Examination of key actors' roles in GPE's country-level operational model towards GPE 2020 delivery

Final Report

Volume II – Annexes

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Oxford Policy Management

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Preface

Volume II presents the annexes to the main report, Volume I: Examination of key actors' roles in GPE's country-level operational model towards GPE 2020 delivery. The final annex, Annex M, contains both the English version and the French version of the recommendations presented to GPE's Board in June 2018.

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Annex A   Terms of reference

Terms of reference for Workstream A

16 November 2017

Updated as a result of the inception period:

29 March 2018

Background

Established in 2002, the Global Partnership for Education ("the Partnership" or GPE), formerly the Education for All Fast-Track Initiative, is a multi-stakeholder partnership focused on supporting and financing education in low and lower middle income countries, contributing to the achievement of Sustainable Development Goal on Education (SDG 4). GPE's strategic goals and objectives are to achieve improvements in learning outcomes, equity and efficiency across the 89 developing countries eligible to join the partnership (65 are currently developing country partners, or DCPs). The Partnership's strategic plan, GPE 2020, outlines its approach to achieving both global and country level impacts; the latter through its support for strengthened educational systems, including support to education sector planning, inclusive policy dialogue and mutual accountability, and financing for the implementation of sector plans.

GPE financing for education is primarily disbursed through country-level grants that are underpinned by   the importance of developing stronger education systems. Currently, GPE provides three types of country level grants to support the development and implementation of sound education sector plans: 1) the Education Sector Plan Development grant (ESPDG), which supports sector analysis and the design of education sector plans or transitional education plans in conflict-affected contexts; 2) the Program Development Grant (PDG), which supports the design of the GPE implementation grants; and 3) the Education Sector Program Implementation Grant (ESPIG), which is the largest country level grant and which supports the implementation of an endorsed education sector plan. This grant requires countries to adopt credible education sector plans, improve domestic financing and data strategies and provides financing for the implementation of the national plan. Thirty percent of ESPIGs are disbursed as payment for results in three areas: equity, learning and efficiency. GPE is also in the process of operationalizing investments by the GPE Multiplier, a new innovative finance facility to mobilize new and additional external funding for education.

In March 2017, the GPE Board approved a new Financing and Funding Framework (FFF), which aims to create an expanded platform for resource mobilization and deployment across DCPs.

The FFF calls for enhancement of GPE's core funding mechanisms, through a focus on both improved operational efficiency, and innovative approaches to mobilizing greater levels of resources from DCPs and development partners. These terms of reference cover key deliverables for two core FFF work streams:

   a.   Reinforcement of GPE support for country-level capacity building through better capitalizing on the strengths of key country level actors (specifically

coordinating agencies, grant agents, and local education groups). Delivering on this objective of a more effective Partnership requires a thorough stock take of how well these actors approach and, are currently equipped to perform, the roles envisaged for them under GPE's operational model.

b. Development of an Education Sector Investment Case (ESIC). Building upon GPE's existing support to education sector planning and for the alignment and harmonization of funding around this plan, the ESIC approach will enhance the Partnership's efforts to bring new and in some cases non-traditional funders to the table to support the achievement of priorities established in quality, evidence-based sector plans.

GPE is seeking the services of an external contractor to undertake core work within these two areas of the FFF. Further details of these two work streams, including expectations for the firm contracted to complete this work, are outlined in Sections A and B below; wherever possible, synergies across the work streams should be exploited. The work described in these ToRs is not exhaustive, and the external contractor may be requested to undertake other or modified tasks that arise from GPE's efforts to effectively operatizing the two work streams, described below.

A. Building a more effective Partnership: capacity review of key actors in the operational   model

[Work stream A to be conducted from December 2017 to June 2018]

I. Background

The GPE offers an operational framework that focuses on supporting developing country partners' efforts in building effective education systems to improve equity and learning. At the country level, the model is made up of a number of core actors.

At the centre of the model is the **Developing Country Partner (DCP)** itself, where the focal point for the GPE is usually the ministry of education.

GPE supports stronger approaches to sector dialogue and accountability with the DCP at the centre by supporting engagement of all education partners in a collaborative forum called the **Local Education Group (LEG)**, typically led by the ministry of education, and including a range of stakeholders from government, technical agencies and civil society. The LEG participates in the development, implementation, monitoring and evaluation of education sector plans and programs, including through Joint Sector Review processes.

While the LEG is a summative multi-stakeholder body, a **Coordinating Agency (CA)** is selected from among its members to facilitate the work undertaken by the LEG. In particular, the CA coordinates across in-country development partners to collectively support the government in joint monitoring of education plans and policies, enabling the government to lead and interact with partners in a way that minimizes transaction costs.[1]

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[1] ToR for Coordinating Agencies, August 2016

Additionally, a **Grant Agent (GA)** is chosen by the government and approved by the LEG to oversee the implementation of GPE grants. The operational role of the GA is to disburse GPE transferred funds to implementing partners, generally the government, and provide fiduciary oversight and technical support as appropriate to the context and in line with the specific purpose of the grant. The GA also plays a key role in ensuring that grants are fully aligned with broader education sector developments.[2]

These actors are core to GPE's operational model, with the GA reinforcing Secretariat functions in grant monitoring, and the CA serving a critical function in facilitating LEG engagement in policy processes. These actors also serve as important entry points for capacity development. The technical annex to the FFF (Annex 1 of BOD/2017/03 Doc 03), highlights the centrality of capacity development to the GPE country-level operational model; in particular, through its grant processes:

'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 <u>for</u> rather than sufficiently engaging national partners <u>in</u> activities.'[3]

The document implicitly makes an important distinction between technical assistance and capacity building; with the latter understood as the process of strengthening capabilities of actors to carry out their tasks independently, through acquisition of knowledge and know-how. While technical assistance can encompass a capacity building component, this is not guaranteed and depends on the approach and the way it is undertaken. As such, delivery of outcomes associated with operational roles through technical assistance alone runs the risk of inadvertently circumventing a central GPE objectives: that of strengthening country systems.

Against this backdrop, the Board requested that the Secretariat and the Grants and Performance Committee (GPC) undertake the following activities:

'*a) Commission an examination of the efficiency and effectiveness of Grant Agents, Coordinating Agencies, and Local Education Groups to deliver on GPE 2020. This study should include an examination of their respective roles in providing capacity building and technical advice, and identify options to clarify or adjust these roles including provision of additional support as needed; and*

b) Make improvements to the provision of capacity building and technical assistance throughout the model'[4]

After consultation with their respective Board constituencies during the inception period, the GPC further requested to expand the Partnership review beyond the initial Board request, cited above. The GPC, considering the Secretariat as a key actor in the Partnership architecture, requested to:

Include the Secretariat within the scope of analysis to ensure that the review of the country operational model would be sufficiently <u>holistic</u> and yield the information

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[2] ToR for Grant Agents, August 2016.
[3] Annex 1 of BOD/2017/03 Doc 03, p. 13.
[4] BOD/2017/03 DOC 03 - Annex 1, p.14.

needed to identify inefficiencies and capacity gaps, and develop appropriate remedial actions (Minutes, GPC, 21 February 2018).

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.

The Secretariat will approach these requests in two stages:

- **Stage I: Mapping** of expected roles and responsibilities of country level actors (GA, CA, LEG; hereafter "key actors"), based on GPE's operational guidance documents for application and implementation across each of GPE's three core grants (ESPDG, PDG, and ESPIG) and guidance for country level actors (ToR for GAs, ToR for CAs, GPE Charter…). The focus will be on their respective roles in ensuring and supporting capacity development processes, including the provision of technical assistance.

The mapping will be complemented with feedback elicited from DCPs on the effectiveness of the roles performed by key actors in capacity building during GPE grant processes and on their expectations on core actors' roles and responsibilities. This feedback will be collected through a session with DCPs convened at the Secretariat offices in Washington DC, late September.

- **Stage II: Exploratory review** of key actors to assess their capacity to efficiently and effectively support the GPE country level operating model against their expected roles, and identify any discrepancies with actual country practices. This review should articulate strengths, areas of untapped potential, and capacity gaps, as well as proposing recommendations to improve the effectiveness of the key actors in GPE grant processes.

The exploratory review will benefit from a consultation process with partners through the Grants and Performance Committee (GPC), appointed as oversight committee of the study in December 2017. The consultation process will be part of the inception phase and use the draft inception report as a basis for consultation to ensure broader ownership and awareness of the study undertakings and that the study design meet partners' expectations.

A.II.   Project purpose and specific objectives

The GPE Secretariat is currently finalizing Stage I of the review. The external contractor will play a central role carrying out the work envisaged under Stage II of the review, with the ultimate objective of developing options to inform decision-making on how to improve the efficiency and effectiveness of the GPE country level operating model and grant processes. Specifically, the recommendations and options formulated should focus on the role of in-country actors in driving capacity development processes and providing meaningful capacity building support. The results of this review will be presented to the Board in June 2018.

The review will engage with the key actors and country development partners, and work closely with the Secretariat to meet the following specific objectives in reviewing the capacity of key actors across GPE grant processes:

- Identify enabling and impeding factors for key actors at country level to effectively and efficiently carry out their expected roles and responsibilities, as outlined in GPE's operational guidance. Gaps between anticipated roles and actual practices should also be articulated as well as the different perspectives of key actors and country development partners. This will include consideration of what the Secretariat's roles are, what it should do more of, what is should do less of, and where its most added value is as perceived by actors in the Partnership.

