



Oxford Policy Management



**Effective and Efficient Partnership:**

---

# **Examination of key actors' roles in GPE's country-level operational model towards GPE2020 delivery.**

Inception Report

Volume I – Inception Report

Nicola Ruddle, Georgina Rawle, Andrew Wyatt, Veronica Chau, Ying Yeung

March 2018

## Acknowledgments

This inception report was compiled by OPM and Dalberg. We are grateful to the members of the GPE Secretariat who had initial discussions about the scope of the work: Margarita Focas Licht, Country Support Manager; Padraig Power, Chief Financial Officer; Karen Mundy, Chief Technical Officer; Raphaelle Martinez, Team Lead: Education Planning, Systems and Finance; and Janne Kjaersgaard Perrier, Education Specialist: Strategy, Policy and Performance. The inception phase benefited considerably from discussions and direction from the Grants and Performance Committee, as well as observations from Board members at the Board meeting in December, with subsequent feedback from key actors on ToRs, technical proposal and the draft inception report.

This assignment is being carried out by Oxford Policy Management and Dalberg. The project manager is Nicola Ruddle and Project Director is Georgina Rawle. This assignment comes under Work Stream A for which the lead is Nicola Ruddle and remaining team members are Georgina Rawle, Andrew Wyatt, Gabi Elte, Ying Yeung, Veronica Chau. The assignment includes a further Work Stream (B), led by Clara Picanyol. For further information contact [Nicola.ruddle@opml.co.uk](mailto:Nicola.ruddle@opml.co.uk).

The contact points for the client are Raphaelle Martinez [rmartinez3@globalpartnership.org](mailto:rmartinez3@globalpartnership.org) and Janne Kjaersgaard Perrier [jperrier@globalpartnership.org](mailto:jperrier@globalpartnership.org).

---

Oxford Policy Management Limited

Level 3, Clarendon House  
52 Cornmarket St  
Oxford OX1 3HJ  
United Kingdom

Tel +44 (0) 1865 207 300  
Fax +44 (0) 1865 207 301  
Email [admin@opml.co.uk](mailto:admin@opml.co.uk)  
Website [www.opml.co.uk](http://www.opml.co.uk)

Registered in England: 3122495

## Table of contents

### Volume I – Inception Report

Acknowledgments	i
List of tables and figures	iv
List of abbreviations	v
<b>1 Introduction</b>	<b>6</b>
1.1 Introduction to the assignment	6
1.2 Structure of this report	7
<b>2 Background to the assignment</b>	<b>8</b>
2.1 GPE 2020	8
2.1.1 GPE's objectives	8
2.1.2 Capacity development in the model	9
2.1.3 County-level operational model	9
2.2 Mandate for this assignment and consultation during inception	10
2.2.1 Other ongoing work	11
2.3 Problem statement: objective and scope of the study	12
<b>3 Methodology</b>	<b>15</b>
3.1 Conceptual framework	15
3.2 Framework questions	17
3.3 Data collection	18
3.4 Primary data	19
3.4.1 Telephone survey with headquarters of GAs and CAs	19
3.4.2 Telephone interview with DCPs	20
3.4.3 Online consultations with other DPs and CSOs as members of LEGs	21
3.4.4 Feedback consultation with GPE Secretariat	21
3.5 Secondary data	22
3.6 Analysis	22
3.7 Findings and recommendations	23
3.8 Risks and limitations	23
3.9 Expected product	24
<b>4 Study process and timeline</b>	<b>26</b>
4.1 Deliverables	26
4.2 Work plan	26
4.2.1 Inception	27
4.2.2 Data collection and analysis	27
4.2.3 Consolidated report	28
<b>5 Management and ways of working</b>	<b>29</b>
5.1 Consultancy team	29

5.2	GPE Secretariat	29
5.3	Grants and Performance Committee	30
5.4	GPE Board	30
5.5	GPE members – DCPs, agencies, CSOs	30
References / Bibliography		31

**Volume II - Annexes (separate document)**

Annex A	Terms of reference for Workstream A	
Annex B	Consultation on scope and methodology	
	B.1 Consultation and iteration in inception phase	
	B.2 Options for further work in a Phase 2	
Annex C	MAPPING of key players' roles and responsibilities	
Annex D	Participants for interviews and online consultations, selected by GPE Secretariat	

## List of tables and figures

Figure 1 Sequence of study undertakings in relation to Board meetings .....	12
Figure 2. Roles and responsibilities across the education system cycle and categories.....	16
Table 1. Summary of data sources .....	19
Table 2. Advantages, related risks and limitations and mitigation measures .....	24
Table 3. Main deliverables and timeline .....	26
Table 4. Inputs days for team members .....	26
Table 5. Work plan for study after inception phase.....	27
Box 1. Consultation with GPE Board and GPC for the inception period .....	7
Box 2. A reminder of the problem statement .....	17
Box 3. The importance of participants for successful data collection .....	22

## List of abbreviations

ASA	Advocacy and Social Accountability
BOD	Board of Directors
CA	Coordinating Agency
CLO	Country level objective
CSO	Civil society organisation
DCP	Developing Country Partner
DP	Development partner
ESP	Education Sector Plan
ESPDG	Education Sector Plan Development Grant
ESPIG	Education Sector Plan Implementation Grant
FCAS	Fragile and conflict affected states
FRC	Finance and Risk Committee
GA	Grant Agent
GPC	Grants and Performance Committee
GEC	Governance and Ethics Committee:
GPE	Global Partnership for Education
INGO	International non-governmental organisation
KIX	Knowledge and Innovation Exchange
LEG	Local Education Group
FFF	Financing and Funding Framework
OPM	Oxford Policy Management
PDG	Programme Development Grant
SFWG	Strategic Finance Working group
SIC	Strategy and Impact Committee
TORs	Terms of Reference

# 1 Introduction

## 1.1 Introduction to the assignment

This inception report sets out the proposed approach of the consultancy team in response to terms of reference (TORs) issued by the Global Partnership for Education (GPE) Secretariat in September 2017, and following further discussion and development during an inception period in December-March 2018.

As part of the Financing and Funding Framework (FFF) adopted by the GPE Board in March 2017, GPE has committed to improving the core operating model for strengthening education systems. GPE actors, and the partnership model, are critical to delivering GPE 2020, and the country-level operational model is a means to this end. Thus, GPE has continuously strived to strengthen and support the model, and this study is one effort among many that will contribute to further improvements.

The country-level operational model referred to here is the partnership that exists between a range of key actors. At the centre of the model is the developing country partner (DCP) itself, who leads the national education system, processes for strengthening education and improving outcomes for children and adults, and GPE processes. Then there are three key actors at the country level, the Local Education Group (LEG) which is multi-partner collaborative body, the Coordinating Agency (CA), which supports the government in coordinating the LEG and in the case of a country receiving a grant from GPE, the Grant Agent (GA). In addition to this, the Secretariat plays a role in supporting key actors to deliver on GPE 2020.

In recognition of the importance of the model, the GPE Board requested a study to look into the current operation of the model in December 2016:

*“The Board of Directors requests the Secretariat with the support of an external firm to examine the issues and options for ensuring Grant Agents, Coordinating Agencies, and Local Education Groups are operating efficiently and effectively as well as learning from past experience to deliver GPE 2020. This process will take into consideration other related work at the Secretariat.” (BOD/2016/12-19)*

This study responds to this Board request, and further scoping of the TORs, approach and methodology carried out by the Secretariat and the consultancy team with Board members in December 2017 and the Grants and Performance Committee (GPC) in January, February and March 2018. The GPC is acting as the oversight committee for this assignment on behalf of the Board.

The objective of this inception report is thus to set out our methodology, work plan and ways of working in order to seek validation and approval from the Secretariat and the GPC, in order to move ahead into conducting interviews and analysis.

