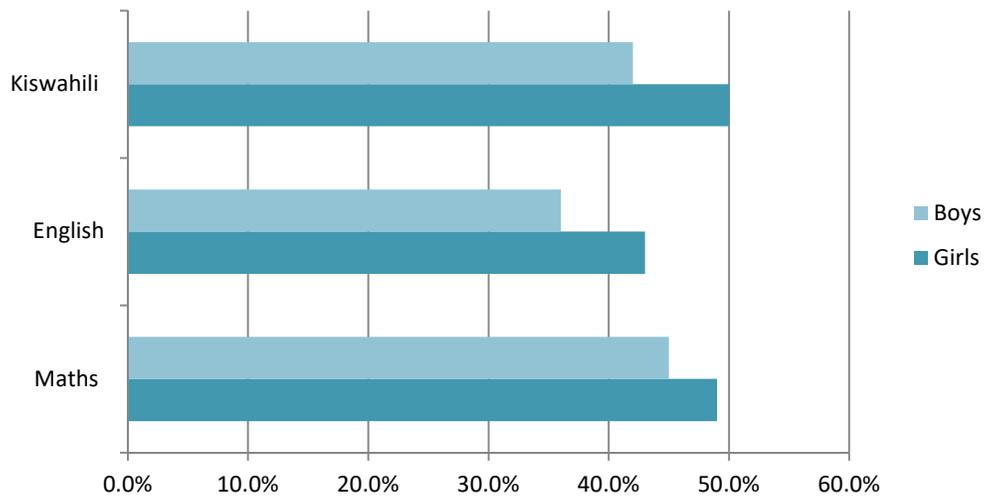
141. The current summative assessment that exists at the end of primary education and secondary education is not only an inadequate measure but is also riddled with widespread malpractice and therefore needs to be carefully reviewed to ensure that it provides a more accurate and standardized measure of learner abilities, in order to be a more useful means of determining who can move on to the next level of education and be equipped with skills to lead productive lives. The summative assessment data are not freely and easily accessible, with most accounts of learning outcomes using KCPE and KCSE results based on newspaper articles and secondary reports. The KNEC website does not provide access to any exam results for analysis. The UWEZO studies provide one accessible alternative for data on learning outcomes. However, as with their counterparts in India and Pakistan, they face the criticism that these learning assessments are too simplistic and may not provide an accurate measure of what children might know beyond basic literacy and numeracy.

142. This critical issue has been recognized within the country and, therefore, efforts have been made in recent years to develop institutions aimed at providing empirical data on educational standards at the national level. In conjunction with development partners, the NASMLA was put in place in 2005. This initiative is a function of the Ministry of Education, Science and Technology and the KNEC is tasked with collecting empirical data to supplement national examinations to monitor learner progress at each education level. NASMLA aims to achieve the following strategic objectives: 'to provide [a] baseline against which changes in educational standards can be judged; to help identify strengths and weaknesses in learner achievements so that curriculum and teaching interventions may be targeted for maximum effect; to institutionalize a monitoring system in basic education cycle in order to ensure acquisition of basic learning competencies by all learners in each subject at every level; to provide reliable and valid data to inform policymaking processes; and through such assessments, identify learners with special learning needs early enough and inform decisions on what intervention measures to put in place.'⁴²

143. Further analysis of the UWEZO data has shown that there are significant differentials across school type. Class 3 pupils attending private schools are twice as likely to be able to complete Class 2 work as pupils in the same class in a government school. This gap narrows by Class 8; however, 8 out of 100 children in government schools cannot complete Class 2 work at this stage, as compared to 5 out of 100 children in private schools. Girls in government schools outperform boys across both Classes 3 and 8. However, in private schools, the boys catch up with the girls by the time they reach Class 8. Simple regression analysis conducted within the report confirms the findings from the descriptive data, with girls performing better than boys (16 percent higher odds), private schools displaying better learning outcomes than students in government schools and children from richer households displaying 30 percent better chances of having higher learning outcomes than children from poorer backgrounds. All of these results show statistical significance. The UWEZO (2016) data also point to important differentials in learning outcomes by location. Generally, students in urban areas are found to perform better than their rural counterparts. However, these differences tend to disappear by Grade 8.

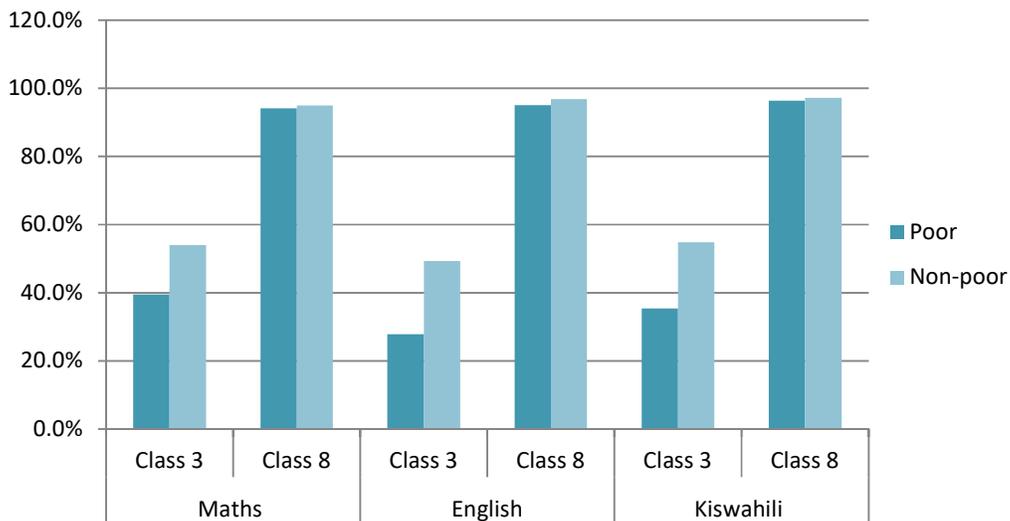
⁴² knec.ac.ke

Figure 8: Percent of pupils in Class 3 who can do Class 2-level work, by gender



Source: UWEZO (2016)

Figure 9: Percent pupils in Classes 3 and 8 who can do Class 2 work, by socioeconomic background



Source: UWEZO (2016)

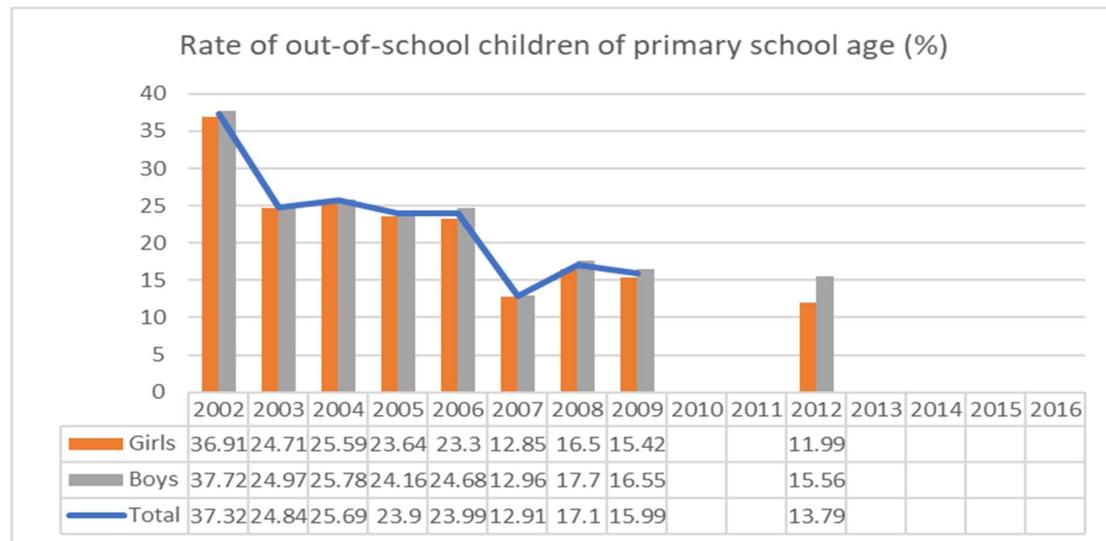
Assessment of equity, gender equality and inclusion in education

144. Access to education has been a partial success story in Kenya, with the government emphasizing access to education by introducing FPE in 2003, which resulted in the withdrawal of formal fees for primary school. This was followed by the policy of free (day) secondary schooling in 2008, under which the government meets the cost of tuition while parents pay for boarding and uniform. While this national emphasis on education has resulted in more children enrolling and completing the primary cycle, concerns have been raised about children accessing poor quality education, which is reflected in low learning outcomes.