- Undertake a more detailed diagnosis of common challenges and good practices of key actors (including the Secretariat) for effectively engaging in and performing their respective roles and providing capacity building support and technical assistance under the GPE operational model. This will include identification of ambiguities and duplications – GA, CA and LEG as a body - their cooperation system including views on the role of the Secretariat.

- Identify response mechanisms to address identified bottlenecks and capacity gaps, that could assist in strengthening the intended roles of key actors and mechanisms of the GPE operational model. Recommendations could include provision of additional support to leverage stakeholders within the Partnership, proposals for adjustments to GPE operational mechanisms, and an assessment of alternative modes of capacity strengthening and support, such as cross-country knowledge exchange.

- Formulate recommendations and options to the Board for implementation of remedial measures to ensure that the Partnership delivers efficient and effective support to developing country partners throughout its operational model. These options should demonstrate a meaningful response to country needs as central focus, and should support in-country accountability and dialogue mechanisms throughout grant processes.

A.III. Methodology and approach

It is envisaged that in addition to information provided by the Secretariat (see A.IV), the external contractor will collect and analyse information from a range of sources. The following approaches to data collection will underpin the review methodology:

1. Capitalize on the initial mapping of roles and responsibilities done at GPE secretariat level, including DCPs feedback on the effectiveness of the roles performed by key actors in capacity building during GPE grant processes (see Stage I), as well as on readily available data generated through a separate but interlinked work stream on LEGs, which includes i) a (draft) literature review on LEG effectiveness, and ii) data from an online survey conducted across LEG members in GPE DCPs (August-Sept 2017), which includes responses to a set of questions designed to examine constituent member views on roles and responsibilities, and capacity-building within GPE grant processes.

2. Based on items 1 and 2 outputs, undertake semi-structured interviews with CA and GAs at headquarter level, to explore strengths and capacity gaps of actors in performing their expected roles within the different grant processes, including grant application, implementation and monitoring, in-country quality assurance of grant applications, and facilitation of LEG engagement across these processes. The external contractor will also be responsible for preparing: i) a preliminary questionnaire for GAs and CAs to be sent in advance of interviews

to allow for aggregate responses per agency, as well as ii) semi-structured interview questions.

3. Conduct interviews with a number of DCP focal points (both in French and English) to complement and deepen the information obtained through the preliminary DCP consultation (see Stage I). Considering DCPs at the centre of the model, DCPs will be a core respondent for the findings on the other actors. The external contractor will also conduct a face to face consultation with DCPs on preliminary findings to enhance DCP voice and validate findings, at the GPE meeting in May 2018.

4. Conduct web-based consultations with CSOs and other development partners to reach out to additional actors and bilateral partners, not being reached through individual interviews, to get their views on the operational model and the key actors that are within the focus of analysis.

5. Conduct a consultation collecting written contributions from GPC members and their respective constituencies on the role of the Secretariat. This will include consideration of what the Secretariat's roles are (what it does; what it should do more of; what it should do less of); on areas where the Secretariat has clear added value, and where there are perceived duplications and ambiguities.

A. IV. Input documents provided by the Secretariat

Stage II will build on the Stage I mapping exercise, as well as existing work undertaken by the Secretariat. The following inputs will be provided to the external contractor:

- Mapping of roles and responsibilities of key country-level actors focusing on key entry points for capacity development, as outlined in GPE guidance for its grant processes and country level actors (guidance, ToRs for CA and, GPE Charter..);

- Mapping of roles and responsibilities of the Secretariat, as well as how it has evolved and is expected to evolve. Secretariat will conduct this mapping internally, using the GPE Charter approved by the Board to outline what it currently does. The external firm will use this mapping as a basis for consultation with partners and formulate questions to guide the consultation.

- Summary report of the DCP session, held at the Secretariat late September, summarizing participants' feedback on the effectiveness of the roles performed by key actors in capacity building during GPE grant processes.

- Data generated through the above-mentioned survey of LEG actors, including specific responses to questions on their role and involvement in GPE grant processes (conducted in Sept 2017);

- Literature review of LEG effectiveness (draft), undertaken the above-mentioned LEG work stream to ensure complementarity and avoid overlap of analytical and data collection efforts.

- List of GAs and CAs from currently active GPE grants, to inform interview selection (see Annex).

In addition to the above, the Secretariat will also provide a select number of relevant documents, i.e. previous evaluations, for review by the external contractor as background information and contextualisation.

A.V.   Deliverables

Intermediary outputs:

- Inception report with approach, methodology, and core issues to be addressed and interview questions, resulting from consultation with and oversight by GPC – January 2018 (draft) for GPC call and March (final) 2018.

- Draft report and initial recommendations based on an analysis of all sources and findings from interviews undertaken with GAs, CAs, and DCPs upon completion of interviews, web-based consultations with CSOs and other development partners; and consultation through GPC members and their respective constituencies on the role of the Secretariat, for DCP meeting in May; and subsequent audio call with GPC in mid-May – due early May

- Draft report including DCP feedback on findings, and feedback from GPC review of report for submission to Board – due 23 May 2018

Final deliverable:

- Final consolidated report, including incorporation of any Board observations from June meeting, consisting of i) a summary of findings; ii) with recommendations to the Board, and iii) the detailed diagnosis in Annex – due end June 2018.

The above deadlines are sequenced so that, upon completion, the GPE Secretariat is to able to process the document on time for the Board (translation, dissemination).

A.VI.   Work stream A period and level of effort

Timeframe: Workstream A should commence in early December 2017 and be finalize end June 2018.

Level of effort: The level of effort is estimated at 151 person days, with a breakdown as follows:

Estimate of person days against tasks		Days as per TOR
Steps	**Description of tasks**	**LoE**
	1.1. Review of key GPE policy and grant documents (guidelines, FFF, GPE strategy etc):	3
1. Preparations	1.2. Review of capacity review initial mapping	1
	1.3 Review of LEG survey data and literature review:	3

	1.4 Review of summary report of feedback session with DCPs	1
	1.5. Development of questionnaire and interview protocol for GA, CA, DCPs	4
	1.6. Inception report with core issues to be addressed and interview questions to be validated by the Secretariat and discussed with the GPC	6
	1.7 Additional scoping and revision in inception report	9
	1.8 Call with GPC	0.5
	1.9 Revisions following GPC call and Board comments	7
	1.7 Logistics of questionnaire distribution and scheduling of interviews:	5
	Subtotal:	**39.5**
2. GA, CA, DCP interviews	2.1 14 interviews balanced across a representative set of GAs and CAs - estimated at 30 hours (approx. one-hour interviews/two people):	10
	2.2 Data analysis of interviews - immersion	6
	2.3 Interviews with DCPs (12)	7
	2.4 Online consultations with CSOs and additional development partners (bi-laterals not being interviews) – design - set-up - holding	5
	2.5 Analysis of online consultations	5
	2.6 Preparation of preliminary findings	0
	2.7 Mapping of Secretariat roles	9
	2.8 Seeking, analyzing, integrating GPC comments on Secretariat role against mapping	4
	2.9 Review of previous documentation/evaluations	3
	Subtotal:	**49**
3. Consolidated report with recommendations	3.1 Draft report for GPC	23
	3.2 Further engagement of committee chair(s)	6
	3.3 Integration of feedback received and finalization of report	9.5

	3.4 Preparation of Board materials/iteration with GPC members	5
	3.5 Presentation to DCPs – preparation and write up of consultations	9
	3.6 Preparation and presentation to the Board - with Q&A	4
	3.7 Finalization of report integrating DCP and Board feedback	6
	Subtotal:	**62.5**
Total person days		**151**

Possible follow-up work to Stage II:

The external contractor may be called upon to undertake further work relevant to Workstream A, pending discussion with the Board in June on the basis of the above-mentioned deliverable, and further deliberations on the scope of the effective Partnership review within the Secretariat. This might include additional targeted investigation to ensure that study findings are sufficiently robust as a technical input document for the planned Board retreat in November. Decision by the Board on additional investigation is contingent to the work carried out in exploratory review of Stage II.

Annex B   Consultation process in design and implementation

B.1   Consultation and iteration in inception phase

This table sets out the stages in the iteration of the inception phase and development of the inception report. Each version of the inception report that was submitted to the Secretariat is briefly summarised. The guidance and/or response given by GPE is outlined.

Inception Report Version	Stage	Detail
	Guidance documents	Terms of reference. See annex A.
0	OPM/Dalberg's first draft inception report submitted 19 December 2017	Scope: Specific focus on capacity development, in terms of how CD spans across the responsibilities, and therefore investigating how key actors (GAs, CAs and LEGs) understand and approach CD: how they plan for it, conduct it, and assess their progress. Methodology: interviews with country actors themselves: 5x countries sampled with CA, GA and DCP interview, plus 5 follow-up interviews with HQs of major agencies. Secondary data: 4 key documents.
	Comments from GPE Secretariat	Scope: to be widened to roles and responsibilities in general throughout the operational model for implementing GPE 2020. The exercise should explore what the roles of key actors are; whether these roles are well defined; the extent to which they are well understood by respectively GAs, CAs, LEGs; how these roles are working for them; and what is needed to make it work effectively, including support from the Secretariat, to deliver on the common objectives of the Partnership. Methodology: country interviews useful for having an objective/ independent diagnosis of how the roles are fulfilled at country level, but the goal of this study is more to have consultation with a larger number of agencies for understanding their expectations and perceptions. This exercise will not try to reconcile inconsistent positions within agencies.