After discussions with the Secretariat and the GPC, this inception report and study is to be considered as a 'Phase 1' to which there may be a later 'Phase 2'. Phase 1 will identify issues and if necessary, Phase 2 can be used to look more deeply at some of those issues or to fill other gaps which the Board identifies from this study's findings.

### Box 1. Consultation with GPE Board and GPC for the inception period

The GPE Board discussed this assignment at its December 2017 meeting, as recorded in the Board report under 'Effective and Efficient Partnership Update'. Board members noted that a holistic review is important, timely and necessary to clarify the function of the Secretariat and all partners. Board members expressed an interest in participating and contributing to the effort, including donors who have significant relationships, partnerships and investments at country-level. The Secretariat noted that it would email the inception report to the Board and request feedback at the same time that the report is shared with the GPC. The Chair concluded that it would be important to have as wide an input as possible to this work stream.

After an initial draft inception report was discussed with Secretariat, this version represents the fourth iteration of the inception report. The versions have been as follows:

- Version 0 – shared with the Secretariat for feedback on initial direction.
- Version 1 – core elements of inception report shared in PowerPoint form and discussed with the GPC at its January 2018 meeting.
- Version 2 – revised draft shared with the GPC in early February who also sought feedback from their Constituencies and Board members, and gave feedback in writing and on a call in February 2018.
- Version 3 – this current version, which reflects changes that were presented to the GPC as options. These options were shared and agreed with the GPC in March 2018. This final version necessarily seeks to balance trade-offs between many objectives, time and resource constraints, ultimately with a need to share a final report at the GPE Board meeting in June 2018.

A more complete summary of the iterations of the inception report and process is given in Annex B.

## 1.2 Structure of this report

The rest of the inception report is structured as follows:

- **Section 2** gives more detail on the background to the assignment, including how the operational model is critical to achieving GPE 2020, the mandate for this assignment, complementary work being carried out by GPE, and the objectives and scope for this study as determined through the inception phase.
- **Section 3** sets out the methodology for the study. This sets out the conceptual framework which directs the approach, the key framework questions, and the methodology for data collection. Whilst the approach has a number of benefits, there are also risks and limitations, which are discussed here, along with mitigation strategies.
- **Section 4** outlines the deliverables and work plan, including detailed timeline.
- **Section 5** focuses on ways of working and the roles of various key stakeholders in delivering this study.



## 2 Background to the assignment

### 2.1 GPE 2020

The GPE offers an operational framework that focuses on supporting developing country partners' efforts in building effective education systems to improve equity and learning. GPE is a collective endeavour that represents more than 60 developing country governments and more than 20 donor nations, plus international organisations, civil society, philanthropy, teachers and the private sector. It regroups the major education stakeholders both at global and country levels to work effectively together to ensure that (i) education plans are sound, credible, effectively implemented and rigorously monitored; (ii) development aid is better coordinated and invested in underfunded, strategically important elements of the plans, and (iii) partners' comparative strengths are leveraged. The GPE is thus not just about financing; but about ensuring that investments in education pay off and national education results are improved.

GPE launched its strategic plan for 2016-2020 in 2016. 'GPE 2020' sets out the partnership's ambitions and objectives for the four year period, all reinforcing the vision, in line with Sustainable Development Goal 4, "to ensure inclusive and equitable quality education and promote lifelong learning opportunities for all."

#### 2.1.1 GPE's objectives

GPE is a fund and a partnership, which aims to address education challenges in developing countries by supporting governments to improve equity and learning, by strengthening their education systems. GPE 2020 goes on further to identify three over-arching goals, and five objectives, of which three are at the country level, as set out below.

##### **Goals:**

1. Improved and more equitable learning outcomes
2. Increased equity, gender equality and inclusion
3. Effective and efficient education systems.

##### **Country level objectives:**

1. Strengthen education sector planning and policy implementation
2. Support mutual accountability through inclusive policy dialogue
3. Ensure efficient and effective delivery of GPE support.

##### **Global level objectives:**

4. Mobilise more and better financing
5. Build a stronger partnership.

Partnership is at the core of GPE's objectives, and this is evident through the country-level operational model which seeks to strengthen education systems through partnership, with division of roles and responsibilities of key actors underpinned by an ethos of mutual accountability.

## 2.1.2 Capacity development in the model

GPE 2020 has a clear emphasis on strengthening national education systems to be effective and efficient, in order to ensure inclusive and equitable quality education for all. This aspect of strengthening systems is itself about developing national capacities, and hence capacity development is underpinning many of the aspects of GPE 2020. In a number of ways, the partnership aims to improve the quality of education sector planning, implementation and monitoring, all of which are primary functions of government in the education system.

The strategy is explicit about how this type of capacity development can take place through various approaches, including needs analysis, efforts to strengthen technical capacity at strategic moments of the policy cycle and continuously, bringing in the talent and resources of others, providing technical support and investments, and knowledge and good practice exchange.

One of the main ways that capacity development is expected to take place is through the roles taken on by key actors at country level in applying the country-level operational model.

## 2.1.3 Country-level operational model

At the country level, GPE recommends an operating model made up of a number of core actors.

At the centre of the model is the DCP itself, where the focal point for the GPE is usually the ministry of education.

Then there are three key actors at the country level, the LEG which is multi-partner collaborative body, the CA and in the case of a country receiving a grant from GPE, the GA. In addition to this, the Secretariat plays a role in supporting key actors to deliver on GPE 2020.

The LEG is made up of all education partners, usually including stakeholders from government (which may include ministries of education, finance, planning, and possibly representing local government), civil society, teachers' representatives and development partners. The LEG is a forum for sector dialogue and accountability.

The CA is one of the members of the LEG who is selected in agreement with the DCP to facilitate the LEG's work under the leadership of the government. It is intended to support the Government in coordinating the education stakeholders in-country to support joint planning and monitoring, and so helps to minimise transaction costs for the government.

If the DCP has a grant from GPE<sup>1</sup>, then a GA is chosen by the government and approved by the LEG to oversee implementation of the GPE grants. The GA disburses GPE funds to implementing partners (usually government), provides fiduciary oversight and technical support relevant to the grant.

The Secretariat has a supporting role throughout the national education sector policy cycle in promoting inclusive and robust policy dialogue, providing guidance and reviewing processes for the GPE grants, providing sector planning guidelines and tools, leading GPE's quality assurance review (QAR) procedures and processing documents for GPE Board review.

This operational model has itself evolved over time, in response to needs, new developments and how the members of the Partnership wanted to work together.<sup>2</sup> For example, a review in 2015 led

---

<sup>1</sup> The Education Sector Plan Development Grant (ESPDG), the Program Development Grant (PDG), or the Education Section Plan Implementation Grant (ESPIG).

<sup>2</sup> An overview of these developments will be given in the Final Report.

to changes in the operational model. Indeed, the strategy commits to continually improving the way the partnership itself works:

*“We will continue to strengthen our operating processes and organizational efficiency and effectiveness by creating stronger systems for quality assurance, risk management, country support and fiduciary oversight. We will also continue to improve the capacity of the Secretariat to serve the partnership.*

*“GPE 2020 requires clarity about roles, responsibilities and accountabilities. Therefore, we will promote and coordinate consistent country-level roles, responsibilities and accountabilities among governments, development partners, grant agents, civil society, teachers' organizations and the private sector, through strong coordination mechanisms and a strengthened operational model.”* (From global level objective 5: Build a stronger partnership)

Against this backdrop, the partnership continues to examine how the operational model is working and how it might be improved.