145. Despite good intentions and progress to date, Kenya is still a long way from ensuring that all children, adolescents and youth are enrolled in school in the first place. This sub-section of the report examines historical data on completion rates, OOSC and enrolment rates etc., to highlight where the country stands in terms of equity and inclusion in access to education. The percent of OOSC from 2002 to 2016 (where data are available) is provided in

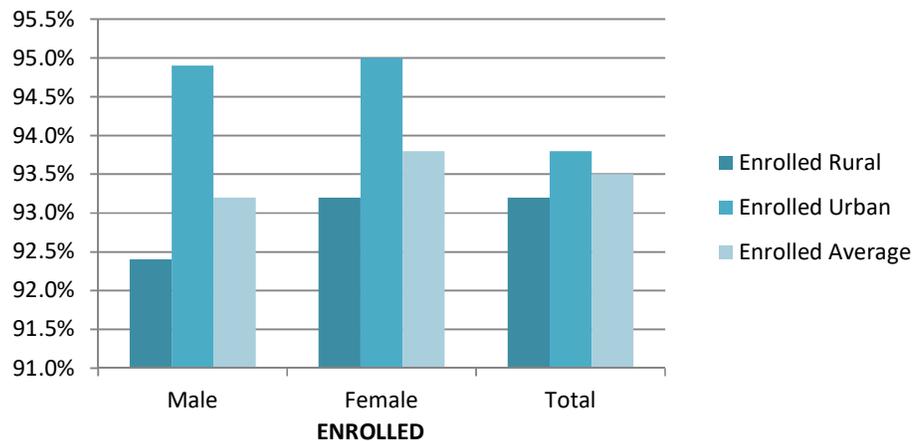
146. Figure 10. The data show that the OOS rate has declined dramatically over the period (from 37.32 to 13.79 percent).

Figure 10: Rate of primary school age OOSC (percent)



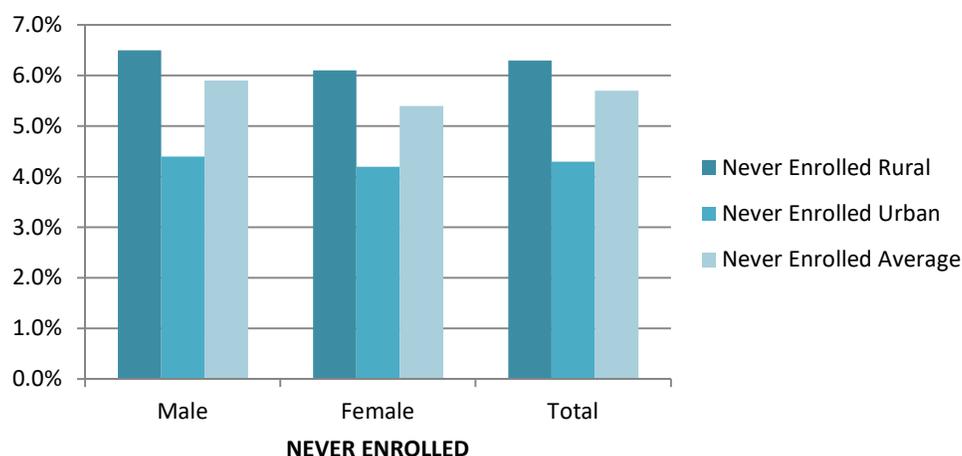
147. The findings of the NASMLA study indicate that, nationally, there is a near gender parity in enrolment, with a slightly higher percentage of girls (50.3 percent) than boys (49.7 percent) enrolled (**Error! Reference source not found.** and **Error! Reference source not found.**). UWEZO data have also reported indicators relating to this aspect: in 2016 it was reported that 6 out of 100 children had never enrolled in school. This was an improvement from 2014, when the figure was reported as 9 out of every 100 children aged 6–16 years. Children in urban areas who had never enrolled in 2016 accounted for 4 out of 100 children (both boys and girls), as compared to 6 out of a 100 in rural areas (7/100 boys and 6/100 girls).

Figure 11: Access to primary education by gender (6-16 years), percent



Source: NASMLA (2016)

Figure 12: Access to primary education by gender (6–16 years), percent



Source: NASMLA (2016)

148. According to the Interim Project Status Report (March 2018) presented at the Joint Support Mission (2018) the KNEC conducted a NASMLA for the 2015 Class 3. The findings of the study were published on January 17, 2017 (presented above).

149. In addition to the direct costs of schooling, there are numerous other barriers that keep children out of school and that contribute to attrition from schools. These include: parental education, household wealth, education quality, health factors, distance from school and gender, among others. In Kenya, parental education has been noted to be particularly low. According to the 2008–2009 Demographic and Health Survey, over two-thirds of women and one-half of men in the old North-Eastern Province reported having no education, as compared to 6 percent in Nairobi and 10 percent in the Central province (Watkins and Alemayehu, 2012). These findings are worrying because parental education has been found to be a significant factor determining children’s learning outcomes, with UWEZO (2016) recording that compared to children born to mothers with no education, as a reference group, the odds of having better learning outcomes are 10 percent, 72 percent and 250 percent higher for those children who are born to mothers with primary, secondary and tertiary education.

150. Household wealth constitutes another critical determinant of school participation. Despite FPE, cost still remains a major barrier to education for many children in Kenya. Indirect costs, including those relating to uniforms, learning materials and other expenses, still constitute an important factor constraining access, particularly as 45 percent of Kenyans live below the poverty line (Watkins and Alemayehu, 2012). These economic pressures further exacerbate gender disparities as for some parents the education of girls is perceived as being of less value than that of boys.

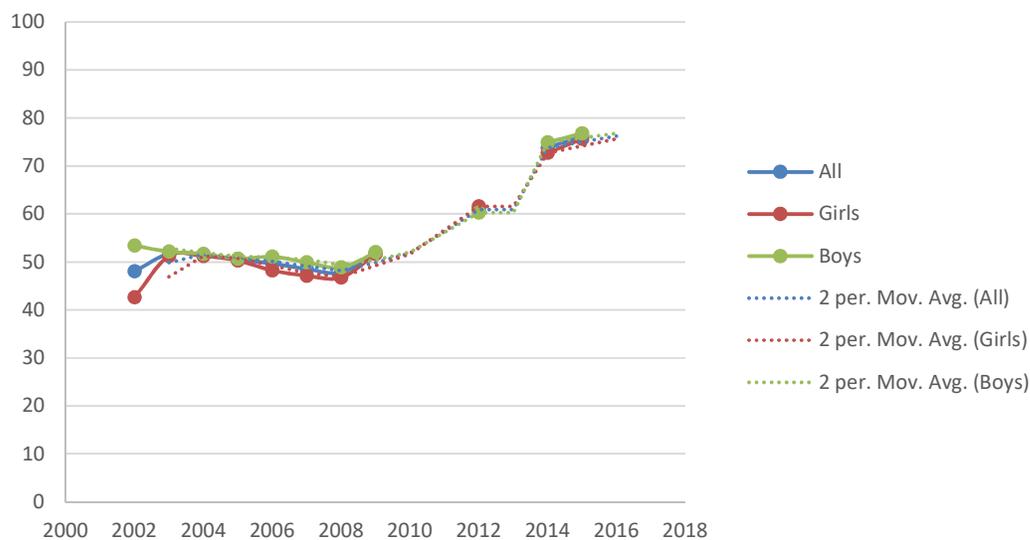
151. Poor quality education is another factor that can constrain access to schooling. If the education that is offered is perceived to be of inadequate quality, this can weaken parental incentives. This is particularly the case if the education system is deemed to be delivering limited results, because its quality is perceived to be too low to generate returns in terms of future employment and wider life chances and opportunities. Watkins and Alemayehu (2012) highlight parental concerns regarding the school curriculum as being an important deterrent if the curriculum is not believed to be of sufficient quality and to be aligned with beliefs and customs and relevant to the local language and future livelihood.

152. Distance to school, particularly at the secondary level, and the high opportunity costs associated with adolescent children attending school instead of paid employment has also been associated with lower attendance rates, particularly in low population density areas. This is especially important for girls, where security fears may further reduce their chances of participating in educational opportunities.

153. The GER is an indicator that measures the proportion of pupils that a country is capable of enrolling in relation to the total number of pupils who should be enrolled. Essentially, it is the rate of enrolment at a given level of education (irrespective of age) as a percentage of the population who are in the school-age group corresponding to that level.

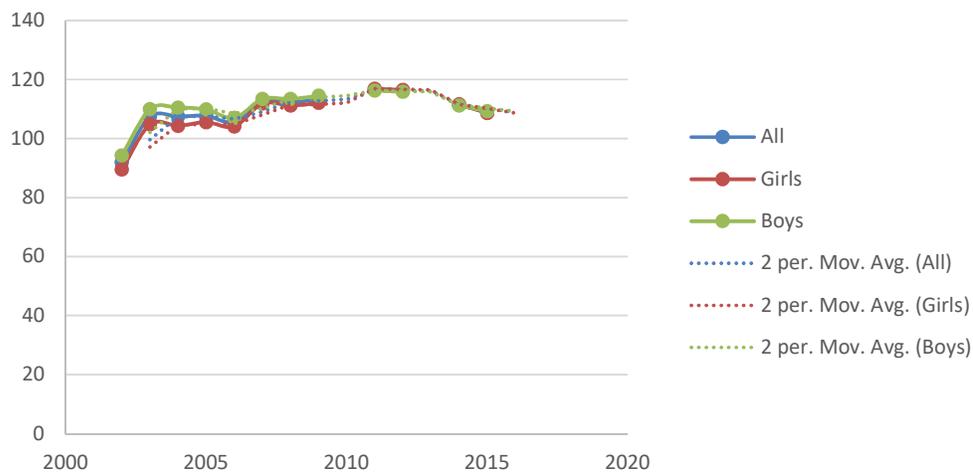
154. The graph below (Figure 13) shows that across the board, for boys and girls, pre-primary education GERs have been increasing, from approximately 50 percent in the early 2000s to just under 80 percent in 2015, a marked increase over a decade or so.