1	(Draft submitted 8 January, further revised following Secretariat comments and inputs) Draft inception report presented in PowerPoint at GPC meeting, 18 January 2018	Scope: independent collation and analysis of the perceptions and expectations of GAs, CAs and DCPs. Key actors' roles as focus: GAs, CAs and LEGs as multi-actor platform. Roles relative to the Secretariat. DCPs' perspectives as the centre of the process. Capacity development as one responsibility identified to focus on (whereas no other responsibilities highlighted specifically). Methodology: 14 interviews with HQs of GAs/CAs, 6 interviews with DCPs. Secondary data: 4 key documents.
	Secretariat provided collated comments from GPC, Board and written comments, and gave steer on changes.	Scope: Make the problem statement clearer. However the approach is inductive rather than deductive – i.e. we look to hear what issues respondents raise, rather than asking leading questions and validating issues we've heard elsewhere. Emphasise the question of duplication of roles. Methodology: Include INGOs who are GAs in the HQ interviews. Include online consultation with wider stakeholders: DPs who are less regularly CAs/GAs, and CSOs. Include workshop with the Secretariat as a feedback loop on findings (rather than as an initial respondent). Case studies not to be considered as part of the methodology. Given the constraints of timeframe, and the fact that other in-depth analysis is ongoing, the proposed balance between breadth and depth will be kept.
2	OPM/Dalberg's revised draft inception report, submitted 31 January 2018 and re-submitted on 2 February 2018	Inception report re-drafted with clarified scope (GAs, CAs and LEGs as the focus in terms of responding to their roles and responsibilities, but with questions of duplication and cooperation system with Secretariat and DCP). Other points in comments above addressed including methodology. Secretariat provided input to section on other workstreams alongside this study.
	GPC meeting (audio call) held on 21 February 2018, Secretariat collation of GPC written comments	To consider: more interviews with DCPs, more inclusion of Secretariat in the respondents, inclusion of DCP and secretariat roles/responsibilities in the scope, more 'views from the field.'
	Further discussion with Secretariat	Secretariat managers have indicated preferences to OPM in order to meet as many GPC suggestions as possible and keep to the initial timeline. This includes GPC consultation on the Secretariat's roles.

	Options note for responding to GPC, 8 March 2018	OPM shared an options note for discussion with the Chair of the GPC in response to the Secretariat's direction. This included the proposed option for a Phase 2 which would allow follow up data collection and analysis.
3	Final inception report, submitted 21 March 2018	Final inception report which responds to agreement with the GPC on this Phase 1. Changes from Inception Report version 3: Scope: Include Secretariat in scope through a mapping of Secretariat roles and written consultation with GPC. Methodology: Add more interviews with DCPs. Use the DCP meeting in May for further consultation and validation. Remove Secretariat 'feedback loop'. Include consultation on Secretariat roles. Review additional background documents for context. Finalise the final report following Board feedback.

B.2 Secretariat involvement during data collection and analysis

Task	Secretariat's role
Sampling	The Secretariat carried out the sampling, selecting the DCPs, DPs and CSOs to be contacted for interviews and Webinars. The Secretariat provided the names and contact details of specific individuals to be approached.
Instrument design	The Secretariat reviewed and provided feedback on the questionnaires for GAs/CAs, the interview guides for GAs/CAs and DCPs, and the Webinar structure
Translation	The Secretariat coordinated the translation of the inception report, the Background note sent to participants in the study, and the questionnaires sent out to GAs/CAs.
Logistics	The Secretariat contacted CSO and DP participants for the Webinars. The Secretariat also sent out the invitation for a written consultation on the Secretariat's role to members of the GPC. For all interviews, OPM contacted respondents directly via email and with follow up telephone calls.
Respondent	The Secretariat carried out a mapping of its own roles, based on the GPE Charter and internal consultation.

Clarifications	The Secretariat responded to OPM's queries about aspects of the GPE model, processes and changes. For example, the situation with other workstreams like the LEG effectiveness work, and the guidelines around GA fees. This included the development of the Annexes giving the overview of GPE's evolution since 2014, and the overview of relevant workstreams.

Annex C   Sampling and participants

C.1   Approach to sampling – extract from Secretariat selection and contacts document

General selection strategy: The suggested participants for interviews and online consultations are, as a point of departure, drawn from GPE technical committees. Both for agencies and for DCP focal points, corresponding board members and/or alternate board members are given when relevant, and will be copied in introductory mail for information/internal consultation and coordination. In case no committee member exists for a certain agency, the board or alternate board member is given instead; in case the latter does not exist, a name within the given agency is given as per PERT (or other Secretariat team) recommendation. Communications focal points are also given and sometimes happen to be the same as the committee member selected.

In all cases, the pre-selection is not set in stone - it is up to the addressees to decide at what level they want to engage and whether they want to delegate to a colleague. For CSOs, participants are drawn from across the committees and the Board and represent both international and national organizations.

I.1. Developing Partner Interviews (12)

Selection strategy and criteria: Targeting DCP focal points representing each of the constituencies (and corresponding to the Board members and Alternate Board members). The DCP focal points can choose to delegate the interview to another DCP focal point or identify somebody else within the constituency to do the interview. The respondents are expected to speak to their own experience as DCP within the LEG and discuss the role of the CA/GA, as well as that of the Secretariat (where is its added value/ where does it do too much/too little…). The DCP representative agreeing to the interview should therefore have considerable experience with the operational model including with the LEG and with any of the grant processes as relevant for the country.

I.2. Agency interviews - with most experience as GAs and/or CAs (6)

Selection strategy and criteria: Targeting multi-and bi-lateral agencies with the most experiences in the respective roles of GAs and CAs, collectively representing a large portion of GPE grants and countries. Agency representatives will be HQ-based, and will be asked to aggregate an institutional response based on agency experiences from across countries. The pre-identified representative will be asked to confirm his/her availability readiness for the interview including internal preparations, or can decide to delegate as appropriate within the agency in consultation with agency colleagues, cc in mail and beyond. Interviews will cater for the two different roles, and also relate to roles of others in particular the Secretariat, and length will be adapted accordingly. Agencies may comment not only in their capacity as GA and CA but in their own agency/organization's capacity (as donor/multilateral/Ingo in the partnership, and also share their view on the role of the Secretariat (where is its added value/ where does it do too much/too little…), as relevant.

I.2 Additional agency interviews, including INGOs (8)

Selection strategy and criteria: Targeting agencies with some experiences in the respective roles as GA/CAs, including INGOs. As above, agency representatives will be HQ-based, and will be asked to aggregate an institutional response based on agency experiences, incl. as LEG member. The pre-identified representative will be asked to confirm his/her availability and readiness for the interview including internal preparations, and can decide to delegate as appropriate within the agency in consultation with agency colleagues, cc in mail and beyond. As above, agencies may comment not only in their capacity as GA and CA but in their own agency/organization's capacity (as donor/multilateral/Ingo in the partnership, and also share their view on the role of the Secretariat (where is its added value/ where does it do too much/too little…), as relevant.

II.   TWO WEB-BASED CONSULTATIONS: i) one with development partners; and ii) one with CSOs

II.1. Development Partners

Selection strategy and criteria: Targeting development partners with some experience as a GA and/or CA and other development partner who are part of GPE committees, but not functioning as GA or CA. Agency representatives will be Headquarter-based. They will be invited to participate in a consultation and expected to contribute to the discussion on the role of CAs/GAs within the LEGs on behalf of their respective agencies and based on experiences across countries. The pre-selected will confirm availability and can choose to delegate to an agency colleague. The representative can complement his/her contributions in writing.

II.2   Civil Society Organizations

Selection strategy and criteria: Targeting Civil Society Organization representatives across the three Board CSO constituencies. Representatives will be invited to participate in a web-based consultation and expected to contribute to the discussion on the role of CAs/GAs within the LEGs and to contribute based on their general insights into and experience with and perspectives on LEGs. Participants can also send contributions in writing.