## **2.2 Mandate for this assignment and consultation during inception**

In March 2017, the GPE Board approved a new Financing and Funding Framework (FFF), which aims to create an expanded platform for resource mobilisation and deployment across DCPs. The FFF calls for enhancement of GPE's core funding mechanisms, and one of the mechanisms for this is by focusing on improved operational efficiency as a partnership to achieve country level objectives. This relates to a request from the Board in December 2016 to look at the operational efficiency of the model:

*“The Board of Directors requests the Secretariat with the support of an external firm to examine the issues and options for ensuring Grant Agents, Coordinating Agencies, and Local Education Groups are operating efficiently and effectively as well as learning from past experience to deliver GPE 2020. This process will take into consideration other related work at the Secretariat.”* (BOD/2016/12-19)

A core part of the operational model is country-level capacity development in order to strengthen national systems, and yet it is recognised that capacity development is not always delivered in an effective and efficient way:

*“GPE invests in capacity development through its ESPDG, PDG, and significantly through investments in training, management and research components at central and district levels in its ESPIGs. Grant Agents and LEG partners play key roles in building capacity through these grants. However, delivery modalities vary, sometimes with technical assistance performing tasks for rather than sufficiently engaging national partners in activities.”* (FFF technical Annex 1 of BOD/2017/03 Doc 03)

Furthermore, in March 2017, the Board recommended that urgent action was needed to improve the funding model by:

*“Clarifying responsibility and optimizing approaches for capacity building and technical assistance including in fragile and conflict affected states, requesting that this work be incorporated into the work tasked under BOD/2016/12-19 to commission an examination of the efficiency and effectiveness of Grant Agents, Coordinating Agencies, and Local Education Groups to deliver on GPE 2020.”* (BOD/2017/03-06)

As suggested in the TORs, as part of building a stronger partnership, there may be ways to better capitalise on the strengths of key country level actors (specifically CAs, GAs and LEGs including development partners within these groups) to support capacity development and leverage the Partnership.

The Board requested the Secretariat and relevant committees to accelerate progress on this recommendation in the context of the replenishment. In response to this, the Secretariat commissioned a review to explore how these key actors approach and carry out their respective roles and responsibilities under GPE's operational model.

The Secretariat held further consultation with the Partnership in December 2017 through to March 2018:

- A session at the December Board meeting;
- Collecting informal feedback from the three main agencies acting as CA or GA;<sup>3</sup>
- Presenting the TORs and core elements of the draft inception report with OPM to the GPC in January 2018,
- Sharing a revised draft inception report with the GPC in February 2018, for discussion on an audio call.

This inception report thus reflects a scope which has evolved since the initial TORs and a methodology to respond to this in the timeline and resources available. The development of this methodology has been a joint effort between the consultancy team and the Secretariat, with the Secretariat responding to the various needs in terms of objectives, resources and constraints to give direction to the consultancy team. A full outline of the consultation and changes in approach over the inception phase is included in Annex B.

### **2.2.1 Other ongoing work to improve the operational model<sup>4</sup>**

The study is one effort among many which will provide insights into how the Partnership works and how it might be improved. As part of the Secretariat's work on facilitating optimal support to DCPs, there are a number of ongoing workstreams which look to improve and support specific aspects of the operational model and related strategic issues. These workstreams, overseen by different committees (GPC, SIC, and FRC), relate to:

- LEG effectiveness, examining challenges for effective LEGs in depth and considering the role of specific stakeholder groups in view of developing technical guidance for LEGs. Oversight: SIC.
- Alignment, implementing a roadmap to support greater alignment of development aid/GPE grants with national systems for the effective and efficient implementation of education sector plans. Oversight: GPC
- Variable Part, implementing a roadmap to leverage the potential impact of the variable part at country level. Oversight: GPC
- Quality assurance, piloting an adapted QA process with the World Bank and UNICEF to reduce duplication between Secretariat and Grant Agents. Oversight: GPC
- Operational Risk Framework, implementing a management tool to ensure that Secretariat resources are aligned to mitigate key risks, and therefore it does not duplicate Grant Agents' own risk assessments or risk mitigation activities

---

<sup>3</sup> World Bank, UNICEF, UNESCO

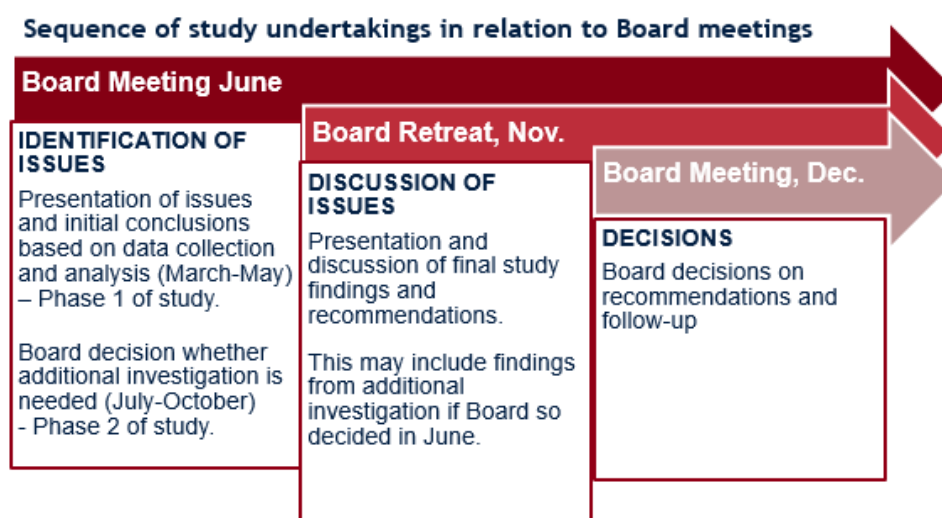
<sup>4</sup> This section was drafted by the GPE Secretariat

- Institutional arrangements/direct access, considering feasible options for channelling funds directly to governments in certain risk low contexts. Oversight: FRC
- Support in fragile and conflict-affected states, examining options for funding in regional crisis situations and cross border support to broaden and improve existing framework, Oversight; GPC.
- Knowledge and Innovation Exchange (KIX), recently adopted funding window, aiming at improving the capacity of partner countries to use knowledge and policy and programmatic innovations to strengthen their education systems. Oversight: SIC
- Advocacy and Social Accountability (ASA), newly adopted funding window, supporting effective civil society representation and engagement in national education sector policy dialogue. Oversight: SIC
- Summative country evaluations – a series of country evaluations throughout the GPE 2020 strategy period on GPE contributions to strengthening education systems, including relevance, efficiency and effectiveness of GPE's theory of change and country-level operational model<sup>5</sup>.

Some of the findings of the study may be relevant to these workstreams to various degrees and thus feed into them *down stream* in follow-up mechanisms. The final report may indicate or map a distribution of the actual findings into the different workstreams as relevant. Meanwhile, the study is drawing *upstream* from the work undertaken on LEG effectiveness due to its direct relevance to the focus of the study, with a desk study on LEGs that forms part of its secondary data (see 3.5).

Figure 1 below sets out how this study fits into the sequence of Board meetings.

**Figure 1 Sequence of study undertakings in relation to Board meetings**



## 2.3 Problem statement: objective and scope of the study

The overall objective of the study is to examine whether the current set-up and working of the country-level operational model is fit for GPE's purpose: delivering improved equity and lifelong learning in education for all in developing countries. In other words, does the current country-level operational model allow effective and efficient delivery of GPE 2020? This has arisen from a

<sup>5</sup> Relevant data from these country evaluations may be drawn upon to deepen study findings and country perspectives and to go beyond *institutional* responses from key actors. However, due to timelines, this can only be done as part of a Phase 2 of the study (July-October), when summative country evaluation reports have been finalized.

perception that the operational model may not be optimal, that its evolution may or may not be in the right direction, and this is critical to supporting DCPs in delivering quality education. Key questions to understanding the problem include: Are the roles of key actors clearly defined, understood and adhered to in practice? Do they reflect the right roles in the model and are actors well-equipped to perform them, and how can they best be supported to do so? Do they make up an effective and efficient cooperation system through which the Partnership can best be leveraged? What can be learnt from the success stories? And finally, what solutions might improve the operational model?