Figure 13: GER, pre-primary (percent)



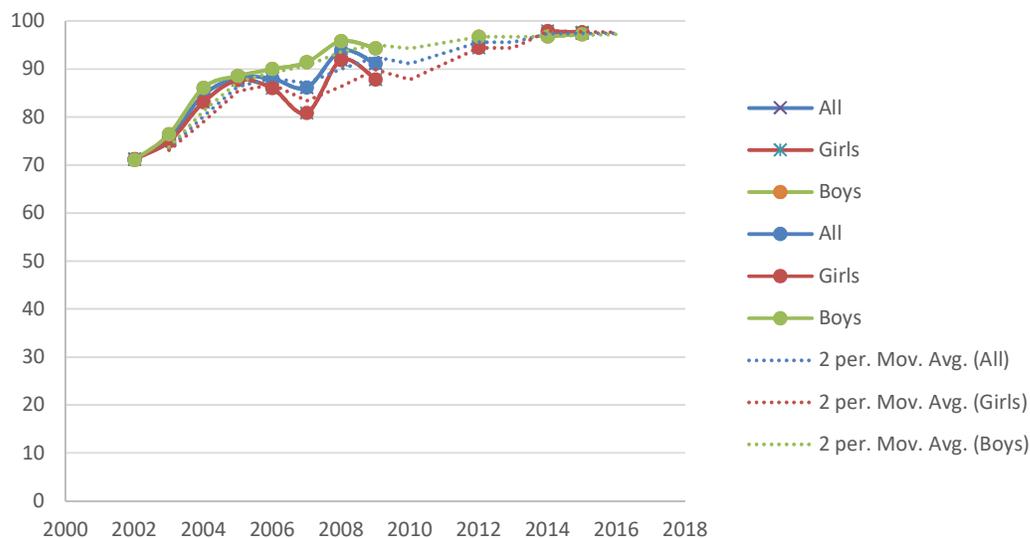
Source: UIS data

155. In terms of gross enrolment at the primary level, the sector has shown an increase, registering more than 100 percent enrolment since 2005 (Figure 14). The number of primary schools has also increased, with just under 22,000 primary schools in 2016 (Kenya Education Sector Report 2016). However, it should be noted that this indicator is also likely to include over-age children and repeaters and, therefore, is likely to be an over-estimate of the true efficiency of the education system.

Figure 14: GER, primary

Source: UIS data

156. Kenya's progress in enrolment rates at the lower-secondary level is also illustrated in Figure 15 below. It is clear that the country has made considerable gains in enrolling children at the lower-secondary level, while also achieving gender equity. Looking across all levels of secondary, there has also been an increase in gross enrolment, with GERs increasing from 54.3 percent in 2013 to 63.3 percent in 2015 (Kenya Education Sector Report, 2016).

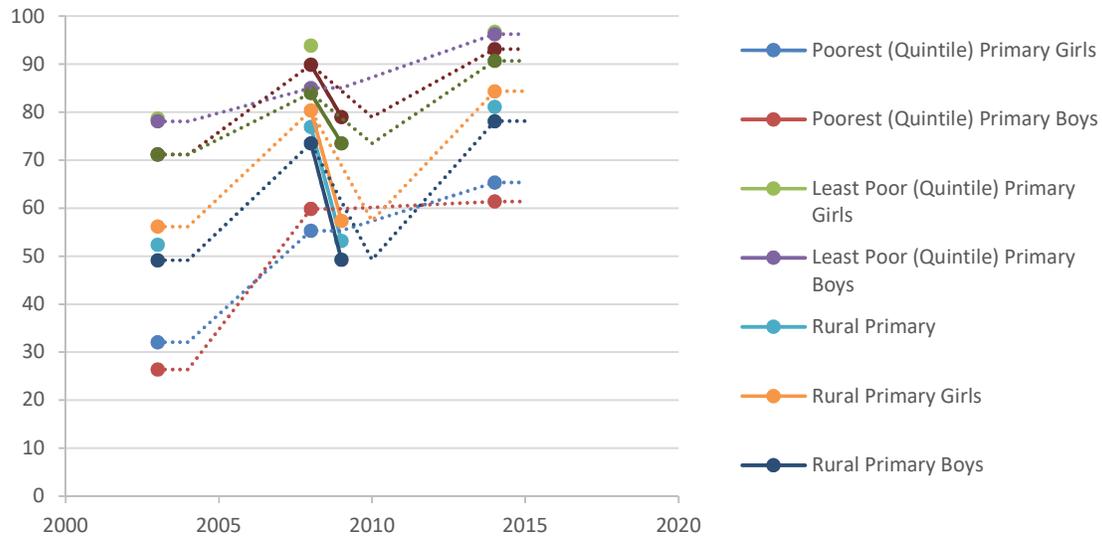
Figure 15: GER, lower-secondary (percent)

Source: UIS data

157. Completion rates offer another lens for viewing access to education and any apparent discrepancies across types of pupil. A high value for the completion rate would indicate low incidence of dropout and that pupils are more likely to progress to the next level of education. A low value would be a sign that the system has low levels of retention and presents difficulties for pupils in graduating from the last grade of one level of education to the first grade of the next level of education. Figure 16 below indicates that while primary completion rates appear to be improving (from 55 percent in 2003 to 84 percent in 2014 (UIS)) for all children over the 2003–2014 period, disparities across gender and location still exist. For example, completions rates for the poorest girls in 2003 were 32 percent,

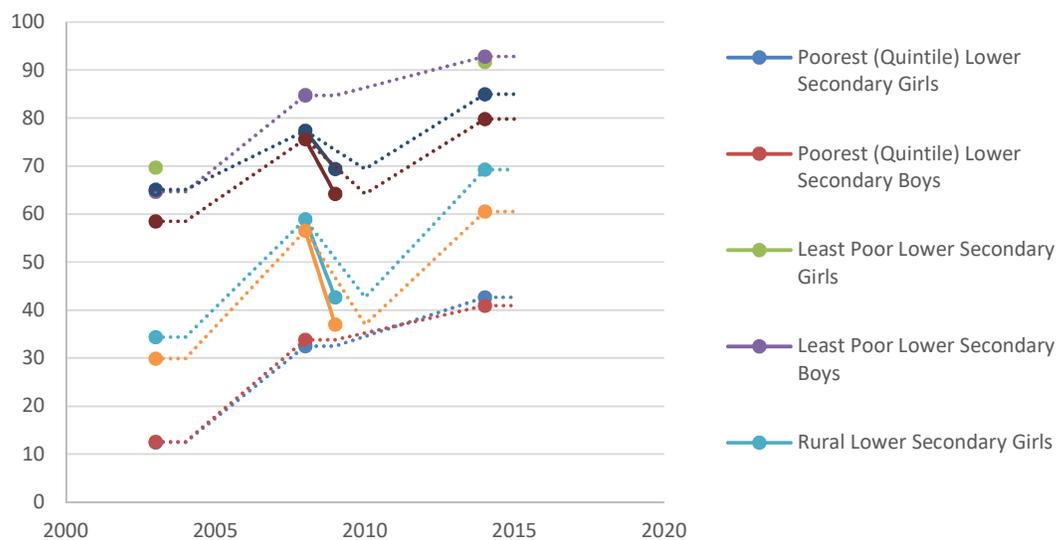
as compared to 79 percent for the least poor girls. By 2014, these figures had increased to 65 percent and 97 percent, respectively, demonstrating that while there have been huge strides toward improving completion rates, disparities still exist across socioeconomic status (albeit with gaps narrowing from 47 percent in 2003 to 32 percent in 2014). Similarly, in 2003 completion rates at the primary level for rural boys stood at 49 percent, as compared to 71 percent for urban boys. By 2014 these had increased to 78 percent and 90 percent, respectively. Similar patterns can be seen across genders, with girls displaying higher rates than boys in all instances. Similar patterns can be observed at the lower-secondary level (Figure 10).

Figure 16: Primary completion rates (percent)



Source: UIS data

Figure 17: Secondary completion rates (percent)



Source: UIS data

Contribution of the education system-level improvements to improved learning outcomes, equity and inclusion

158. In this section we outline how it is intended that education system-level improvement, which results in improved learning outcomes and in improved equity, gender equality and inclusion in education. The plausibility of this contribution is then assessed based on the baseline situation, progress thus far and the wider evidence base.

159. Because of the lag between inputs and impact level change in education⁴³ and lags in reporting on outcome level data (the most recent data actually reflect the situation in 2015), future Annual Reports will need to test whether any significant change can be noted in outcomes as a result of system-level changes and will examine how NESP implementation contributed to such changes. At the time of this report it is too early to judge (given the early stages of implementation) and there is insufficient data to be able to consider whether GPE has indirectly contributed to any meaningful change in learning outcomes.

160. NASMLA (2016) acknowledges the important role that GPE played in financing the report. It provides another source of data with respect to access to education at various levels.

2.4 Plausibility of the ToC at Year 1

161. At baseline, the GPE ToC appears to be plausible in Kenya. In particular, this is due to the fact that it is very well aligned with the NESP and there is harmonization across PRIEDE, government and other donor activities within the country. There appear to be good links between stakeholders and a well-functioning LEG that provides the requisite space and voice to all stakeholders, in the form of an inclusive dialogue. However, some stakeholders reported that the GPE's operational model in appointing the coordinating agent and grant agent in the country could benefit from more clarity around roles and responsibilities. In addition, several stakeholders mentioned that the GPE application process and reporting requirements can be extremely time-consuming. Systems of mutual accountability and monitoring are developing and appear to be strengthening, in line with GPE goals.