C.2   Participants contacted and respondents for this study

Table 1: Participants contacted and response for this study

Key Actor role	Constituency	Agency	Invited to	Participation	Name of participants	Comment for non-response
DCP	Africa 1	Zambia	Telephone interview	-	-	No availability at short notice
DCP	Africa 1	Kenya	Telephone interview	Telephone interview	Martha Ekirapa	
DCP	Africa 1	Eritrea	Telephone interview	-		No response - very short notice
DCP	Africa 1	Malawi	Telephone interview	-		No availability at short notice
DCP	Africa 1	Mozambique	Telephone interview	-		No response - very short notice
DCP	Africa 2	Chad	Telephone interview	Telephone interview	Monsieur Youssouf Tafir AHMAT	-
DCP	Africa 2	Madagascar	Telephone interview	Telephone interview	Prisca Hamintsoa Randrianarison nee Razafindralambo	-
DCP	Africa 3	Liberia	Telephone interview	Written response	David W. Baysah	-
DCP	Africa 3	So. Sudan	Telephone interview	Telephone interview	Mr George Mogga Benjamin	-
DCP	Asia and the Pacific	Pakistan	Telephone interview	-		No availability at short notice

DCP	Asia and the Pacific	Bangladesh	Telephone interview	-		No availability at short notice
DCP	Asia and the Pacific	Nepal	Telephone interview	-		No availability at short notice
DCP	Asia and the Pacific	Cambodia	Telephone interview	Written response	Lim Sothea	-
DCP	Asia and the Pacific	Laos PDR	Telephone interview	Telephone interview	Ms Khampaseuth Kitignavong	-
DCP	E. Eur, M. East, C. Asia	Tajikistan	Telephone interview	Telephone interview	Mr Mukhibullo Zubaidulloev	-
DCP	E. Eur, M. East, C. Asia	Afghanistan	Telephone interview	Written response	Farooq Ahmadi	-
DCP	Latin America	Haiti	Telephone interview	Telephone interview	Joseph Gustave	-
DCP	Latin America	Nicaragua	Telephone interview	-		Focal point very new to role
DCP	Latin America	Honduras	Telephone interview	Telephone interview	Sandra Sanchez	-
DP: CA/ GA/LEG	Multi-laterals	WB	Telephone interview	Telephone interview	Douglas Sumerfield; Natalia Cherevatova	-
DP: CA/ GA/LEG	Multi-laterals	UNICEF	Telephone interview	Telephone interview	Atif Rafique; Hanna Fjellstrom	-
DP: CA/ GA/LEG	Multi-laterals	UNESCO	Telephone interview	Telephone interview and written response	Jordan Naidoo; Huong Le	-

DP: CA/ GA/LEG	Bi-laterals	DFID	Telephone interview	Telephone interview	Phil Elks	-
DP: CA/ GA/LEG	Bi-laterals	AfD	Telephone interview	Telephone interview	Valerie Tehio	-
DP: CA/LEG	Bi-laterals	USAID	Telephone interview	Telephone interview	Jeffrey Mettille	-
DP: CA/LEG	Bi-laterals	DFAT	Telephone interview	Telephone interview	Sue Graves; Erika Oord	-
DP: CA/LEG	Bi-laterals	GAC	Telephone interview	Telephone interview	Dan Thakur	-
DP: CA/LEG	Bi-laterals	EU	Telephone interview	Telephone interview	Annica Floren	-
DP: CA/LEG	Bi-laterals	BMZ	Telephone interview	Telephone interview	Rudolf Huber	-
DP: CA/LEG	Bi-laterals	Norad	Telephone interview	Telephone interview	Camilla Helgø Fossberg, Gerd Hanne Fosen; AstridLervåg,	-
DP: CA/ GA/LEG	Bi-laterals	SDC	Telephone interview	Telephone interview	Marie Brüning; Chantal Nicod	-
INGO: GA/LEG	INGOs	Save the Ch.	Telephone interview	Telephone interview	Joyce LeMelle	-
INGO: GA/LEG	INGOs	Care	Telephone interview	Telephone interview	Lotte Renault	
DP: CA/LEG	Bi-laterals	Spain	Webinar	Written response	Francisco Gutiérrez	

DP: CA/LEG	Bi-laterals	Japan	Webinar	Written response	Shunsuke Morimoto	
DP: CA/LEG	Bi-laterals	Sweden	Webinar	-		No availability at short notice
DP: CA/LEG	Bi-laterals	Ireland	Webinar	Webinar	Carol Hannon	
DP: LEG	Bi-laterals	Italy	Webinar	Written response	Diego Cimino	
DP: LEG	Bi-laterals	Denmark	Webinar	-		No availability at short notice
DP: LEG	Bi-laterals	Belgium	Webinar	-		No availability at short notice
CSO: LEG	CSO 1	ActionAid,	Webinar	Webinar	David Archer	
CSO: LEG	CSO 1	Oxfam Ibis,	Webinar	-		No availability at short notice
CSO: LEG	CSO 1	Results Education Fund	Webinar	Webinar	Milagros Lechleiter; Tony Baker	
CSO: LEG	CSO 2	COSYDEP Senegal,	Webinar	-		No availability at short notice
CSO: LEG	CSO 2	Education Coalition of Zimbabwe,	Webinar	Webinar	Maxwell Rafomoyo	

CSO: LEG	CSO 2	Pakistan Coalition for Education,	Webinar	Webinar	Zehra Arshad	
CSO: LEG	CSO 2	Campaña Latinoamericana por el Derecho a la Educación,	Webinar	Webinar	Laura Giannecchini	
CSO: LEG	CSO 2	Networks and Engagement Coordinator	Webinar	-		No availability at short notice
CSO: LEG	CSO 2	Global Campaign for Education	Webinar	-		No availability at short notice
CSO: LEG	CSO 3	Education International, Belgium	Webinar	Webinar	Jefferson Berriel-Pessi	
CSO: LEG	CSO 3	Uganda National Teachers Union	Webinar	-		No availability at short notice
GPC member	Donor	DFID	Written response	-		No response
GPC member	DCPs	Cameroon	Written response	-		No response
GPC member	DCPs	Liberia	Written response	-		No availability

GPC member	Donor	Norad	Written response	Written response	Astrid Lervag	
GPC member	Donor	USAID	Written response	Written response	Jeffrey Mettille	
GPC member	Donor	SDC	Written response	-		No response
GPC member	Civil Society and Private Sector/Foundations	Education Coalition of Zimbabwe	Written response	-		No response
GPC member	Civil Society and Private Sector/ Foundations	Open Society Foundations	Written response	-		No response
GPC member	Multilateral (UNICEF/UNHCR)	UNICEF	Written response	Written response	Atif Rafique	
GPC member	Multilateral	World Bank	Written response	Written response	Douglas Sumerfield	

Annex D   Interview protocols

D.1   Email to DCPs

Dear XX,

My name is xx and I am a researcher conducting a study for Oxford Policy Management (OPM) on behalf of the Global Partnership for Education (GPE). This email is to request your participation as a respondent in a study to examine whether GPE's current country-level operational model allows effective and efficient delivery of GPE's Strategy: GPE 2020.

About the study

GPE is examining 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. The country-level operational model referred to here is the partnership between Developing Country Partners (DCPs) and three key actors: Coordinating Agencies (CAs), Grant Agents (GAs), the Local Education Groups (LEGs) as a multi-stakeholder body; and support from the GPE Secretariat.

In order to assess this, a closer look at the roles and responsibilities of the three key actors is required. More information about the study is provided in the Background note attached.

What's the methodology and what are we asking from you?

In order to do this, the study is collecting views from CAs, GAs, DCPs and members of LEGs as a multi-stakeholder platform. In this case, **we would like to interview you as the focal point for a DCP constituency.** We hope that you are willing to take part as we consider the views of DCPs to be a key contribution to the study.

We have set out below a guide to the questions we will cover in the interview, so you can think about your answers in advance. **The interview will last approximately one hour** so please decide **the issues which are most pertinent** to discuss and describe within this hour.

Will the interviews be anonymous?

As this is a consultation for the partnership, the interviews will not be anonymous. We will ask you if you are happy for us to record the audio of the interview. The audio, and/or notes from the interview, will be provided to the Secretariat for their files and ease of reference. In the report, we will not attribute findings to specific countries.

What are the next steps?

We propose to hold the interview on XXX over skype or telephone.

We ask that you consider the questions below in preparation for the interview.

Please reply to this email to acknowledge its receipt and to confirm the time for the interview, and both your Skype username if you have one, and telephone number. If

you have any questions about the study and the interview, please do not hesitate to ask.

Questions to consider ahead of the interview

1. Do you feel the roles and responsibilities of GAs and CAs are very clear? If not, what makes their roles unclear? What makes you think this?

2. Do you feel there are duplications or inconsistencies in these roles, for example, between the CA and GA? Or between one of these actors and the LEG or the GPE Secretariat? If so, please explain.

3. How do GAs and CAs approach capacity development? Capacity development might take place across all types of responsibility.

4. How have GAs and/or CAs been most successful in capacity development? Do you have an example?

5. How can GAs and/or CAs improve their approach to capacity development? Do you have an example?

6. What are the core bottlenecks and challenges that GAs and/or CAs face in effectively fulfilling their roles and responsibilities?

7. What enabling factors currently exist which support GAs and/or CAs in fulfilling their roles and responsibilities effectively?

8. What changes would improve the way the partnership model operates to support the government to deliver quality education for all? For example, should the roles of GAs and/or CAs change in some way?

D.2   Introduction read to DCPs

Thank you for agreeing to take part in this interview, and for the time you've spent preparing beforehand. I'll start by briefly introducing myself and the study. My name is XXX and I am an education specialist and researcher with Oxford Policy Management. We are carrying out a study for GPE to look at the current GPE country-level operational model. By country-level model, I mean the partnership that exists with the developing country partner at the centre, the coordinating agency, the grant agent, and the local education group as a body, and the support of the GPE Secretariat. We are particularly looking at the roles and responsibilities of CAs, GAs and LEGs, and whether the expectations in the model are fit for purpose. It might help to think about this in terms of how these partners have been involved in the GPE processes, that is applying for GPE grants, carrying out education sector analysis and sector plans, implementing GPE grants and monitoring implementation through joint sector reviews.

This interview will be to seek your response on behalf of the XXX Ministry of Education, about your experience at the centre of the key actors in the country level operating model. We are also interviewing a DCP focal point from the five other DCP constituencies represented on the GPE Board.

The interview should last around an hour. Before we go any further, I want to let you know that I will take notes as we speak, and am also recording this interview which means I can listen back to make sure my notes are complete. The audio recording and notes will be provided to the GPE Secretariat. If you would prefer that I don't record the call, or that I don't pass on the recording, please let me know, though I am obliged to at least pass on the notes.