The study is not intended to be an evaluation of the model, but an opportunity to seek the views of stakeholders in the GPE Partnership. It thus will provide an independent collation and analysis of the perceptions and expectations of key members in the model: DCPs, GAs, and CAs, other members of the cooperation system including other development partners and CSOs, and the Secretariat.

### **Specific objectives**

The specific objectives of the study are as follows:

- Assess perceptions and expectations of GPE key actors (GA, CA, Secretariat and LEGs as a body) of their respective roles and responsibilities in the country-level operating model as well as their views on the cooperation system between the DCP, GA, CA, LEG as a multi-stakeholder body, and the Secretariat;
  - Identify major areas of concern, including commonalities and divergent views.
  - Identify factors that enable or impede actors in carrying out roles.
- Undertake a more detailed diagnosis of common challenges to effectively and efficiently engage in capacity development support as part of roles and responsibilities of the model.
- Identify response mechanisms to address identified bottlenecks, duplicative efforts, ambiguities and capacity gaps, and issues relevant to the operational model not working optimally.
- Formulate recommendations and options to the Board, demonstrating a meaningful response to country needs as central focus, and supporting in-country accountabilities and dialogue to work efficiently as a Partnership.

### **Which partners are in scope?**

The starting point for this study, related to the initial Board request, was to look at the efficient and effective operation of three key actors at country level: GAs, CAs, and LEGs as a multi-partner platform. This has been further elucidated as a focus on the roles and responsibilities of GAs and CAs, and the cooperation system between GAs, CAs and the LEG as a body, as well as how these actors cooperate with the Secretariat.

After a further request from the GPC in February and agreed in March, the role of the Secretariat in the country-level model is to be included within the scope of the study. This will include consideration of what the Secretariat's roles are, if and where there are duplications, as well as challenges and enabling factors in fulfilling the roles, and what it should do less of, what it should do more of.

This study will not explicitly focus on the role of the DCP (in terms of whether DCPs fulfil their responsibilities in the model). However, DCPs will be a core respondent for the findings on the other actors, and examples of how the DCP role interacts with other actors' roles may potentially come out. Noting how central the DCP is to the Partnership, the number of interviews with DCPs

has increased compared with earlier versions of the inception report, and DCPs will be consulted at a meeting in May 2018.

### **Which roles and responsibilities are in scope?**

In preparation for this study, the Secretariat conducted a mapping of roles and responsibilities for GAs, CAs and LEGs (GPE Secretariat, 2017, hereafter called the Mapping exercise, and attached as Annex C). The Mapping looks at the responsibilities of these three actors across all the grant processes and more generally, as taken from their terms of reference and grant guidelines. The Mapping demonstrates that each key actor has a significant number of expected responsibilities, within which there are many identified entry points for capacity development. The Mapping provides the underlying *normative* view of what key actors are currently *expected* to do in the operational model, and thus a baseline and starting point for the review. Although the data collection will not allow an exhaustive review of perceptions against all of these roles and responsibilities, these provide the backdrop against which respondents will refer to ambiguities and challenges.

### **Whose viewpoints are to be included?**

The perceptions and expectations will be sought from representatives across a range of the partners in the model: multi-lateral and bi-lateral DPs and INGOs acting as GAs, DPs acting as CAs, and DCPs. In addition, DPs and CSOs who form part of the LEG body will be consulted. For all the stakeholders, with the exception of the DCPs, the respondent will be responding on behalf of the institution, in other words an institutional perspective, and therefore is expected to have sought inputs on the realities of experiences for their country staff 'on the ground'. For DCPs, the respondents are expected to speak to their own experience, though they may wish to refer to other countries' experiences if they have those references. Successful data collection is dependent on the readiness and willingness of interviewees to prepare and reflect on issues beforehand.

The GPE Secretariat will provide an input in terms of mapping its own role, which will be done consultatively involving a range of staff members within the Secretariat. Members of the Secretariat will not be included as key informants for the data collection on the roles of other key actors in the study.

In addition to the viewpoints sought from primary data collection, secondary data on the views from DCPs and LEG members will be used in the analysis. The sources of these viewpoints are a summary note of a feedback session with DCPs on the roles of key actors (DCP meeting, Washington DC, September 2017) and an online survey of LEG members. A further document for secondary data analysis is a desk-based review on the effectiveness of LEGs, produced to gather evidence for better understanding the basis for success and challenges facing LEGs as part of the LEG effectiveness workstream.

### **What analysis is in scope?**

This study will conduct analysis drawing on the primary data collected through the methods set out here, and the four secondary input documents provided by the Secretariat. The analysis will allow judgment of the weight to be placed on the various issues, and therefore a prioritisation of which issues and/or response mechanisms the Board may choose to further investigate and develop.

## 3 Methodology

### 3.1 Conceptual framework

As an input to this assignment, the GPE Secretariat conducted the Mapping exercise, consolidating the roles and responsibilities of three key actors – CAs, GAs and LEGs as a body – according to their terms of reference, grant guidelines and the GPE Charter. The Mapping also identified entry points for capacity development within the roles and responsibilities.

The Mapping indicates that these three key actors have a large number of responsibilities. To aid consideration of such a long list of responsibilities, these have been categorised into six groups of types of responsibility as a lens for the analysis:

- **Inclusive dialogue and collaboration:** Structured and facilitated conversations which welcome and encourage contributions from representatives of various stakeholders including the government, development partners, civil society, teachers' organisations and the private sector.
- **Technical support and capacity development:** Provision of expertise and process of strengthening the abilities of capacities of individuals, organisations and institutions to develop sustainable systems with effective and efficient use of resources.
- **Quality assurance:** Process of checks and reviews to ensure outputs meet the quality standards agreed and adopted by GPE.
- **Fiduciary oversight:** Responsibility for ensuring finances have been processed and used in accordance with the purposes intended by GPE, and are properly accounted for.
- **(Mutual) Accountabilities:** Processes which follow GPE procedures and ways of working, specifically relating to furthering grant processes.
- **Aid effectiveness approaches:** Efforts to ensure key actors and GPE programming align with and encourage aid effective approaches as outlined in the Paris Declaration.

At the same time, the responsibilities within these categories take place across various points of the national education system cycle: sector planning, implementation and monitoring and evaluation. Similarly, the responsibilities may fall under specific grant processes, ESPDG, PDG and ESPIG, although some may fall outside of a grant process (see Figure 1 below).

In addition, key actors in the country-level model may facilitate access to learning and knowledge exchange across countries. The *Knowledge and Innovation Exchange* (KIX) is expected to strengthen and reinforce these aspects in the country-level model. Likewise, the *Advocacy and Social Accountability* (ASA) is an important effort to strengthen transparency and civil society participation in sector planning, implementation and monitoring. These two new funding windows, although also regional and global in scope, should be kept in mind when considering the in-country operational model with a future perspective.



**Figure 2. Roles and responsibilities across the education system cycle and categories**

The Mapping does identify some specific areas where capacity development is mentioned in the roles and responsibilities of the key actors. However, the mapping also rightly shows that capacity development may be a part of almost all of the responsibilities, where many interactions of a key actor with government may provide an opportunity for strengthening government capacity. Thus, capacity development may be something that key actors are able to consider across the full scope of their roles, within grant processes and as part of general best practice in the education sector. For the sake of continuity, we propose to use the definition of capacity development already adopted by the Secretariat in its consultation with DCPs in September 2017: capacity development is “the process of strengthening the abilities of capacities of individuals, organisations and institutions to develop sustainable systems with effective and efficient use of resources.”