⁴³ Time taken for inputs into education or policy reform to affect learning outcomes. April 2013. HEART Desk Report.

162. The key assumptions that underpin the ToC, outlined in Section 1.2, from context, to inputs, to activities and intermediary outcomes, are listed in the table below. The table assesses the most pertinent assumptions for the evaluation after the first annual mission and includes an assessment of the extent to which these assumptions are likely to hold.

Table 6: Summary of findings against assumptions at Year 1

ASSUMPTION	ASSESSMENT
Grants and increased national financing are sufficient to support required improvements	As shown by the indicators above and by the evidence collected during the First Annual Mission, GPE grants and national funding have been sufficient in that, for example, targets for textbooks, teacher training and SIPs have been met.
There is sufficient alignment across partner activities	This report highlights that there are many synergies across partner programs, e.g. between TUSOME and PRIEDE etc. In fact, resources have been further leveraged through these (e.g. in the case of SEQIP). Where incoherence exists, partners are working together to address these issues, e.g. financial incentives for TUSOME observations appear to be negatively affecting PRIEDE.
There is sufficient political will to improve education systems	There is strong evidence of political will from all stakeholders to improve the education system. This is evidenced by the data collected to date as well as the interviews with a wide range of stakeholders.
Government has the capacity and financial resources to continue to implement PRIEDE and absorb TUSOME	There is strong evidence that the government has the capacity and has allocated a budget to continue to implement PRIEDE. While there are indications that it will be able to absorb TUSOME, whether the government has the capacity to do so, both financially and technically, remains to be evidenced.
Context is conducive to effective partnership engagement	There is strong evidence that the Kenyan context is conducive to partnership engagement, as witnessed through the wide range of stakeholders engaging effectively and contributing to the partnership.
Generated evidence is trusted and accurate	Efforts toward the new EMIS system (NEMIS) have been lauded by a wide range of stakeholders and there is evidence that the resultant data will be not only timely but also accurate, and that users will have faith in their reliability.
Parents and communities have the capacity to monitor education service delivery based on outcomes	There is currently no evidence to support this assumption. However, this is an area of focus that will be investigated over the course of the evaluation.
Civil society groups have the capacity to monitor service delivery and the voice to engage in sector dialogue	There is strong evidence to support these assumptions. Civil society is mostly engaged and has a voice, though there is evidence that certain stakeholders feel that while progress has been made in this regard, in some instances it has not moved beyond rhetoric.

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

Table 7: Assessment of plausibility of contribution claims regarding GPE's support in Kenya

CONTRIBUTION CLAIM	ASSESSMENT OF PLAUSIBILITY
<p>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.'</p>	<p>Plausible: The GPE has had a strong and positive influence on the development of an ESP that the government of Kenya appears to have taken ownership of. This plan is based on reliable evidence and is aligned with GPE goals relating to equity, efficiency and learning. A new ESP has been developed and will be implemented shortly. Evidence suggests that this plan has benefited significantly from financial and non-financial support of GPE but that the government of Kenya has taken full ownership of this plan, which has been developed in a fully consultative manner.</p> <p>There is evidence of alignment of the plan not only with GPE goals but also with the wider goals of the country.</p>
<p>Claim B: 'GPE (financial and non-financial) support for inclusive sector planning and joint monitoring contributes to mutual accountability for education sector progress.'</p>	<p>Plausible: High levels of joint monitoring for mutual accountability have been executed during the time period assessed up, however it is unclear to what extent the full sector plan is being monitored. The structures through which monitoring occurs are being strengthened with GPE support and monitoring and accountability indicators are in-built into various components of government planning and implementation documents, and also in GPE planning and implementation. It has emerged that at the grassroots levels (e.g. CSOs working for the government, TUSOME and PRIEDE) lines of accountability may become diluted.</p>
<p>Claim C: 'GPE advocacy and funding requirements contribute to more and better financing for education in the country.'</p>	<p>Plausible: All stakeholder reports and documentary evidence assessed in this evaluation suggest that GPE advocacy and funding are instrumental in improving education financing in the country. However, proposed reductions in future GPE funding were highlighted as a challenge to sustaining good results going forward.</p>
<p>Claim D: 'GPE (financial and non-financial) support and influence contribute to the effective and efficient implementation of sector plans.'</p>	<p>Plausible: The baseline evaluation (and in particular evidence presented at the Joint Support Mission in March 2018) suggests that there has been effective and efficient implementation of the ESP, and where results have fallen short, actions are being taken to remedy this.</p>
<p>Claim E: 'The implementation of realistic evidence-based sector plans contributes to positive changes at the level of the overall education system.'</p>	<p>Not yet clear: It is too early in the evaluation to determine the plausibility of this claim. However, the baseline assessment and first country mission suggest that there will be sufficient data to monitor changes at the system level, in terms of access and learning, over the course of the evaluation.</p>
<p>Claim F: 'Education system-level improvements result in improved learning outcomes and in improved equity, gender equality and inclusion in education.'</p>	<p>Plausible: Baseline analysis suggests that system-level improvements can result in improved learning outcomes and improvements in equity, gender equality and inclusion. However, this will be further examined through future data collection.</p>

Source: Authors' elaboration

2.5 Available evidence at Year 1

164. A comprehensive literature and data review have been undertaken for the baseline report and first annual report. The availability and quality of documents and data has been assessed against the indicators in the evaluation matrix and each country-level question. In doing so, gaps in documentation and data are also identified, where relevant. For Kenya, the scoping exercise for documents and data availability and quality was satisfactory as substantial information is available.

165. There is ample evidence documenting a longstanding partnership between the government of Kenya and GPE, dating back to 2005. During this time, GPE and the government of Kenya have collaborated on the development of education programs and ESPs. In that light, robust and good quality documentation evidence the coherence of 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 available.

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

167. 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 (QLQ6), and this is also the case for data documenting GPE's contribution to education sector financing, in terms of direct provision of additional financing.

168. Available information and documents have improved the timeliness and quality of the sector monitoring reports, and also the areas that are susceptible to improvement. These reports also recommend strengthened accountability mechanisms. Last, the available data allow for a review of how GPE has contributed to increased and more equitable access to education in Kenya.

169. The in-country mission has provided an opportunity to collect further documentation and national data that were not available during the desk-based study. Further information has been received on planning, implementation and monitoring, and on the education system. Additional information on partner activities has also been used to supplement existing evidence. In addition to this, new data and documentation that are due to be released (the new sector plan, NEMIS data, NASMLA data, midline reports etc.), particularly in the upcoming year, will be sourced for future use.

170. Focus areas where the evaluation team aims to source further data include the following: specific policy documents on gender and inclusive education; the government's engagement with civil society, parents, private sector and other stakeholders; indirect leveraging of partner financing (although we do have some information on government co-financing of PRIEDE); data on technical support provision etc.

3 Evaluation focus

171. The key evaluation focus will be to identify GPE's contribution to education planning, financing, monitoring and dialogue in order to support system change and improve learning outcomes (specifically EGM), access, equity and inclusion. In addition to this, the evaluation hopes to identify areas where GPE inputs and the partnership can be strengthened, as well as aiming to capture any positive or negative unintended effects of GPE's support. The key objective is to assess the relevance, efficiency and effectiveness of GPE inputs in Kenya in light of the GPE Strategic Plan 2016–2020 and government strategy, e.g. Vision 2030.

3.1 Focus themes

172. The main focus of this evaluation will remain assessing the ToC of GPE funding as applicable to Kenya. In particular, it will involve an examination of the links between inputs, outputs and outcomes, and of the assumptions in this regard. In addition to this, the evaluation will specifically examine the four components of the GPE engagement during the evaluation period and assess them in relation to planning, implementation, monitoring and dialogue, and changes in the education system as a result of GPE engagement in the country.

173. The evaluation team will focus mainly on three of the four components of PRIEDE and will evaluate GPE's contributions toward each. These components will drive the focus themes of the evaluation. In the first focus theme the evaluation will assess any improvements in EGM competencies (in particular, for rural schools, pockets of urban poverty and ASAL counties). As its second focus theme the evaluation will assess school management structures and accountability (including changes in learning outcomes, any improvements or changes witnessed via TPAD and SIPs etc.). The third focus theme will be assessing the strengthening of capacity for evidence-based policy development (e.g. changes in the NEMIS system).

3.2 Gaps to fill

174. As already mentioned, the data at the baseline stage are of sufficient quality and are able to address many of the questions relating to the outcomes: for example, the baseline study for NASMLA has already been discussed and the Joint Support Mission (2018) indicated that the midline data had been collected in January 2018 and would become available for the evaluators to assess EGM changes during this year. Further data are expected to become available through the NEMIS system and the new ESP shortly to be published. These data should provide more accurate, reliable and timely information on the issues of equity, gender equality and inclusion.

3.3 Risks to address

175. Initial country visits would appear to mitigate some risks that were identified in the desk review: for example, stakeholders within the country appear to be very positive about the evaluation process and willing to engage with the evaluation teams. There is reason to believe that these relationships will only be strengthened during the course of the evaluation period.

3.4 Key steps

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

177. The next phase will include

- **Stage five:** Assembling the contribution story and seeking additional evidence over time.
- **Stage six:** Revising and strengthening the GPE contribution story.
- **Stage seven:** Elaboration of the GPE contribution story.