Am I ok to continue?

Finally, when we use your responses, we will do our best to make sure the country is not identifiable in the report, although the report will acknowledge which countries we spoke to.

The questions will quite closely follow the questions I sent in the initial email, but I'll ask follow up questions if there's something I'd like to know more about. As we only have an hour, please prioritise the issues you feel are most important to put across.

D.3 Email to HQs of GAs/CAs

Dear XX,

My name is XX and I am a researcher conducting a study for Oxford Policy Management (OPM) on behalf of the Global Partnership for Education (GPE). This email is to request your participation as a respondent in a study to examine whether GPE's current country-level operational model allows effective and efficient delivery of GPE's Strategy: GPE 2020.

About the study

GPE is examining 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. The country-level operational model referred to here is the partnership between Developing Country Partners (DCPs) and three key actors: Coordinating Agencies (CAs), Grant Agents (GAs), the Local Education Groups (LEGs) as a multi-stakeholder body; and support from the GPE Secretariat.

In order to assess whether the current country-level operational model allows effective and efficient delivery of GPE 2020, a closer look at the roles and responsibilities of the three key actors from their perspective is required. This study will be undertaken by consultants from OPM who will provide feedback to the GPE Board on the results ultimately contributing to an improvement in the operational model. More information about the study is provided in the Background note attached.

What's the methodology and what are we asking from you?

In order to do this, the study is collecting views from CAs, GAs, DCPs and members of LEGs as a multi-stakeholder platform. The surveys will cover topics on roles, responsibilities, expectations, coordination and duplication, and bottlenecks both for the key actor in question and for others in the model. For agencies acting as CAs and/or GAs in many countries, we will conduct an individual telephone interview with a representative from their headquarters. In this case, **XXX [organization name] has been selected as a representative of multiple CAs and GAs**, and **we would like to interview you on behalf of [organization]**. We propose to hold the interview on XXX. We hope that you are willing to engage in the task as we consider the views of your agency a key contribution to the study.

Recognising that this interview will need to take into consideration the experience of your colleagues at the country level, we have prepared a questionnaire for you to collate views and feedback from others in advance of our interview. We kindly ask you to **distribute these questionnaires to colleagues** who are in the CA and GA roles currently or recently, and ask them to send their responses in writing back to you. **You will then need to collate and review these responses centrally in preparation for**

an interview with OPM. This will allow interviews with those in the headquarters office to gain insight into the situation across countries, whilst giving one institutional response. Please analyse them separately as either the GA or the CA response. **The interview will last approximately two hours** so it is your prerogative to decide **the issues which are most pertinent** to discuss and describe within this time. I will work through questions relating to CAs in the first hour, and GAs in the second hour. Your contribution to preparing for the interview, by analysing the responses of your colleagues, is critical to the success of the study.

Will the interviews be anonymous?

As this is a consultation for the partnership, the interviews will not be anonymous. We will ask you if you are happy for us to record the audio of the interview. The audio, and/or notes from the interview, will be provided to the Secretariat for their files and ease of reference. The Secretariat would also like to collate the questionnaires that you have received. In the report, the responses from agencies will be attributed as relevant, but we will not attribute findings to specific countries.

What are your next steps?

We suggest the following as next steps:

9. Review the background document attached, which has a 3-page introduction and an annex of roles and responsibilities for key actors, and the questionnaire.
10. Reply to this email to confirm the date and time for the telephone interview. See below.
11. Send the questionnaire out to colleagues. In deciding who and how many colleagues, think about: what variation in context you would like to capture (for example fragile and conflict states, presence of country staff, capacity of the DCP); the time required for follow up to get a good response rate; how many will you be able to review.
12. Ask for these questionnaires returned within one week. Please ask for your colleagues to copy me in when they send their response, for our record keeping: XXX@XXX
13. Read and analyse the returned questionnaires in preparation for the telephone interview, which will focus on GAs and CAs separately.
14. Take part in the telephone interview.

We propose to hold the interview on XXX over skype or telephone. This is two weeks from now, allowing a week for your colleagues to complete the questionnaires, and a week for you to read and analyse their responses in preparation.

I would be grateful if you could reply to this email to acknowledge its receipt and to confirm the time for the interview, and both your Skype username if you have one, and telephone number. If you have any questions about the study and the interview, please do not hesitate to ask. This study is of great importance to the Global Partnership for Education's efforts to continually improve the way it works, and we consider your agency's response as critical to understanding the current situation and what could be improved.

D.4   Introduction read to GA/CA interviewees

Thank you for agreeing to take part in this interview, and for the time you've spent preparing beforehand. I'll start by briefly introducing myself and the study. My name is XXX and I am an education specialist and researcher with Oxford Policy Management. We are carrying out a study for GPE to look at the current GPE country-level operational model. By country-level model, I mean the partnership that exists with the developing country partner at the centre, the coordinating agency, the grant agent, and the local education group as a body, and the support of the GPE Secretariat. We are particularly looking at the roles and responsibilities of CAs, GAs and LEGs, and whether the expectations in the model are fit for purpose.

This interview will be to seek your response on behalf of AGENCY XX about the experience in particular as a COORDINATING AGENCY AND AS A GRANT AGENT.

The interview should last around two hours. I would spend the first hour asking you questions about the role of coordinating agency, and the second hour about grant agents. There is an opportunity at the end to make any other comments on the partnership model.

Before we go any further, I want to let you know that I will take notes as we speak, and am also recording this interview which means I can listen back to make sure my notes are complete. The audio recording and notes will be provided to the GPE Secretariat. If you would prefer that I don't record the call, or that I don't pass on the recording, please let me know, though I am obliged to at least pass on the notes.

Am I ok to continue?

Finally, in the report we will say which agency told us which opinion – for example if UNICEF and the World Bank have different views on something, we will be specific about that. If you give specific country examples, we will do our best to make sure the country is not identifiable in the report.

The questions will quite closely follow the questionnaire you've seen already, but I'll ask follow up questions if there's something I'd like to know more about. You don't need to tell me about every response you heard from your colleagues, as we only have 2 hours, so please prioritise those you feel are most important to put across from the point of view of AGENCY XX.

Annex E Interview topic guides

E.1 DCP interview guide

E.1.1 Background

i) **Which agency is currently your coordinating agency?**

ii) **Do you currently have a GPE grant, and if so, which agency is currently your grant agent?**

iii) **Do you have a functioning LEG, if so, how often does it meet?**

E.1.2 Roles and responsibilities – 15 minutes

Section 1: Roles and Responsibilities

We want to know more about how clear you feel about the roles and responsibilities of the key actors are.

1) **Do you feel there are duplications or inconsistencies in the roles and responsibilities of key actors in the model: Grant agents, coordinating agencies, the LEG and Secretariat? For example, when you were applying for a GPE grant, or organising joint sector reviews.**

Are there duplications with the CA and GA? Or with the CA and LEG?

Are there duplications between the GA or CA and the Secretariat?

What are the most important duplications/inconsistencies?

What is the specific duplication/inconsistency? How often does it happen?

What was the result of this duplication, what happened?

What affect did it have? (e.g. was something not done, or just a waste of people's time? Or created annoyance for the DCP?)

2) Are there any areas where you feel the GA is not clear what is expected of them? Are there any areas where the CA is not clear what is expected of them?

What are these areas – can you give an example?

Can you explain why you think that?

What has been the implication?

E.1.3 Capacity development – 15 minutes

Section 2: Capacity Development

Developing national capacities in order to strengthen systems underpins many of the aspects of GPE 2020. We would like to find out about capacity development operational model and the challenges to effectively and efficiently engaging in capacity development support.

3) How have the country level partners approached the responsibility for capacity development of Ministry staff as part of GPE grant processes – such as during grant application or ESP development?

Do you see it as a core part of the roles – for GAs? For CAs? Do the partners see it as a core part of their role?

How is it approached across the various responsibilities?

Can you give an example?

4) What challenges have prevented the GA or CA from effectively and efficiently engaging in capacity development, as part of GPE grant processes (or, for Ministry staff?)?

When do these occur?

Why do you think that? Is there an example?

What is the result, what happens?

5) **Where have the GA or CA been most successful at capacity development of your colleagues at the national level?**

What is the example?

What factors played a part here? – the individual staff members?

The other stakeholders and GPE actors? The DCP itself?

What sort of approach was most successful?

Why do you think it was successful?

6) **Has the LEG been involved in developing capacity of the developing country partner?**

What has been a constraint to the LEG being effective in capacity development? Was this about willingness, their own capacity, coordination problems?

What has contributed to successful capacity development by the LEG?

7) **How might the objective of capacity development for the central ministry staff be achieved more effectively?**

How might GAs/CAs improve their approach to capacity development?

Explain the idea in full, is it a change in role for the GA/CA/LEG?

Why do you think this would improve capacity development?

E.1.4 Making improvements – 20 minutes

Section 3: Making improvements

In an effort to ensure that the operational model is optimal and further improves, we would like you to answer questions about bottlenecks and challenges in roles and responsibilities and the current type of support available.

8) **What enabling factors currently exist which support GAs, CAs or LEGs in fulfilling their roles and responsibilities in GPE Grant processes effectively?**

How common are these factors?

How do they help – what is the mechanism, and the impact?

Are there any that relate to the role of the DCP and the Secretariat?