A hypothesis for this study is that there must be some areas where bottlenecks and challenges (or enabling factors) are experienced in delivering the roles and responsibilities envisaged for GPE 2020 and other areas where roles and responsibilities may not be sufficiently specified. Capacity can exist at the individual level, at the organisational level and in the wider institutional environment, and hence bottlenecks and enabling factors may exist at these levels too. Individual level capacity reflects the competencies of people in the organisation, including skills, knowledge and attitudes. The organisational level comprises the structures, processes and procedures of the organisation, while the institutional environment encompasses the broader system of institutions, laws, policies and regulations within which an organisation operates, and in this case where the actors interact. It is expected that the bottlenecks, challenges and enabling factors will fall within these three categories:

- individual might relate to the skills and behaviours of staff in the key actors;
- organisational might relate to specific requirements of organisations who take the key actor role, such as one development partner’s processes and procedures. These factors are thus above the individual level, but specific to one organisation;
- institutional might relate to the expectations of key actors in the operational model, and this may be where ambiguities and duplications present themselves. For example, there may be lack of agreement among key players at country level on how aspects of the model ought to work, if actors perceive the model differently or it unfolds differently than intended. Similarly, there may be issues related to institutional context, such as the country’s characteristics (like

fragility and conflict), which may enable or impede individual and organisational capacities to thrive.

The study thus looks at the realities for key actors in playing their roles as integral to the partnership and how the operational model might be adapted to strengthen the cooperation system for supporting national systems. In this regard, our review will look at the individual, organisational and institutional factors affecting key actors' realities in carrying out their roles.

## 3.2 Framework questions

### Box 2. A reminder of the problem statement

The Partnership wants to understand if the country-level operational model is optimal, and evolving in the right direction, in order to deliver GPE2020: i.e. to support DCPs in ensuring quality, lifelong learning opportunities for all. The study aims to identify the key issues in the model as perceived by the stakeholders, and what solutions might overcome these issues and improve the functioning of the partnership.

The framework questions have been developed following discussion and consultation with the Board, Secretariat and GPC. The study will seek to address the following framework questions, and these will form the basis for data collection.

#### 1. Is there clarity of understanding of the roles and responsibilities of key actors?

- Which areas are less clear?
- Where are duplications, inconsistencies and ambiguities perceived?

This question intends to uncover where there are problems with the understanding of responsibilities between what is expected (as per guidance) and what is perceived. As shown in Annex C, there are a multitude of responsibilities, so the intention is not to assess understanding of each and every responsibility, but rather to allow obviously problematic areas to arise. Probing under this question would include: Are there duplications or ambiguities between the GA and the CA? Are there duplications between the GA or CA and the Secretariat or DCP?

#### 2. How do key actors approach the responsibility for capacity development?

Although technical support and capacity development is one specific area of responsibility, as the mapping shows, capacity development can take place through almost all the categories of responsibilities and phases of the education system. This question intends to give an opportunity for specific focus on the issue of capacity development. A thorough exploration of the approach to capacity development could be the subject of an entire study, so within this study it is intended more as a way of uncovering the understanding of capacity development by key actors. It also acts as a trigger for respondents to think about capacity development specifically, to ensure it is covered.

#### 3. What are the core bottlenecks and challenges to fulfilling their roles and responsibilities effectively?

- What enabling factors currently exist which support key actors in fulfilling their roles and responsibilities effectively?

This question seeks to get to the reality of delivering responsibilities as experienced in practice. It is anticipated that bottlenecks and enabling factors might relate to the individual and organisational level, or the broader institutions including the expectations from the GPE model, the role of the DCP, the Secretariat, and variation in context.

#### **4. What changes would further support key actors in fulfilling their roles effectively?**

- **Within the current operational model?**
- **As an alternative modality, to effectively deliver on GPE 2020 and common objectives of the partnership?**

This question aims to canvas options and strategies to improve the ability to deliver on GPE 2020. These options may relate to improving the current operational model as it is, for example through adjustments to the responsibilities or additional support from some actors. On the other hand, these options may relate to changed modalities in the operational arrangements and set-up at country-level.

**Each of these questions will be considered for the four groups of key actors (CAs, GAs, LEGs as a multi-partner platform and the Secretariat) and their interactions as well as relative to the role of the DCPs, and the variation in context including for fragile and conflict affected states.**

The study team have purposefully tried to limit this list of questions, given the amount of probing required under each question in order to better understand the reasons behind the answers and the perceived magnitude of an issue. The appeal of adding more questions must be balanced with the challenge of only receiving very brief responses to each question and hence not being able to report the findings with confidence. It is this probing, around magnitude and occurrence of an issue, which will allow the team to analyse and thus make judgments on the importance of issues in the findings. At the same time, findings will consider issues of common concern across stakeholders as well as divergent views.

Through the course of the inception phase a number of specific issues were raised by stakeholders as topics that this study could try to investigate (as examples: diversifying GA eligibility, direct access in provision of grants to DCPs). The approach to the study and the data collection is to be open and inductive – asking respondents to identify their own priority issues and suggestions – rather than leading and deductive. In addition to making interview lengths more manageable, this is for two main reasons: a certain amount of consensus would be needed up front in determining the issues to consult on, and by pre-determining the topics, other issues or options might be missed. Thus, this study provides a comprehensive starting point to get all the issues and options on the table. Meanwhile, the study team will review existing GPE documents such as evaluations to set the findings in the context of what has already been documented.

The study team have been asked to provide findings and recommendations stemming from the findings that can be used in turn by the GPE Board in the process of designing changes to ensure that the Partnership delivers efficient and effective support to DCPs throughout its operational model.

### **3.3 Data collection**

The sources of data for the study come from primary data in the form of interviews and consultation, and secondary data through review of four key documents. In addition, the study has involved consultation through the governance structure with the Board and GPC at inception and GPC, Board and DCPs will be consulted in finalising the final report.

**Table 1. Summary of data sources**

Primary Data	Secondary Data
<ul style="list-style-type: none"> <li>• Telephone surveys: 14 interviews with agencies who are GAs and/or CAs (bi- and multi-lateral development partners and INGOs), plus 12 interviews with DCPs</li> <li>• Two consultations with further DPs and CSOs</li> <li>• Mapping of Secretariat's roles and responsibilities through consultation with the Secretariat</li> <li>• Written consultation/feedback with the GPC on the Secretariat's mapping</li> </ul>	<ul style="list-style-type: none"> <li>• Mapping of roles and responsibilities</li> <li>• Summary of DCP consultation</li> <li>• Summary of LEG survey</li> <li>• Desk-based review on LEGs, including summary</li> </ul>

### 3.4 Primary data

The majority of the data for the analysis and findings will be primary responses from stakeholders in the partnership model. The perceptions and expectations will be sought from representatives across a range of the partners in the model: multi-lateral and bi-lateral DPs and INGOs acting as GAs, DPs acting as CAs, and DCPs. In addition, DPs and CSOs who form part of the LEG body will be consulted. There will be four main types of primary data collection, designed to allow a broad inclusion of stakeholders but also give opportunity for greater delving with some of the stakeholders. The methodology for the primary data collection is set out here.

It should be noted that for the first two primary data collection methods (telephone interviews with GAs, CAs, and DCPs) the approach will be *inductive* rather than *deductive*. This means we will ask open questions, and although we will ask probing questions to better explore the answers, we will not be setting out hypotheses to test respondents' views, or leading them into specific issues or potential responses. This allows us to hear the key issues as respondents identify them. For the online consultation with wider DPs and CSOs, initial findings emerging from the interviews could be used as prompts if the data is available in time, but otherwise it will also be an opportunity to hear the views of respondents in response to more open questions about the operational model. The consultation with the GPC (and their constituencies) will be based around open questions relating to the mapping exercise carried out by the Secretariat.

The telephone interviews will be recorded – we will ask participants for their permission to record. All audio recordings (or notes where applicable) will be provided to the Secretariat for their records and therefore interviews and participation in consultations will not be anonymous. This is consistent with the purpose of the methodology to seek *institutional* responses (for agencies) and will be explained to participants before they agree to take part.