3.5 Workplan

178. Key activities and dates for the remainder of this project are detailed in Table 8 below.

Table 8: *Activities and key dates*

DELIVERABLE	DATE
Inception report	November 2017
Baseline studies (desk review)	April 2018
Country mission I	Q1 2018
Eight prospective country missions and annual report (first year)	June 2018
CY18 synthesis report	December 2018
Country mission II	September 2019
2nd annual country mission report	Q4 2019
2019 synthesis report	January 2020
Learning	Ongoing

Source: Project workplan and timeline

4 Conclusions and recommendations

179. This section summarizes some of the key findings emerging from an extensive desk review and stakeholder interviews from a range of key informants during the first country mission to Kenya in March 2018. The aim of this prospective country-level evaluation report is to provide evidence of the situation at the baseline, plus progress since the baseline, relating to (i) GPE's contributions to strengthening education systems and, ultimately, the achievement of education results within Kenya in the areas of learning, equity, equality and inclusion; and hence (ii) the relevance, efficiency and effectiveness of GPE's ToC and country-level operational model.

180. In this baseline, a country-specific ToC has been developed and discussed and a stakeholder mapping exercise conducted. The existing evidence base has been examined and strengths and gaps identified. Based on the desk review and the in-country visit, this report has aimed to assess the plausibility of the key assumptions in the ToC and to provide a contribution story with regard to GPE activities in Kenya.

4.1 Conclusions

181. In 2015, Kenya transitioned from being a low-income country to being a lower middle-income country. The country ranks highly compared to other countries in the region in terms of human development, despite displaying high levels of inequality. This picture is also reflected in the education sector, where steady progress has been witnessed and achievements have materialized. However, the sector still faces numerous challenges in relation to access, equity, inclusion and learning outcomes.

182. The government of Kenya has made strides toward strengthening the education system and addressing these challenges through its policies (Vision 2030, NESSP etc.) and has backed these endeavors financially and with ownership and a display of strong political commitment and will. Stakeholders highlighted that the strong foundation built in the creation of the first ESP, with GPE's support, has meant that the new ESP has capitalized on this capacity, creating a greater sense of ownership in this new, very much government-led, plan.

183. These efforts have been complemented by the efforts of donor partners and other stakeholders (civil society, parents, private sector, community members) engaged in the education sector. In particular, GPE has played an important role through the provision of both financial and non-financial support. During the evaluation period GPE financial support has largely been manifested in the form of PRIEDE, which focuses on improvements in EGM outcomes, strengthening school management structures and accountability, as well as strengthening the capacity for evidence-based policy development within the country. The focus has remained firmly on improving these outcomes in an equitable and efficient manner. The fact that a key component of PRIEDE (improving EGM) was based on robust evidence (a randomized control trial) has provided a foundation to the program and credibility, due to the positive results evidenced.

184. The stakeholders interviewed during the first country mission presented an overwhelmingly positive view of GPE's contributions (both financial and non-financial) toward strengthening the education system in Kenya in relation to PRIEDE. Complementing this was the sense of government ownership of not only the planning but also the activities being implemented on the ground, as well as M&E systems that have been developed as part of this program. Not only has the government made a financial commitment to this program, it has also displayed a strong commitment to PRIEDE in the long-term. The deep integration of PRIEDE from the initial stages has led to capacity building within government institutions, and a political will and confidence among government stakeholders, which bodes well for future donor programs to be implemented through government and the future sustainability of the program. Implementation of most components of PRIEDE appears to be

progressing as planned. However, some challenges that have been faced (e.g. a disincentive for CSOs to conduct PRIEDE observations) were highlighted and appear to have been noted by the key players.

185. It has been found that dialogue among stakeholders has improved and the engagement of all interested parties appears to be improving across the education sector. However, while efforts have been made to improve inclusive dialogue, some stakeholders feel that this engagement needs to move beyond mere rhetoric. However, stakeholder engagement has indeed proved invaluable in regard to the efficacy of the implementation of NESP. In relation to PRIEDE, engagement at the school level is evidenced by key stakeholders (e.g. teachers and head teachers) embracing a new pedagogical approach as a result of extensive dialogue and engagement.

186. M&E systems have been strengthened. Of particular note is the ambitious NEMIS, which has been lauded not only by Kenyan stakeholders but also by GPE representatives themselves. There is also evidence that these efforts toward collecting timely, accurate and credible data are feeding into policymaking, planning, monitoring and accountability, and resource allocation decisions, within the country.

4.2 Recommendations

187. Some initial recommendations have emerged from the evaluation process to date.

- It remains important to balance the roles and responsibilities of donor partners within the partnership, not only to ensure that the expertise of each partner is leveraged but also to give everyone sufficient voice and to avoid conflicts of interest.
- Capitalizing on gains made to date requires sufficient financial and non-financial support in the future. Expected reductions in funding in Kenya could potentially hinder future improvements.
- A key strength of GPE's operational model to date has been the sense of ownership that stakeholders have felt toward PRIEDE. In addition, the lessons learnt from PRIEDE implementation have helped strengthen in-country capacity (experience, skills, structures) for the implementation of other aspects of the NESP funded by donors. These strong foundations should be strengthened and built upon going forward.
- Capacity building through the experience of implementing PRIEDE has been a key non-financial GPE contribution. This can be strengthened further as implementation capacity is likely to be stretched further as TUSOME becomes government implemented also.

Annexes

Annex A Background to the GPE country-level evaluation and stakeholder mapping

Background

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

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

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

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

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

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

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

Annex Box 1. Key evaluation questions

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

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

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

Stakeholder mapping

195. The assessment of the ToC underpinning GPE's support to Kenya is based on KIIs, secondary review of documents and data, and the wider evidence base. KIIs were undertaken with key stakeholders in Nairobi, Kenya between March 12 and 16, 2018. The assessment also makes use of a document review of secondary data sources and literature. Over the lifecycle of the evaluation, the stakeholder mapping will be reviewed and updated. Changes in interest and influence will likely indicate a change in political economy.

196. The table below illustrates the categories of informants that were consulted during the First Annual Mission to Kenya. The last two columns depict our evaluation of the interest in and influence of these stakeholders as regards the programs receiving GPE support and being evaluated, and the importance of these stakeholders in the current evaluation.

Annex Table 1: Stakeholder mapping for Kenya

CATEGORY	STAKEHOLDER	INTEREST IN AND INFLUENCE ON PROGRAMS RECEIVING GPE SUPPORT IN COUNTRY	IMPORTANCE FOR EVALUATION
GPE Secretariat	Country lead	High/high	High
	Other key Secretariat staff	High/high	High
Ministry of Education, Science and Technology	Cabinet Secretary	High/high	High
	Principal Secretary	High/high	High
	GPE project focal point	High/high	High
	GPE Board member	High/high	High
	Director and members of Project Coordination (both national and county level)	High/high	High
	Director and members of Department of Policy Partnerships and Community Affairs	High/high	High
	Members of KICD	Medium/medium	High
	Members of the Teacher Services Commission (TSC)	Medium/medium	Medium
	Members of KNEC	Medium/medium	Medium
Other Local Education Group Members	Donor partners and project partners (e.g. USAID, UNICEF, World Bank)	High/high	High

CATEGORY	STAKEHOLDER	INTEREST IN AND INFLUENCE ON PROGRAMS RECEIVING GPE SUPPORT IN COUNTRY	IMPORTANCE FOR EVALUATION
	Members of NGOs	High/medium	Medium
	Teacher organizations (Kenya Union of Post-Primary Teachers). ⁴⁴	Low/low	Low
	Textbook publishers (representative from the Kenya Publishers' Association)	Medium/low	Medium
	Private sector (representative from the Kenya Private Schools Association)	Medium/low	Medium

Source: Prepared by the authors

⁴⁴ The teacher organisation involved relates to post-primary, not primary education, and is therefore of less relevance to this particular evaluation. Primary teacher organizations were not available to be interviewed.

Annex B Kenya GPE program details and timeline

GPE engagement during the evaluation period

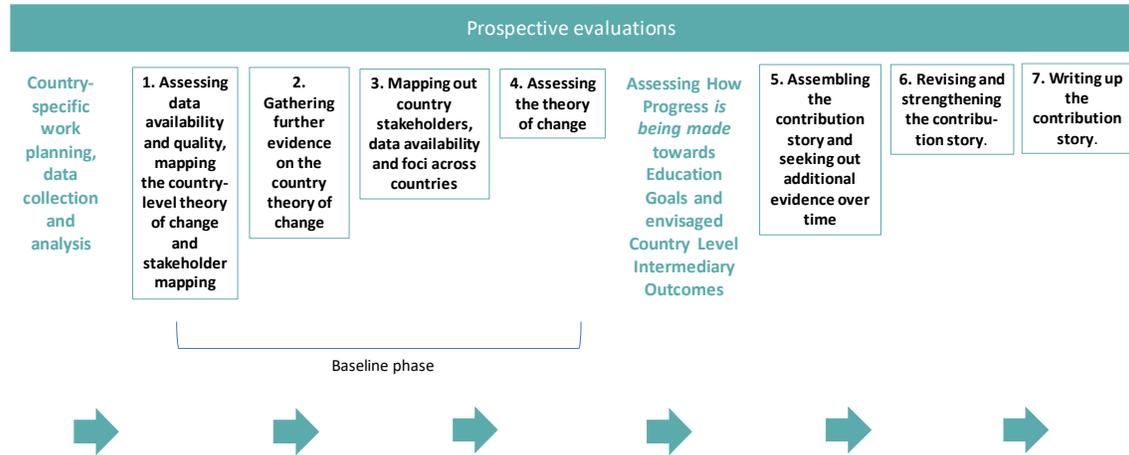
197. During the evaluation period (2018–2020), GPE engagement will largely consist of PRIEDE, part of the second ESPIG of US\$88.4 million. This grant became effective on July 8, 2015, and is due to be closed by March 31, 2019. The project has the following components:

- **Component 1:** Improvement of EGM competencies (US\$34.5 million): scaling up the EGM methodology. This component will focus particularly on schools in rural areas, pockets of urban poverty and ASAL counties, which tend to perform poorly in math. These schools make up 75 percent of public primary schools and will adopt the full EGM methodology and receive EGM materials. In parallel with this roll-out, it should be noted that the government is also undertaking a national reading program (TUSOME) to scale up the existing early grade reading component (this literacy program is funded by DFID and USAID). Alignment of the two programs was recognized as being important due to the links between the ability to read and success in mathematics, as well as in acknowledgment of the efficiency gains in training the same teachers who are involved in both subjects.
- **Component 2:** Strengthening school management and accountability (US\$38.8 million): a pilot to improve school performance through strengthened school management. This component includes the KNEC producing reports on school-specific analysis of KCPE results for participating schools to allow schools to identify their weaknesses and implement appropriate measures to improve curriculum delivery. Another sub-component includes the implementation of the teacher appraisal and development tool, which benchmarks teacher knowledge, pedagogical practice and engagement against professional standards. The third element of this component involves the development of a SIP to help participating schools address their key student learning challenges.
- **Component 3:** Strengthening capacity for evidence-based policy development at national level (US\$10.8 million): aims to strengthen capacity for evidence-based (education sector) policy development at the national level. This includes strengthening the EMIS system to make data available, reliable and integrated, enhancing the systems for monitoring student learning achievement and enhancing the capacity to develop policies on equity, efficiency and quality at the national level.
- **Component 4:** Project coordination, communication, and M&E (US\$4.3 million): covers project management functions supervision and M&E.⁴⁵

⁴⁵PRIEDE-Wrap up PPT Jan 28 2016_FINAL; ⁴⁵ Government of Kenya Program Implementation Grant Application, September 24, 2014.

Annex C Evaluation tools

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



i. GPE Results Framework

Annex Table 2: GPE 2016–2020 Results Framework – 1/10

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

¹ Including international, regional and national assessments.

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

³ Fragile and conflict-affected countries.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) Support increased, efficient, and equitable domestic financing for education through cross-national advocacy, mutual accountability, and support for transparent monitoring and reporting									
Indicator	Source for Data	Periodicity	Baseline		Milestone 2016	Milestone 2017	Milestone 2018	Milestone 2019	Target 2020
			31. Proportion of country missions addressing domestic financing issues	GPE Secretariat	Yearly	Overall:	47%	51%	54%
			FCAC:	62%	65%	65%	65%	65%	65%
			<i>Baseline timeframe = FY15 N = 57 missions</i>						
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, teacher's organizations, and the private sector through local education groups and a strengthened operational model									
32. Proportion of (a) DCPs and (b) other partners reporting strengthened clarity of roles, responsibilities, and accountabilities in GPE country processes	GPE Secretariat	Yearly	All respondents						
			DCPs:	n/a	n/a	65%	70%	75%	80%
			Other partners:	n/a	n/a	65%	70%	75%	80%
			Respondents in FCAC						
			DCPs:	n/a	n/a	65%	70%	75%	80%
			Other partners:	n/a	n/a	65%	70%	75%	80%
			<i>Baseline timeframe = FY16 N = 70 respondents in 28 DCPs</i>						
(b) 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									
33. Number of policy, technical and/or other knowledge products developed and disseminated with funding or support from GPE	GPE Secretariat	Yearly	4		6 ⁷	21	37	50	64
			<i>Baseline timeframe = FY15</i>						

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

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

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

ii. Evaluation matrix

Annex Table 3: 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? ⁴⁶ If so, how?			
CEQ 1: Has GPE contributed to education sector planning and sector plan implementation in [country] during the period under review? ⁴⁷ How?			
<p>CEQ 1.1 What have been strengths and weaknesses of education sector planning during the period under review?</p>	<ul style="list-style-type: none"> • Extent to which the country's most recent sector plan meets GPE/UNESCO IIEP appraisal criteria⁴⁸ <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 are 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 	<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 	<ul style="list-style-type: none"> • Pre/post analysis (where data on previous policy cycles are available) • Triangulation of data deriving from document review and interviews

⁴⁶ OECD DAC evaluation criteria of relevance, effectiveness and efficiency.

⁴⁷ 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.

⁴⁸ GPE, UNESCO International Institute for Educational Planning. Guidelines for Education Sector Plan Appraisal. Washington and Paris. 2015. Available at: file:///C:/Users/anett/AppData/Local/Packages/Microsoft.MicrosoftEdge_8wekyb3d8bbwe/TempState/Downloads/2015-06-gpe-iiep-guidelines-education-sector-plan-appraisal.pdf

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"> - Adequacy of sector plan in addressing equity, efficiency and learning issues - Timeliness of plan preparation processes <ul style="list-style-type: none"> • Progress made toward implementing sector plan objectives/meeting implementation targets of current/most recent sector plan. (If data are available: compared to progress made on implementing previous sector plan) • Extent to which sector plan implementation is fully funded (current/most recent plan compared to earlier sector plan if data are 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"> • Interviews • 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 program 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 are 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) Contributions through GPE ESPDG grant and related funding requirements:</p>	<ul style="list-style-type: none"> • ESP implementation data including JSRs 	<ul style="list-style-type: none"> • Triangulation of data deriving from document

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>a) Through the GPE ESPDG grant (funding, funding requirements)</p> <p>b) Through other support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, facilitation, CSEF and ASA grants, and cross-national sharing of evidence/good practice).⁴⁹</p>	<ul style="list-style-type: none"> • ESPDG amount as a share of total resources invested in sector plan preparation. Evidence of GPE ESPDG grant addressing gaps/needs or priorities identified by the DCP government and/or LEG b) Contributions through other (non-ESPDG-related) support: <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 the characteristics of the national context – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat) 	<ul style="list-style-type: none"> • GPE grant agent reports and other 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 	<p>review and interviews</p> <ul style="list-style-type: none"> • Where applicable: comparison of progress made toward ESPIG grant objectives linked to specific performance targets with those objectives without targets (variable tranche)
<p>CEQ 1.4 Has GPE contributed to the observed characteristics of sector plan implementation? How?</p>	<p>a) Contributions through GPE ESPDG and ESPIG grants, related funding requirements and variable tranche (where applicable)</p> <ul style="list-style-type: none"> • Absolute amount of GPE disbursement and GPE disbursement as a share of total aid to education 	<ul style="list-style-type: none"> • ESP implementation data, including JSRs • GPE grant agent reports and other 	<ul style="list-style-type: none"> • Triangulation of data deriving from document

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

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>a) Through GPE ESPDG and ESPIG grants-related funding requirements and the variable tranche.⁵⁰</p> <p>b) Through non-financial support (technical assistance, advocacy, standards, quality assurance procedures, guidelines, capacity building, and facilitation, and cross-national sharing of evidence/good practice).⁵¹</p>	<ul style="list-style-type: none"> • 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 • Evidence of GPE grants addressing gaps/needs or priorities identified by the DCP government and/or LEG • Progress made toward targets outlined in GPE grant agreements as triggers for variable tranche, compared to progress made in areas without specific targets (where applicable) • 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 toward objectives/targets outlined in GPE grant agreement (where applicable: compare progress made in areas with specific targets as triggers for release of variable tranche compared to progress made in areas without specific targets) • Timeliness of implementation of GPE grants (ESPDG, Program Development Grant, ESPIG) • 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 	<p>grant performance data</p> <ul style="list-style-type: none"> • 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 	<p>review and interviews</p> <ul style="list-style-type: none"> • Where applicable: comparison of progress made toward ESPIG grant objectives linked to specific performance targets with those objectives without targets (variable tranche)

50

Where applicable.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> – Adding value to country-driven processes (e.g. quality assurance provided by Secretariat) 		
<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 percent 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 ESPIGs with GPE’s system alignment criteria (including the 10 elements of alignment and the elements of harmonization captured by RF indicators 29, 30 respectively) • 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, LEGs/ development partner groups) • GPE data (e.g. grant documents, country commitments and disbursements, donor pledges and contributions) • Creditor Reporting System of OECD DAC • UIS data of UNESCO • National data (e.g. EMIS, school censuses and surveys, National Education Accounts, JSRs, 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
CEQ 2 Has GPE contributed to strengthening mutual accountability for the education sector during the period under review? If so, how?			
<p>CEQ 2.1 Has sector dialogue changed during the period under review?</p>	<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 	<ul style="list-style-type: none"> • LEG meeting notes • JSRs or equivalent from before and 	<ul style="list-style-type: none"> • Pre-post comparison • Triangulation of results of

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
	<ul style="list-style-type: none"> • Stakeholder views on changes in sector dialogue in terms of: <ul style="list-style-type: none"> – Inclusiveness – Frequency, consistency, and clarity of roles and responsibilities – Relevance (i.e. perceptions on whether stakeholder input is considered for decision-making) – Quality (evidence-based, transparent) 	<p>during most recent ESPIG period</p> <ul style="list-style-type: none"> • GPE sector review assessments • ESP/TSP, and documents illustrating process of their development • Back to office reports/memos from Secretariat • Interviews 	<p>document review and interviews</p> <ul style="list-style-type: none"> • Stakeholder analysis and mapping
<p>CEQ 2.2 Has sector monitoring changed?</p>	<ul style="list-style-type: none"> • Frequency of JSRs conducted, and changes in frequency during period under review • Extent to which JSRs conducted during period of most recent ESPIG met GPE quality standards (if data are available: compared to JSRs conducted prior to this period) • Evidence deriving from JSRs 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 JSRs 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 • JSRs or equivalent 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 • Triangulating 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)⁵² • 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 support⁵³</p>	<p>a) Grants and funding requirements</p> <ul style="list-style-type: none"> • Proportion of EMIS-related improvements outlined in 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 • JSRs or equivalent 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"> • Triangulation of 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>			

⁵² Technical assistance and facilitation provided primarily through the Secretariat, the grant agent and coordinating agency. Advocacy – including inputs from the Secretariat, grant agent, coordinating agency, LEG and GPE at global level (e.g. Board meetings, agreed-upon standards). Knowledge exchange – including cross-national/global activities related to the diffusion of evidence and best practice to improve sector planning and implementation.