9) **What are the core bottlenecks and challenges that GAs, CAs or LEGs face in fulfilling their roles and responsibilities?**

What exactly is the bottleneck/challenge?

How common is the bottleneck, are there examples?

What impact does it have?

Probes: Are these at the individual level?

Are any specific to the agency?

Are any about the set-up of the operational model?

10) **[If relevant] We're interested in understanding how specific contexts play a part here, such as where states and communities are more vulnerable to shocks, and this may affect how the international partners engage with the government. Obviously your country has been subjected to a number of shocks in recent years. Do you feel**

this context has any implications for how the key actors carry out their roles and responsibilities?

If so, what, and how?

Is there continuity in communication with GAs, CAs and LEGs?

The government has to be responsive to changing priorities – does this affect how the GA/CA/LEGs work with you?

11) **What changes would improve the way the partnership model operates to support the government to deliver learning for all?**

Can you explain how you imagine that change working?

What difference do you think the change would make?

If that change happened, what would you or the partners do differently?

Do you think there would be any challenges to making this change?

Probes: How could key actors be supported more, by the Secretariat or by their own agency? Should roles change in some way?

E.1.5 General Feedback – 5 minutes

Section 4: General feedback

12) Do you have any other comments on the current set up of the country operational model? Or on the roles and responsibilities of other actors in the model?

Thank you for taking part in this telephone interview.

We will be sharing a draft report with the Grants and Performance Committee of the GPE in May, and also expect to be presenting this at the May DCPs meeting, as well as the June Board meeting of the GPE Board.

If you think of anything else you'd like to say please do get back in touch by email.

E.2 GA/CA Interview guide

E.2.1 Background questions

i) **How many countries are you currently acting as GA/CA in**?

ii) **How many and which countries did you get completed questionnaires from**?

E.2.2 Roles and responsibilities – 15 minutes

Section 1: Roles and Responsibilities We want to know more about how clear you feel about the roles and responsibilities of the CA, and how these relate to the other key actors.
1) Are there any aspects to the roles and responsibilities expected of the CA that you feel are not clear? What are these areas – can you give an example? Can you explain why you think that? What has been the implication?
2) Do you feel there are duplications or inconsistencies in how the CA role relates to the roles of others? Are there duplications with the GA? Are there duplications with the Secretariat? Are there duplications, or inconsistencies with the LEG? What are the most important duplications/inconsistencies? What is the specific duplication/inconsistency? Where has this duplication occurred – is it multiple countries or just once? What was the result of this duplication, what happened? What affect did it have? (e.g. was something not done, or just a waste of people's time? Or created annoyance for the DCP?)

Does this duplication/inconsistency happen in specific situations, more than others?

E.2.3 Capacity development – 15 minutes

Section 2: Capacity Development

Developing national capacities in order to strengthen systems underpins many of the aspects of GPE 2020. We would like to find out about capacity development in the role and the challenges to effectively and efficiently engaging in capacity development support.

3) **How do your country staff approach the responsibility for capacity development in their role as CA?**

Do you see it as a core part of the role?

How is it approached across the various responsibilities?

Can you give an example?

4) **What challenges to effectively and efficiently engaging in capacity development are there as a CA?**

When do these occur?

Why do you think that? Is there an example?

Is it common or in specific contexts?

What is the result, what happens?

5) **Where have you been able to be most successful at capacity development as CA?**

What is the example?

What factors played a part here? – the individual staff members?

The other stakeholders and GPE actors? The DCP itself?

What sort of approach was most successful?

Why do you think it was successful?

> **6) How might the objective of capacity development be achieved more effectively?**
>
> Explain the idea in full, is it a change in role for the CA?
>
> Why do you think this would improve capacity development?

E.2.4 Making improvements – 20 minutes

> Section 3: Making improvements
>
> In an effort to ensure that the operational model is optimal and further improves, we would like you to answer questions about bottlenecks and challenges in roles and responsibilities and the current type of support available.
>
> **7) What are the core bottlenecks and challenges to effectively fulfilling the roles and responsibilities as a CA?**
>
> What exactly is the bottleneck/challenge?
>
> How common is the bottleneck, are there examples?
>
> What impact does it have?
>
> Probes: Are these at the individual level?
>
> Are any specific to your agency?
>
> Are any about the set-up of the operational model?

> **8) What enabling factors currently exist which support you in fulfilling your roles and responsibilities effectively?**
>
> How common are these factors?
>
> How do they help – what is the mechanism, and the impact?
>
> Are there any that relate to the role of the DCP and the Secretariat?

> **9) What challenges or enabling factors currently exist which affect the functioning of the LEGs?**
>
> How common are these factors?
>
> How do they help or hinder – what is the mechanism, and the impact?
>
> Are there any that relate to the role of the DCP and the Secretariat?

10) How does context play a part here – particularly fragile and conflict affected countries?
11) **What changes would improve the way the partnership model operates to support the government to deliver learning for all?**   <u>Can you explain how you imagine that change working?</u>   <u>What difference do you think the change would make?</u>   <u>If that change happened, what would you do differently?</u> (E.g. if you received more money for being CA, what would you do differently?)   <u>Do you think there would be any challenges to making this change?</u>   Probes: How could key actors be supported more, by the Secretariat or by their own agency? Should roles change in some way?

E.2.5 General Feedback – 5 minutes

<u>Section 4: General feedback</u>
12) **Do you have any other observations about the other actors and roles in the model?**   For example, we've talked about you as the CA, but what about other agencies in the role of CA? Or anything else about GAs, LEGs, or the Secretariat?
13) **Do you have any other comments on the current set up of the country operational model?** Is there anything else you'd like to say for this study?

[Repeat for GAs if relevant]

Thank you for taking part in this telephone interview.

Please could you email me the questionnaires you received from your colleagues? (If there are any I was not copied into)

Annex F   LEG definitions in GPE documents

F.1   Country Level Process Guide (2015b)

"The Local Education Group (LEG), generally comprising of the government and the Development Partners' Group (see below), refers to a forum for education sector dialogue, at the heart of the GPE country level process. The specific composition, title, and working arrangements of the LEG will vary from country to country, but the LEG should generally include (a) the national government (including representatives of decentralised entities of the Ministry of Education as necessary, other line agencies etc.), (b) donors and development agencies, and (c) other education development partners, such as civil society organisations, private education providers, members of the private/corporate sector, and private foundations.

The LEG should be a collaborative forum/platform for policy dialogue and for alignment and harmonisation of technical and financial support to the education sector plan, under the government leadership. It seeks to ensure that all parties are kept fully apprised of the progress and challenges in the sector, and it collates and disseminates information on domestic and external (on-budget as well as off-budget) funding for the education sector. The LEG supports the government in developing, implementing, and monitoring the education sector plan and promotes progress toward better harmonisation and alignment of both financial and technical support. It supports the government's applications for GPE funds."

F.2   GPE Operational Platform (2015a)

"The LEG is a forum for consultation and dialogue around the full education sector policy cycle (analysis, planning, implementation, monitoring, reporting and evaluation) and alignment and harmonisation of development partner support to the education sector. This forum includes government, development partners and civil society. According to the GPE Charter, the specific composition, title, and working arrangements of the LEG will vary from country to country according to local circumstances and need."

F.3   GPE charter (2016b)

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

F.4   GPE 2020 Strategic Plan (2016a)

"As a result, formal stakeholder collaborative forums, known as local education groups (LEGs), exist in most countries."

F.5   Country Level Process Guide (2017a)

"In line with the above, GPE works to promote strong, representative LEGs, as a forum for education sector dialogue, and alignment and harmonisation of technical and financial support to the ESP|TEP, under the government leadership. The specific composition, title, and working arrangements of the LEG will vary from country to country, but the LEG should generally include a) the national government (incl. representatives of decentralised entities of the Ministry of Education and other line agencies as necessary); b) bi- and multi-lateral development agencies, and c) other education development partners, such as CSO's, private education providers, members of the private/corporate sector, and private foundations."

F.6   How GPE works in partner countries (2017b)

"LEGs are at the center of all stages of the education planning cycle, from sector analysis to evaluation. LEGs are led by national governments and supported by education partners, such as bilateral agencies, multilateral organisations, teacher organisations, civil society organisations (CSO) and the private sector and foundations. LEGs aim to foster an inclusive and transparent dialogue on a country's education policies, and support governments in developing, implementing, monitoring and evaluating national education sector plans."

F.7   LEG minimum standards – report from the Strategy and Policy committee -- June 2016 (2016e)

"The Local Education Group (LEG) is the term used by GPE to refer to the group whose mandate it is to engage in policy dialogue and alignment and harmonisation of education sector support to a country owned education sector plan (ESP). Generally led by the government, the specific composition, title and working arrangements of the LEG will vary according to context. GPE recognises that decisions are made by individual actors and not by the LEG (specifically, government is the sovereign decision-maker in sector policy; donors make decisions on financial support to the sector; etc.). In line with the Strategic Objective, the LEG is not intended to be a separate group established for GPE purposes."