#### 3.4.1 Telephone survey with headquarters of GAs and CAs

Semi-structured telephone interviews will be held with CAs and GAs at headquarter level, who themselves would collate responses from colleagues working at the country level. The interview will therefore provide an 'institutional' response to the questions and issues addressed in this study. It is the responsibility of the respondent from the HQ to ensure they have adequately consulted with colleagues, including from the country level, to give a considered and complete view of their most pertinent issues and priorities.

The process for this data collection, to maximise value, depth and country perspective, will be to start by sending the HQs a pre-questionnaire for them in turn to send to their colleagues at the

country level. This will be sent with an introduction to the study, including its problem statement and its objectives, and prompts around issues to include (such as variation in context for the DCP and FCAS status). The respondent at HQ would then collate the responses and conduct their own first-stage of analysis, to inform the responses given over telephone interview.

Telephone interviews are expected to last one hour on average, but are flexible to fit the intended purpose - for stakeholders who act as the CA and GA in a large number of countries, these interviews would be longer in order to cover questions relating to both the roles specifically. Necessary arrangements will be agreed in advance with interviewees case by case.

## **Sampling**

The stakeholders sampled for this survey will be purposively chosen based on their relative frequency, and varying perspective, in the roles of GAs and CAs. The bi- and multi-lateral development partners with the most experience as GAs/CAs, and therefore representing a large portion of GPE grants and DCP partners, will be selected. In addition, the INGOs who act as GAs will be selected given the potential for different views from these different bodies. Given the range of DCPs which are covered by these GAs/CAs, it is expected that variation in context, including FCAS status, is already accounted for. In total there will be 14 interviews.

## **Instruments**

The pre-questionnaire, and telephone interview guide, would be structured around the framework questions set out in 3.2 above. The focus for the interview would be the key actor which the stakeholder represents (e.g. 'Are there challenges in performing your roles as a CA? Can you explain these challenges...'), and then how the cooperation and interaction works with other key actors (e.g. 'Do you perceive there to be specific areas of duplication between your role and that of others, for example the GA, with wider LEG, or the Secretariat? If so what are these...').

The questions will not ask respondents to work through a long list of areas and responsibilities as set out in the mapping exercise, due to likely respondent fatigue. Instead, respondents will receive the categories of roles and responsibilities in advance, to act as their own prompt in thinking about their answers, and the interviewer will have the categories of responsibilities which could be used as prompts if necessary.

### **3.4.2 Telephone interview with DCPs**

Semi-structured telephone interviews will be held with 12 DCPs, to seek the perspective of governments on the capacity of key actors to efficiently and effectively deliver their roles and responsibilities. DCPs are the centre of the national education system and GPE grant processes, as the actor responsible for leading national processes and chairing the LEG. The interviews with DCPs will thus give an opportunity for specific examples from the country-level, rather than the overarching institutional responses given by the GAs/CAs. DCPs' views will also feed into the study findings from the consultation held in September 2017, and through the DCP members on the GPC who can engage their constituency.

## **Sampling**

The DCPs will be sampled based on representing the six DCP constituencies. The current DCP representative and the alternative representative for the constituency will be contacted. The team is able to carry out interviews in English and French. We would endeavour to arrange the interview with the DCP focal person who has responsibility for liaison with GPE, however in the event that they nominate an alternative, we will accept their proposal.

## **Instruments**

The semi-structured topic guide for the DCPs' interviews will be similar to that for GAs/CAs, however questions will be framed as 'Do you feel there to be ambiguities in the roles and responsibilities of GAs and CAs? If so where are these ambiguities? What makes you think this?' and so forth. DCPs will not be expected to collate any responses in a pre-questionnaire. However, in the introductory email sent to DCPs, a guide to the types of questions will be included to give respondents an opportunity to think about their answers in advance and prepare as they feel necessary.

Again, respondents will not be asked to work through a check list of all responsibilities, but these will be provided in advance to frame the respondents' thinking.

### **3.4.3 Online consultations with other DPs and CSOs as members of LEGs**

A number of development partners act as the CAs in a small number of countries and as such will not be part of the telephone survey. Similarly, there are a number of partners who are members of LEGs but not in the role of CA or GA, in particular civil society organisations. In order to give these agencies an opportunity to contribute to the assignment, they (CSOs and DPs which are not directly interviewed) will be invited to take part in an online consultation, one for each group. This is intended to ensure a diverse set of views are included about the key actors' roles being examined (GAs, CAs and LEGs as a multi-partner platform). They will be consulted in their capacity as bilateral partners or CSOs to collect their views on the in-country cooperation system, and the role of the LEG.

The online consultation will be guided by a small number of key questions, similarly reflecting the interview topic guides and framework questions. Information will be sent to participants in advance so they know what the study is about and what topics will be covered in the consultation. Respondents will be asked to refer to any specifics of context that relate to their views, and to explain how they came to their responses (e.g. what experience or evidence has led to their view). There will be opportunity for respondents to take part in a web-based consultation or written consultation for either CSOs or other DPs respectively so that their views are transparent and they can choose how they prefer to engage. Participation in these consultations will be flexible and open for these agencies.

### **3.4.4 Mapping and consultation of the GPE Secretariat's roles**

Members of the Secretariat are not being included individually as respondents in examining the key actors' roles. However, recognising the Secretariat's crucial role in supporting the operational model, a mapping will be conducted through consultation within the Secretariat of the staff's roles as they relate to the country-level operational model, using the GPE Charter approved by the Board as a basis. The output of this will be a document mapping the roles and responsibilities as they are seen to be in practice by the Secretariat staff.

This mapping document will then be shared with the GPC along with a small number of guiding questions for written consultation, prepared by the OPM/Dalberg team to facilitate the consultation with partners. Partners will respond directly to OPM. GPC members will be encouraged to consult further with their respective constituencies and each provide an aggregate response. The written responses will be analysed for including in the report on findings about the role of the Secretariat. OPM will be responsible for this consultation stage with logistical support from the Secretariat.

### Box 3. The importance of participants for successful data collection

The primary data used in this assignment depends on participants giving considered and prepared responses. For successful data collection, it is thus important that we have the pre-agreement of all the interviewees beforehand so that they are willing to be interviewed and also prepare for the interview as necessary. Tools will be provided beforehand – pre-questionnaires for GAs/CAs, study purpose and topics for DCPs and the online consultation, and preliminary findings for the Secretariat consultation. Participants should prepare using these tools. Participants will have the opportunity to accept the interview or delegate to somebody else, but noting that timeliness is critical to meet the study deadlines for the June Board.

## 3.5 Secondary data

The GPE Secretariat prepared four inputs in advance of this assignment which will be used to supplement the interviews in the analysis. This includes:

- **the mapping of roles and responsibilities** for CAs, GAs and LEGs, as per all relevant GPE guidance (grant guidelines, ToRs for CAs and GAs, GPE Charter, ESPIG policy), outlined along the different grant processes, and a specific focus on their respective roles in capacity development.
- **a summary of the DCP consultation session** on key actors' effectiveness at performing their responsibilities, held in September 2017, with two sub-groups of DCP representatives
- **a desk-based review on LEG effectiveness**, conducted in view of developing technical guidance to strengthen the overall effectiveness and functioning of LEGs based on evidence
- **results from an online survey of LEG members**. In total 154 respondents completed the survey from across DCPs, GAs, CAs, national CSOs and other DPs, collecting opinions of stakeholders regarding the functioning of their LEGs.

The Mapping has already informed the overview of what the roles and responsibilities are in theory, and will be used as a reference where specific areas are identified as having issues in perception or in fulfilment. The DCP consultation provides an opportunity to triangulate the DCP interview findings against a collective discussion with DCPs on the model. The two LEG documents give more information on strategic, operational and capacity issues that LEGs are facing in fulfilling their roles, and on the perceptions of LEG members.