⁵² Criteria adapted from: GPE. Effective Joint Sector Reviews as (Mutual) Accountability Platforms. GPE Working Paper #1. Washington. June 2017. Available at: <https://www.globalpartnership.org/blog/helping-partners-make-best-use-joint-sector-reviews>

⁵³ Technical assistance, advocacy, standards, quality assurance, guidelines, capacity building, facilitation and cross-national sharing of evidence/good practice.

MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>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 implementation, and in sector dialogue and monitoring?</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"> – Political context (e.g. changes in government/leadership) – Economic context – Social/environmental contexts (e.g. natural disasters, conflict, health crises) – Other (context-specific) 	<ul style="list-style-type: none"> • Documents illustrating changes in priorities pursued by (traditional/non-traditional) donors with related implications for [country] • 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 	<ul style="list-style-type: none"> • Triangulation of the results of document review and interviews
<p>CEQ 3.2 During the period under review, have there been unintended, positive or negative, consequences of GPE financial and non-financial support?</p>	<ul style="list-style-type: none"> • 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"> • Triangulation of the results of document review and interviews

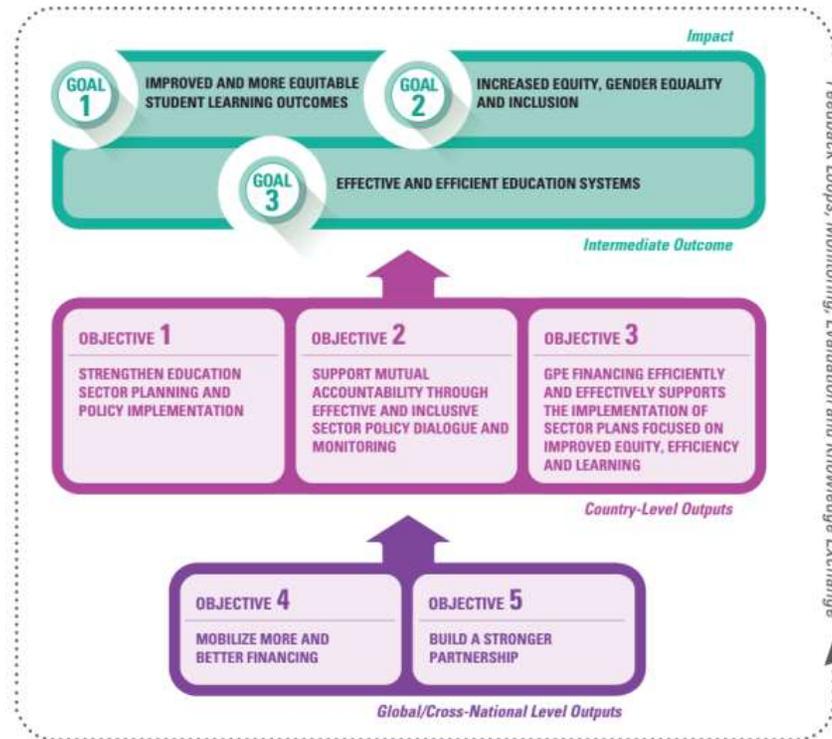
MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
Key Question II: Has the achievement of country-level objectives⁵⁴ contributed to making the overall education system in [country] more effective and efficient?			
<p>CEQ 4 During the period under review, how has the education system changed in relation to:</p> <p>a) Quality of teaching/instruction</p> <p>b) Evidence-based, transparent decision-making</p> <p>c) Country-specific areas of system strengthening for furthering equity and/or learning, and for ensuring effective and efficient use of resources</p>	<p>a) Quality of teaching/instruction</p> <ul style="list-style-type: none"> • Changes in pupil/trained teacher ratio during period under review • Changes in equitable allocation of teachers (measured by relationship between number of teachers and number of pupils per school) <p>b) Evidence-based, transparent decision-making</p> <ul style="list-style-type: none"> • 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 <p>c) Indicators for specific areas of education systems strengthening, as outlined in the country's current sector plan, related to:</p> <ul style="list-style-type: none"> • Sector management (e.g. changes in ministerial, district and/or school-level management structures, guidelines, staffing, financing, and approaches to ensuring effective and efficient use of resources) • 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"> • EMIS • 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 	<ul style="list-style-type: none"> • Pre/post comparison of statistical data for periods under review • Triangulation of the results of document review, with statistical data, interviews and literature on 'good practice' in specific areas of systems strengthening

⁵⁴ GPE country-level objectives related to sector planning, plan implementation, and mutual accountability through sector dialogue and monitoring

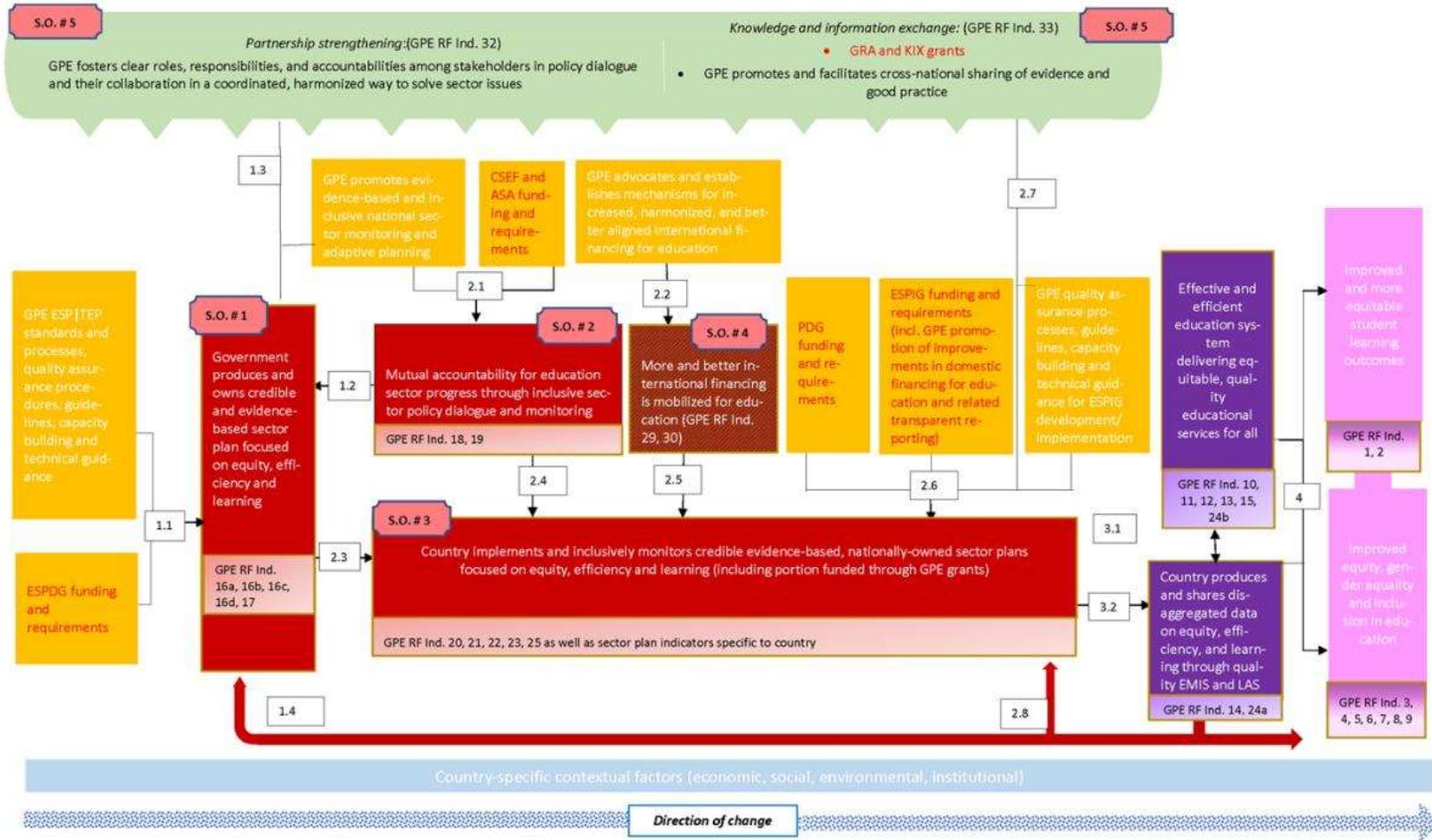
MAIN EVALUATION QUESTIONS AND SUB-QUESTIONS	INDICATORS	MAIN SOURCES OF INFORMATION	ANALYSIS
<p>CEQ 5 How have changes in sector planning, plan implementation, and mutual accountability contributed to observed changes at education system level?</p>	<ul style="list-style-type: none"> The specific measures 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 a trend that was already present before current/most recent policy cycle, targeted efforts outside of the ESP) Stakeholder perceptions of reasons for observed changes 	<ul style="list-style-type: none"> Interviews 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 toward 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 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 OOSC (girls/boys; children with/without disability; ethnic, geographic and/or economic backgrounds) ESP sets Gender Parity Index/targets for (i) primary, (ii) lower-secondary education Extent to which these targets have been achieved Stakeholder perceptions of extent of, and reasons for, impact-level changes during period under review 	<ul style="list-style-type: none"> Sector performance data available from GPE, UIS, DCP government and other reliable sources Teacher Development 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
	(a and b): Additional country-specific indicators as outlined in current sector plan and/or related monitoring framework	<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 of 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 Weighing supporting and refuting evidence of GPE contributions to sector outcomes during period of review