Annex G   Key actors' changes over time

Summary of key documents and changes for the country-level operational model

Document	Key findings or recommendations
Local Education Groups	
Evans Review, 2012	• Many LEGs are weak, lack diversity of membership. • There should be more CSO members. • Secretariat should be clear about expected performance and give support.
Evaluation of Norwegian Multilateral Support, 2015	• There is an ambiguous accountability relationship between the LEG, Board and Secretariat. • The Board has no real leverage over the LEG, and the Secretariat cannot easily strengthen a LEG.
Interim Evaluation, 2015	• Recognise improved activity and diversification of LEGs • LEGs are stronger in the planning phase than implementation and monitoring. • There is still a challenge with inclusion of civil society and the private sector. • **Secretariat management response:** Recommend defining roles, responsibilities and minimum standards for LEGs.
More Effective Operational Platform, 2015	• Too much rigidity in any standards for LEGs would undermine government ownership and national capacity. • Recommend LEG minimum standards are developed, and monitor LEG performance in the Results Framework.
Board, June 2016	• Draft LEG minimum standards had been developed and were discussed. • Mixed response – it was felt to be unclear if these would provide support and guidance and the extent of the enforcement expected which could cause distortions in local contexts.
SIC, May 2017	• SIC requests the Secretariat to develop an evidence-based approach for strengthening guidance for LEGs.
Grant Agents	
Evans Review, 2012	• The World Bank has too much of a hegemony over supervising entities. Other donors need to take on the SE role – through accreditation, and stepping up. • New aid modalities should be piloted in line with ESPs
Evaluation of Norwegian Multilateral Support, 2015	• Recognise that some partners want to open up the SE/ME role to get more competition, but a certification process needs to be in place given the fiduciary risk.
Interim Evaluation, 2015	• There is still a heavy reliance on the World Bank, although there are now 11 SEs/MEs.

	• SEs/MEs are not accountable enough to DCPs and the LEG
	• Could national actors take on the GA role?
	• **Secretariat management response:** Secretariat to look at clear selection criteria for the SE/ME.
More Effective Operational Platform, 2015	• Introduces the 'grant agent' terminology.
	• Recommendations include:
	• Transparent, consistent cost recovery for GAs
	• Minimum standards for GAs
	• Define situations where GA is not required
	• Introduce reporting standards and timelines.
	• Criteria for GA selection
	• Throughout: note that too much rigidity undermines government ownership and risks distortion.
Governance, Ethics, Risk and Finance Committee, 2016	• Consideration of Direct Access: paper looking at implications if the Board wants to consider direct funding for ESPDGs or small ESPIGs. The paper suggests using Direct Access where the grant is small, there is strong PFM, there is already a pooled fund.
Coordinating Agencies	
Interim Evaluation, 2015	• The CA provides valuable support, particularly up to grant approval.
	• The role, held by DPs, may stifle LEGs and local participation.
	• Could national actors take the role of CA?
Secretariat	
Evans Review, 2012	• There should be more Secretariat presence in-country to distinguish GPE from the World Bank.
	• Suggest setting up an independent technical advisory group for quality assurance of ESPs and grant applications.
Evaluation of Norwegian Multilateral Support, 2015	• GPE is 'missing on the ground'. Ratios for countries per country lead is too high, especially for fragile and conflict affected states.
	• QA needs to be improved but whilst keeping government ownership. Recognise the major organisational review of the Secretariat in 2014 and introduction of the QA unit in 2015.
Interim Evaluation, 2015	• Need more clarity on the Secretariat's roles at country level, and the resources for it.
	• The Secretariat's contributions (guidelines, support and visits) are valued.
	• **Secretariat management response:** Secretariat is focusing on strengthening support to countries, improving grant management, QA, monitoring and technical advisory capability.
	• Still to consider: minimum standards, QA framework, conflict resolution mechanisms and M&E.
More Effective Operational Platform, 2015	• Recommendations:
	• Set up an independent technical appraisal of ESPs.
	• Methodology and minimum standards for grant QA.
	• Conflict resolution mechanism.

Context	
Evans Review, 2012	• GPE needs to become more flexible to respond to context, particularly fragile and conflict affected situations.
Evaluation of Norwegian Multilateral Support, 2015	• Secretariat support should be higher in fragile and conflict affected states.
Interim Evaluation, 2015	• More technical assistance is needed for implementation and monitoring in fragile and conflict affected states.
More Effective Operational Platform, 2015	• Recommendation: • Develop an Operational Risk framework
Board, June 2016	• The Operational Risk framework looks at country and sector grants, with a differentiated risk-based approach for QA and monitoring. • FCAS/emergency situations can to Transitional Sector Plans, and use accelerated funding to access 20% of the grant on the basis of the emergency plan (this has been since 2010).

Annex H   Overview: GPE evolution 2014-2018

Report by the GPE Secretariat

30 April 2018

Overview: GPE evolution 2014-2018

*The following tracks some of the key elements that have shaped the Partnership over the past four years into what it is today. It seeks to respond to a request from a Board discussion in December 2017 to provide an 'historical' overview of how the Partnership has evolved as background information and part of the report on the **Efficient and Effective Partnership study**, undertaken by the Oxford Policy Management.*

Introduction

The Global Partnership for Education (GPE) has evolved significantly over the past four years, as it embarked on a set of key reforms to its business model and operational model, the Secretariat, and its governance structures. These reforms paved the way to the **GPE 2020 Strategic Plan**, which covers 2016 to 2020, and outlines three goals[5] and five objectives[6] positioning GPE to support the achievement of SDG4. The strategy is supported by a financing and funding framework (FFF) and significant resources have now been pledged to implement the strategy.

The figure below illustrates chronologically some of the key elements and decisions that have marked the *'GPE evolution'*, and which are traced and explained in more detail in the following sections. It also captures overall evolution in DCPs, support to ESPs including ESPDG and ESPIG disbursements.

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[5] (1) Improved and more equitable learning outcomes, (2) Increased equity, gender equality and inclusion, (3) Effective and efficient education systems
[6] (1) Strengthen education sector planning and policy implementation, (2) Support mutual accountability through inclusive policy dialogue and monitoring, (3) Ensure efficient and effective delivery of GPE support, (4) Mobilize more and better financing, and (5) Build a stronger partnership
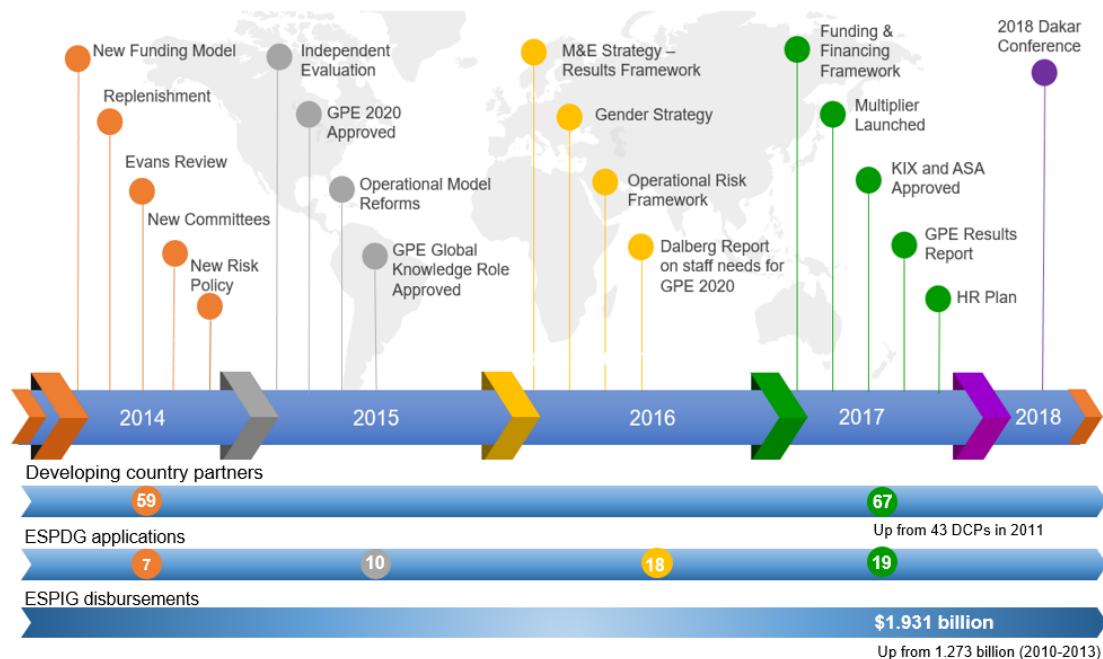
2014 – Key Changes

The "**New Funding Model**" is designed and approved in advance of the second replenishment in June 2014. It provides a more robust model and improved upon the first model specifically regarding quality of education sector plans, data, and domestic financing. The new funding model also introduces a results-based variable part that focuses on equity, efficiency, and learning linked to the sector plan.

Related and other milestones during this period include:

- **Second Replenishment** – A total of $2.2 billion is pledged for a period of 4 years (2015-2018) but revised down to $1.8 billion after impact of donor conditions and foreign exchange losses factored in. $1.3 billion of this amount was paid over 3 years (2015-2017) with the balance counted as part of Third Replenishment (2018-2020) – a total of $2.3 billion.
- **Evans Review** – This organizational review concludes that the Secretariat lacked critically needed staff resources to perform financial and grant management, provide sufficient support to a growing number of developing country partners, including leveraging technical capacity on their behalf, and to undertake appropriate quality assurance and monitoring. Board approved 14 additional positions in response to increasing headcount to approximately 80 staff.
- **Eligibility expansion plan** – International NGOs become eligible to act as Grant Agents, helping to diversify the portfolio (but requiring additional accreditation processes, standards, and more Secretariat monitoring).
- **New governance structure** - The Financial Advisory Committee is replaced by several committees: i) Country Grants and Performance, ii) Governance and Ethics iii) Risk and Finance, iv) Strategy and Policy, and a v) Coordinating Committee. Workload significantly increases as the committees fulfill their respective mandates.
- **Risk Policy** is introduced to identify, assess, and agree on mitigation actions.