The consultancy team will also review a select number of relevant background documents which provide comment on the operational model. This will be relevant to setting the context in the final report, from which the findings may then complement or contradict these previous documents.

## 3.6 Analysis

Some analysis of each of the sources of data can be conducted as the data collection progresses, such as extracting key themes from interviews.<sup>6</sup> However, the full analysis must be conducted once all the data collection is complete, in order to review the data together, analyse the strength of the sources (based on the evidence given), review the severity of issues based on occurrence or magnitude, and the situations of agreement or divergence in views. Given the number of issues that may emerge, the study will focus on the aspects that have the most weight from key actors (which could be due to the frequency of the issue or the importance of it), while issues that are

<sup>6</sup> The interviewer will take thorough notes during the interviews, which will then be used for analysis.

'*outliers*' with weaker evidence cannot be explored in depth in this study, but will still be carefully documented.

### **3.7 Findings and recommendations**

Based on the extent of evidence we will gather through the telephone interviews, online consultation and written consultation, we will be able to analyse the key issues and enabling factors in the operational model as given by respondents and the four secondary documents. These findings will bring out the key issues for the Board to further focus on, and therefore we will be able to make strategic recommendations about issues for further exploration and verification, and potential options to explore for adapting and improving operational model arrangements.

This study will need to be considered alongside the various ongoing workstreams for a complete picture of issues regarding changes and fine-tuning in operational model arrangements.

### **3.8 Risks and limitations**

The methodology seeks to respond to the Board's request and further consultation with Board and GPC members. The approach will independently identify key issues and priorities coming from stakeholders in the country operational model, and through the range of interviews/consultations and secondary data, analysis will be possible regarding the weight to be given to various issues.

However, we also recognise that the approach, which has advantages in meeting the requirements within the timeline and resources available, does also have limitations. Given consultation with the GPC, we feel this gives the right balance of depth (of detail in understanding and verification) versus breadth (of respondents and issues to include in scope). We set these out here.



**Table 2. Advantages, related risks and limitations and mitigation measures**

Advantages of this approach	Risks and limitations	Mitigation measures
<p>The views of institutions from HQs are sought, so it represents what they consider as an institution to be the most pertinent issues.</p>	<p>HQs have responsibility for collating and interpreting views from country level. They have autonomy in deciding who to seek feedback from, pursuing this, and then analysing it. This respondent has responsibility for deciding what to give weight to and how far to present differing internal viewpoints. Further, this does not give a direct observation of experiences at country level, but HQs are expected to capture this.</p>	<p>GPC members to emphasise to members of their constituency the importance of the study and the need to prepare thoroughly</p>
<p>Breadth of stakeholders' responses – range of multi-lateral and bi-lateral DPs, DCPs and CSOs as LEG members. Breadth of topic in the questionnaires – all roles/responsibilities are in scope, interaction with the Secretariat, various contexts and a specific focus on capacity development.</p>	<p>Keeping the questionnaires (interview and written) to a reasonable length means there is less opportunity for in-depth probing around all issues and contexts. We will not be able to check through all responsibilities but will rely on respondents to raise the most important issues and probe to ensure we understand that issue in the time available. The methodology will give viewpoints but does not allow further verification and triangulation of views (other than if an issue comes up of its own accord) to better quantify the issue.</p>	<p>Respondents will be given opportunity to prepare beforehand and so make the decision about which issues to focus on.</p>
<p>A draft report will be ready for the June Board meeting.</p>	<p>There is a very tight time frame to analyse and provide a consolidated draft report to the GPC. Similarly, the GPC will need to provide comments with a fast turnaround, and the team will have a fast turnaround to respond to these comments in a revised report going to the Board.</p>	<p>Agencies will be encouraged to respond in a timely way and make themselves available for interviews and the online consultation. GPC members can encourage this. Data collection will happen concurrently as much as possible in order to allow all the data to be analysed and reported together. OPM will provide a larger team to allow concurrent data collection and analysis, and report revisions.</p>
<p>Based on institutions' responses, the approach will allow initial prioritisation of key issues and identification of potential options for addressing them.</p>	<p>Some findings may require deeper analysis than is possible within this study, for example further interviews to test an issue, or direct observations or seeking data for analysis. This study will rely on the data coming from our primary data collection and the secondary data set out above. Similarly, options may need further deliberation and development.</p>	<p>The final report will be one of a <i>holistic</i> 'package' of work streams being prepared for the Board around improving the operational model, and it will help the Board decide where to focus more resource to understand problems and find solutions.</p>

In recognition of the limitations to what this study can achieve in the time available, and in addition to the mitigation measures outlined below, the Secretariat has proposed to consider this as 'Phase 1' of the study.

Phase 1 will identify core issues and may then show where more information is needed to really understand the extent of the issue and agreement amongst partners. Phase 1 may also lead to some gaps, for example if the Board does not feel that the country-perspective is sufficiently captured, or a specific topic has not been covered.

A later 'Phase 2' could be used to investigate more specific issues through further consultation (some possible options for this are included in Annex B2). The findings from Phase 1 will make it

possible identify specific needs and then select a targeted methodology (in terms of respondents and questions) based on these needs. For now, the contract only relates to the work set out in this inception report as Phase 1.

### **3.9 Expected product**

The Final Report is expected to be organised as follows:

#### **Context and background**

- An overview of how the operational model has evolved over the past years and key milestones.<sup>7</sup>
- Selected elements from the inception report regarding objectives, methodology, and process

#### **Findings related to the framework questions**

- Discrepancies between expected and perceived roles and responsibilities; ambiguities and duplications – GA, CA and LEG as a body - their cooperation system including views on the role of the Secretariat.
- Approach to capacity development.
- Bottlenecks and challenges, as well as enabling factors, and how these relate to individuals, organisations and institutions including context (in particular if the context is a FACS). Suggested changes and alternative modalities given by interviewees.

#### **Strategic recommendations**

- In relation to key issues for further exploration, areas of improvements or changes to the operational model to be further consulted on and developed.
- Links to other work streams aimed at improving the operational model.

---

<sup>7</sup> Drawing on work by the Secretariat

## 4 Study process and timeline

### 4.1 Deliverables

Following agreement and acceptance of the scope and methodology as outlined in detail in this inception report and in line with the revised ToR for the study, the team will begin the data collection phase. The remaining deliverables and their timeline for this project are set out below.

**Table 3. Main deliverables and timeline**

Deliverable	Date	Type of deliverable
<u>PPT on inception elements</u> For GPC meeting, 18 January	January 10 <sup>th</sup> 2018	Intermediary product
<u>Draft inception report</u> For GPC audio follow-up call, 19 February	February 5 <sup>th</sup> 2018	Intermediary product <u>Payment deliverable</u>
<u>Final inception report</u> For reference and posting on GPE website	March 21 <sup>st</sup> 2018	Final product
<u>Draft study report</u> For feedback GPC in an audio call, and presentation at the DCPs meeting	May 4 <sup>th</sup> 2018	Intermediary product <u>Payment deliverable</u>
<u>Revised draft study report</u> For presentation at Board meeting, 12-14 June	May 22 <sup>nd</sup> 2018	Intermediary product
<u>Final study report</u> Following Board meeting and other feedback	June 29 <sup>th</sup> 2018	Final product <u>Payment deliverable</u>

### 4.2 Work plan

The study is divided into three phases, which are described in Section 4.2.1, 4.2.2 and 4.2.3 below. The resources available for the three phases are given in Table 4. The work plan for the remainder of this study is presented below in Table 5.