iii. GPE ToC



iv. Generic country-level ToC



Annex D People consulted

Annex Table 4: List of people consulted

ORGANIZATION	LAST NAME, FIRST NAME	TITLE (AND DEPARTMENT)	M/F
KNEC	Dr. Asumpta Matei	Director, Research Section	F
Kenya Teachers Service Commission	Mrs. Mary Rotich	Director Teacher Management	F
Ministry of Education, Science and Technology, Government of Kenya	Mr. James Kimotho	County Project, PRIEDE Coordinator	M
Government of Kenya	CS Amina Mohamed	Cabinet Secretary for Education	F
World Bank, grant agent	Ms. Ruth Charo	Senior Education Specialist	F
Ministry of Education, Science and Technology Government of Kenya	Mr. Darias Mogaka	Director of Policy and Planning	M
Ministry of Education, Science and Technology, Government of Kenya	Mr. Elyas Abdi	GPE Board Member	M
Kenya Union of Post-Primary Teachers	Mr. Stephen Kimotho	Executive Assistant	M
Ministry of Education, Science and Technology Government of Kenya	Ms. Martha Ekirapa	GPE focal point	F
Kenya Union of Post-Primary Teachers	Mr. Akelo Misori	Secretary General	M
TUSOME, RTI	Mr. Timothy Slade	Deputy Chief of Party in charge of operations in TUSOME Early Grade Literacy project	M
TUSOME, RTI	Ms. Salome Ong'ele	Chief of Party, TUSOME Early Grade Literacy project, Director TUSOME, RTI	F
Kenya Publishers Association	Mr. David Waweru	CEO WorldAlive Publishers, and Ex- Chair of the Textbook Publishers Association	M
Kenya Private Schools Association	Mr. Peter Ndoro	CEO, Kenya Private Schools Association	M
UNICEF, coordinating agency	Mr. Daniel Baheta	Chief of Education, Ex - CA, UNICEF (coordinating agency)	M
USAID	Robert Power	Director of Education and Youth Program, USAID/Kenya Office of Education and Youth	M
KICD	Dr Julian Juan	CEO	M
KICD	Ms. Jacqueline Onyango	Head of Curriculum and Research Services, KICD	F
GPE	Mr. Fazle Rabbani	Country Lead	M

Annex E Interview guides

198. 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 judgment 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.

199. 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.

i. Approach to interviews

1. 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.
2. 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.
 1. 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;⁵⁵ UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System;⁵⁶ the World Bank's principles and standards for evaluating global and regional partnership programs;⁵⁷ ALNAP's Evaluation of Humanitarian Action Guide;⁵⁸ the Sphere Handbook and Standards for Monitoring and Evaluation;⁵⁹ and Guidance on Ethical Research Involving Children.⁶⁰)
 3. 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.
 4. 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.

⁵⁵ <http://www.oecd.org/development/evaluation/qualitystandards.pdf>

⁵⁶ <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>

⁵⁷ <http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/sourcebook.pdf>

⁵⁸ <http://www.alnap.org/resource/23592.aspx>

⁵⁹ <http://www.sphereproject.org/silo/files/sphere-for-monitoring-and-evaluation.pdf>

⁶⁰ <http://childethics.com/>

ii. Focus group discussions

5. The evaluation team may also make use of focus group discussions. 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.
6. All focus group discussions will reflect with the evaluation team's commitment to appropriate evaluation ethics (as referenced above).

Annex F Risks to the evaluation, quality assurance and ethics

i. Risks to the evaluation

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

Annex Table 5: 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 the synthesis report.</p> <p><i>Likelihood: High</i></p>	<p>If full evaluation/progress reports are not yet complete, the evaluation team will provide the Secretariat with at least an overview of emerging key findings at the agreed-upon timelines that are linked to SIC and Board meetings or the submission of synthesis reports. The full reports will be submitted as soon as possible thereafter and will be reflected in subsequent synthesis reports in case important information was missed.</p>
<p>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 conducting of site visits and of subsequent deliverables.</p> <p><i>Likelihood: Medium to high</i></p>	<p>Change timing of site visits, and postpone related deliverables.</p> <p>Change order in which 22 summative evaluations are conducted and/or make use of the contingency provision of two extra countries included in the sample for summative evaluations.</p> <p>Collect data from individual in-country stakeholders via email, telephone, Skype; use electronic survey to reach several stakeholders at once.</p> <p>Increase level of effort of national consultant(s) to ensure in-country data collection.</p>
<p>Interventions are not implemented within the lifecycle of the evaluation</p> <p>This constitutes a particular risk for the <i>prospective</i> evaluations. While a lack of implementation can create learning opportunities in impact evaluations, such situations do not present value for money.</p> <p><i>Likelihood: Medium</i></p>	<p>If interventions are not implemented within the lifecycle of the evaluation, data on bottlenecks, barriers, contextual factors and the political economy will be able to shed light on why implementation did not take place and the extent to which such factors were within GPE's control.</p>
<p>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 strengthening the overall education system and education outcomes, as well as GPE contributions along the ToC.</p> <p><i>Likelihood: Medium, but varying by country</i></p>	<p>Inclusion of data availability as a consideration in the sampling strategy. Work with the Secretariat and in-country stakeholders to fill data gaps. For prospective evaluations, if gaps identified as baseline cannot be filled, adjust the prospective evaluation focus to make the most of alternative data that may be available.</p> <p>Use of qualitative data – e.g. based on stakeholder consultations – to reconstruct likely baseline for key issues relevant for assembling the contribution story.</p> <p>Clearly identify data gaps and implications for data analysis in all deliverables.</p>

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p>Structure of available data is limiting To assess education sector progress, the evaluation team will use the best data available at country level. However, the format of available data may vary by country. For example, countries may use different criteria to define ‘inclusion’ in their data. This can pose challenges to synthesizing findings on GPE contributions in the respective area. <i>Likelihood: Medium</i></p>	<p>As qualitative synthesis does not face the same limitations, we will mitigate this risk by describing differences in measurement criteria across countries.</p>
<p>Inaccessibility of in-country partners, resulting in incomplete datasets; limited triangulation; partners not fully seeing their views reflected in, and therefore rejecting, evaluation findings and forward-looking suggestions; increases in costs and time required for data collection; and delays in completing data collection and submitting deliverables. <i>Likelihood: Medium</i></p>	<p>Reaching out to in-country stakeholders as early as possible before scheduled missions to explore their availability. Data collection via email, telephone, Skype, or through local consultants before or after site visits. 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. Consult other individuals from the 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 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. <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. <i>Likelihood: Medium to low</i></p>	<p>Findings, conclusions and forward-looking suggestions will be based on clearly identified evidence. Review of all draft deliverables by an Independent Technical Review Panel (ITRP). 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 This can result in overly positive reports that miss areas requiring constructive criticism. <i>Likelihood: Medium to low</i></p>	<p>The internal, independent and external quality assurance mechanisms described in Section 4.3, as well as feedback received from the ITRP, will make it possible to identify any cases where prospective evaluation reports provide insufficient evidence for overly positive assessments.</p>

ANTICIPATED RISK AND CONSEQUENCES	MITIGATION MECHANISMS
<p>Countries no longer willing to participate in, 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>A transparent selection/sampling process.</p> <p>Early work with GPE country leads and in-country implementing partners to build support for all country-level evaluations.</p> <p>Early and ongoing direct engagement with senior decision-makers in DCPs to ensure that key stakeholders understand the nature and anticipated duration – especially of the prospective evaluations.</p>

ii. Quality assurance

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

Annex Table 6: Quality Assurance

<p>Prospective country evaluations</p>	<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 and the ITRP.
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iii. Ethics

202. 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.

203. For this evaluation the team has been guided by: OECD DAC Evaluation Quality Standards for Development Evaluation; UNEG Norms, Standards, Ethical Guidelines and Code of Conduct for Evaluation in the UN System; the World Bank’s principles and standards for evaluating global and regional partnership programs; ALNAP’s Evaluation of Humanitarian Action Guide; the Sphere Handbook and Standards for Monitoring and Evaluation; and Guidance on Ethical Research Involving Children.

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