**Table 4. Inputs days for team members**

	Nicola Ruddle	OPM Education Cons.	Georgina Rawle	Andrew Wyatt	Veronica Chau	Dalberg Cons.	Total
Inception	18.5	12	3	4	2		39.5
Data collection and analysis	10	30	0	1	3	5	49
Consolidated report	19.5	22	11	5	5		62.5
Total	48	64	14	10	10	5	151

**Table 5. Work plan for study after inception phase**

	March				April					May				June			
	05/03/2018	12/03/2018	19/03/2018	26/03/2018	02/04/2018	09/04/2018	16/04/2018	23/04/2018	30/04/2018	07/05/2018	14/05/2018	21/05/2018	28/05/2018	04/06/2018	11/06/2018	18/06/2018	25/06/2018
Approval of approach																	
Revise inception report (D)																	
Interviews																	
Online consultations																	
Secretariat Mapping																	
GPC consultation on secretariat mapping																	
Document review: LEG review and survey, DCP consultation, evaluation reports																	
Analysis																	
Draft report (D)																	
Present and consult at DCP meeting																	
Discuss with GPC																	
Revise report (D)																	
Present and consult at June Board meeting																	
Revise report reflecting DCP meeting, Board meeting and written comments from HQs and DCPs interviewed (D)																	

(D) indicates deliverable

#### 4.2.1 Inception

The inception involved consultation with GPC in January 2018, and the draft report was subject to a review by GPC members (and Board members through GPC members) in February. With the tight timeframe for data collection and analysis, the changes to the inception report in terms of scope and methodology were agreed in mid-March, followed by immediate launch of data collection. The present inception report is the final version.

##### Deliverables:

- Draft inception report for GPC audio-call – February 5<sup>th</sup> 2018
- Final inception report, in response to any feedback from GPC (and Board) – March 21<sup>st</sup> 2018

#### 4.2.2 Data collection and analysis

With the final approval of the approach and framework questions, the team will carry out the data collection and analysis phase:

- Sharing pre-questionnaires and introductory emails with GAs/CAs for telephone interviews, and scheduling telephone interviews for two weeks later. **GAs/CAs will have a maximum of two weeks to send out, collate back in and analyse the pre-questionnaires.**
- Sending introductory emails to DCPs, scheduling interviews for at least one week later.
- Preparation of topic guides for telephone interviews.

- Preparation of material to go on the online consultation and Webinar for other CSOs and DPs.
- Carrying out telephone interviews and Webinar/online consultation, all to be completed by 6<sup>th</sup> April 2018.
- Support to the Secretariat with finalising mapping of their own roles, to be completed by 23<sup>rd</sup> March 2018 and questions and template to facilitate the consultation with partners.
- Written consultation with the GPC on the mapping of Secretariat roles, to be received by 11<sup>th</sup> April 2018.
- Analysis of primary data.
- Analysis of secondary data.
- Preparation of draft final report.

**Deliverables:**

- Draft final report – 4<sup>th</sup> May 2018

### **4.2.3 Consolidated report**

The Draft study report will be shared with the GPC for discussion on an audio call on May 14<sup>th</sup>. The draft report will also be presented at the DCPs meeting in May 9-11<sup>th</sup> to consult on findings and seek validation. The feedback from these two meetings will be used to complete a revised draft report, by May 22<sup>nd</sup>. This report will be presented at the Board meeting on 12<sup>th</sup> June 2017. At the same time the draft report will be shared with the interviewees for comments on the recommendations. Comments from the Board and interviewees will be reviewed to produce a final report by June 29<sup>th</sup>.

**Deliverables:**

- Revised draft final report – 22<sup>nd</sup> May 2018
- Final report – 29<sup>th</sup> June 2018

## 5 Management and ways of working

This study involves a number of stakeholders, so this section sets out the roles for the key groups and how they will work together.

### 5.1 Consultancy team

This study is led by Nicola Ruddle at OPM. Expert advice and quality assurance is given by Georgina Rawle, the Project Director; Andrew Wyatt, Capacity Development expert; and Veronica Chau, Strategy Consultant (Dalberg). Nicola will manage a team of education consultants who will support the design and implementation of the data collection, analysis and drafting, including Gabi Elte, Anais Loizillon and Ying Yeung. Veronica will be supported by Dalberg consultants for the Secretariat mapping. Nicola is the primary contact person for the team and will be the liaison person on progress and technical updates.

### 5.2 GPE Secretariat

The Secretariat has day to day responsibility for managing this project, as requested by the GPE Board and the GPC. The primary project managers are Raphaëlle Martinez and Janne Kjaersgaard Perrier. Managers involved and consulted in the process are Margarita Focas Licht, Pdraig Power, and Karen Mundy.

The consultancy team will send a weekly update email to the Secretariat covering progress in the data collection and analysis. Given the tight timeframes, the consultancy team will not speculate on the findings until the data collection is complete and a holistic analysis can be undertaken.

The inception phase involved substantial engagement with the Secretariat in order to work towards a methodology which the Secretariat feels meets the needs of the GPC and Board but within the constraints of resources and timelines, particularly where this study is expected to feed into other processes. The methodology presented here is very much the product of a joint development, with the Secretariat giving directions in view of the various needs. Going forwards into the data collection, analysis and reporting phases, the Secretariat will have responsibility for:

- Documenting the consultations and all feedback received and decisions made during the inception phase.
- Providing updated lists and contact details for respondents: DCPs, GAs, CAs, other DPs, and CSOs.
- Providing logistical support to the organising and hosting of the online consultations.
- Conducting the mapping exercise internally for the Secretariat's roles and responsibilities, with support to finalisation by Dalberg.
- Facilitating consultation and inputs from the GPC and the Board.
- Providing feedback on functional aspects for the final report, such as report structure. These will be logged in an annex, to maintain transparency.
- Providing logistical support to the preparation of the team's sessions at the DCP meeting and Board meeting.
- Translating final products for the GPC and Board.

### **5.3 Grants and Performance Committee**

The GPC was designated in November with responsibility for overseeing this assignment. GPC members' feedback on the draft inception was incredibly useful, and the study will benefit from continued engagement with the GPC. The GPC and its members have the following roles:

- Briefing the Board members for their constituencies on the inception report and the scope and methodology, collecting their feedback.
- Facilitating responses from their constituencies to the primary data collection: emphasising to other members of the constituency the importance of the assignment and therefore giving due time to engaging with the interviews.
- Responding to the request for consultation feedback on the roles of the Secretariat as set out in the mapping.
- Engaging with their constituencies in order to represent wider views in discussing the draft final report and recommendations.
- Reviewing the draft final report, giving comments and suggestions and eventually endorsing the findings and recommendations to be taken to the Board.

### **5.4 GPE Board**

As the overall decision-making body for GPE, the Board will be involved in the following ways:

- Reading the inception report and providing inputs to its finalisation through their GPC representatives.
- Encouraging responses from their constituencies to the primary data collection: emphasising to other members of the constituency the importance of the assignment and therefore giving due time to responding to the surveys.
- Reading and discussing the final report at the June Board meeting, and deciding which recommendations to take forward.

### **5.5 GPE members – DCPs, agencies, CSOs**

Other members of the GPE partnership (whether members of the Board, GPC, other committees or more broadly of the partnership) may be approached to take part in either a telephone interview or online consultation. It is the responsibility of these agencies: focal points for DCPs, bi- and multi-lateral development partners, CSOs, to make time to prepare for and then participate in the opportunities to share information and experiences. In particular, for members of the GA/CA HQs, they have responsibility for distributing and then collecting responses from their country level staff, and then analysing and aggregating those responses to give an institutional viewpoint.

The telephone interviewees will also be given opportunity to comment on the recommendations in the draft final report at the same point as the Board, and this feedback will be considered in finalising the report.

## References / Bibliography

GPE, 2016. GPE Strategic Plan 2016-2020: GPE 2020. Improving learning and equity through stronger education systems

GPE Secretariat, 2016. BOD/2016/12-19

GPE Secretariat, 2017. BOD/2017/03 Final Decisions

GPE Secretariat, 2017. BOD/2017/03 Doc 03 FFF technical Annex 1

GPE Secretariat, 2017. Mapping exercise