2015 – Key Changes

The Board agrees to the development of an ambitious strategic plan, with the condition that **operational model reforms** be undertaken in response to the Evans review (see 2014) and the **Interim Independent Evaluation,** completed by Universalia and Results for Development (2015).

The Board establishes a Reference Group to identify solutions to i) lack of quality standards for GPE-financed programs, and ESPs ii) unclear process and criteria for SE/ME entities; iii) ambiguities around roles and responsibilities in monitoring and reporting; iv) ambiguities around the composition, and roles and responsibilities of the LEGs; v) inability to capture knowledge from GPE investments at country-level for the benefit of developing country partners (DCPs) and the broader Partnership.

This leads to the following key changes and actions:

- Adoption of quality standards for GPE financed programs;
- Collaboration with IIEP to clarify standards for ESPs (and later for TEPs) and to launch consultant training program for appraisals;
- Adoption of standard process for GA selection and minimum standards for all GAs;
- Adoption of minimum reporting standards to permit aggregated data on key grant areas across grants
- Board and committee discussion and consultation around LEGs
- Agreement on work to develop GPE knowledge sharing function (see below; related milestones)

Having adopted recommendations for the above operational model reforms (to be completed by June 2016), the Board approves the **GPE 2020 Strategic Plan**.

Related and other milestones during this period include:

- The Board endorses **GPE's global and cross-national role** as convener, advocate, broker, and funder of knowledge and best practice in areas critical to the achievement of the Strategic Goals. This leads to several knowledge and good practice exchange initiatives being established, and later to the development of the Knowledge and Innovation Exchange (KIX) as part of the FFF (see 2017).
- The Board agrees to establish a working group **on strategic financing (SFWG)** to prepare for the next replenishment campaign.

2016 – Key Changes

The Board approves the **Results Framework** and the **Monitoring and Evaluation Strategy** for GPE2020. The results framework consists of 37 indicators aligned to results statements along GPE's theory of change (ToC), 12 of which are identified as 'core indicators'. The M&E strategy aims to understand the extent to which the Partnership is achieving the objectives and to make decisions based on data.

During this period, the Dalberg is brought in to review progress on 2014 Evans organization review and confirms that **reforms of the operational model are substantially complete** with significant progress made in re-structuring the organization, emphasizing and strengthening its core functions.

Dalberg also assesses **GPE staffing needs** in light of GPE 2020, and sets three imperatives:

1. Strengthen the Secretariat's capacity to support country-level processes and cultivate country-level political support as the core engines through which results are delivered
2. Strengthen the Secretariat's capacity to support the Partnership's convening power, thought leadership, and advocacy as called for in GPE 2020, especially towards international and domestic resource mobilization
3. Additional investments in the core operating capacity of the Secretariat itself both to realize these strategic imperatives, but also to address core risks in the Partnership's operations.

Board approves **19 additional positions** to address the most urgent capacity gaps and reinforce core functions required to successfully support implementation of GPE 2020. Headcounts moves from 78 approved at end of 2014 to 108 at end of 2016 (4 positions being temporary posts to support replenishment surge).

The Board also requests the Secretariat with support of an external firm to complete additional analysis to identify any **remaining capacity gaps and needs of the Secretariat** to successfully support implementation of GPE 2020 and to develop a comprehensive human resources plan (see 2017, HR).

Related and other milestones during this period include:

- The Board endorses SFWG approach to design **a broader mix of funding mechanisms** (see FFF below) in view of a more differentiated approach to GPE funding to achieve the goals of GPE 2020, while also providing opportunities to mobilize additional financing from a wider range of sources.
- **Operational Risk Framework** is approved - a management tool to ensure that Secretariat resources are aligned to mitigate key risks.

- **Gender Equality Strategy** is approved. The strategy aims to (i) increase gender equality in access, participation, and learning achievement for all girls and boys; (ii) improve gender equality in education systems; (iii) strengthen gender equality in education sector legal frameworks, policy and planning processes; and (iv) ensure robust execution of commitment to gender equality across the Partnership.
- **Conflict resolution procedures** is approved - for situations where partnerships may break down.

2017 – Key Changes

The SFWG completes its work of developing a proposal on eligibility for and allocation of GPE resources for the relevant components of the **financing and funding framework (FFF)** which is approved by the Board. The FFF provides GPE with an enhanced suite of capabilities to strengthen its role as a driver of systems transformation and a platform for broad-based collaboration in education – at both the country and global levels.

The FFF:
- recognizes that the ambition captured in GPE 2020 and the scale of the education challenge signal the need for significantly increased resources and more catalytic interventions to deliver results beyond what GPE and its partners can currently achieve;
- aims to better leverage GPE's role and relationships – both globally and in country – to crowd in knowledge and financing from a wider range of actors;
- seeks to stimulate stronger global and local advocacy in support of countries' ambitious efforts to realize learning outcomes for children; and
- sees GPE's role extend well beyond direct provision of technical assistance and financing.
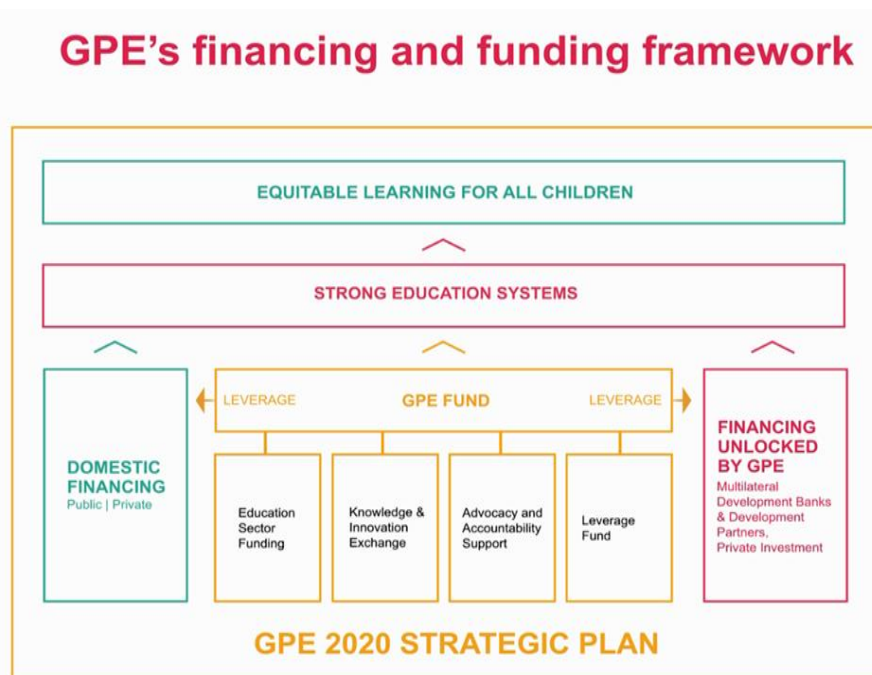
Related and other milestones during this period include:

- **GPE Multiplier** is launched and first group of countries receive indicative allocations. The following are eligible: (i) countries eligible for education sector program implementation grants (ESPIG) that are subject to the cap of US$100 million; (ii) ESPIG-eligible countries that have an allocation of less than US$10 million or are classified as vulnerable lower middle-income countries, and (iii) non-ESPIG eligible countries that are approved as eligible for other forms of GPE funding, such as education sector program development grants.
- The Board approves the design of **Knowledge and Innovation Exchange (KIX)** and the **Advocacy and Social Accountability (ASA)**.
  - KIX sets out to meet partners' needs for better knowledge, evidence and capacity for selecting policy solutions and interventions which are critical to achieving GPE 2020. It will therefore invest in global and regional efforts that can advance relevant knowledge and innovation and translate them into strengthened education systems in partner developing countries.
  - ASA aims to enhance civil society capacity to further GPE 2020 goals in learning, equity, and stronger systems, by improving civil society participation, advocacy and efforts to ensure transparency and increased effectiveness in national educational policy and implementation.
- GPE delivers its first **Results Report**, which highlights the progress made in the first year of the GPE 2020. Overall, the Partnership fully or partly achieved milestones in 16 out of a total of 19 indicators for which 2016 intermediate targets were set.
- Secretariat produces its **HR Plan** for 2018-2020 to give Board visibility on potential resource needs to achieve the goals and objectives of the strategic plan. The HR plan outlines the potential for a significant increase in resources over a three-year period and was presented to the Board in December.
- Third Replenishment Campaign commences.

2018 – Key Changes

The Third Replenishment took place on February 1-2, 2018, in Dakar, Senegal, co-hosted by Macky Sall, President of Senegal, and Emmanuel Macron, President of France. The GPE replenishment campaign for 2018-2020 was an opportunity to raise the funds needed to implement GPE 2020 and to increase global education financing to ensure that the objectives of SDG 4 can be met.

The objectives of the GPE replenishment were to:
- increase domestic resources for education in developing countries to reach 20% of the budget;
- increase external resources to enable GPE to better support developing country partners;
- diversify donor contributions to GPE by attracting new sovereign donors, increasing contribution from existing ones and attracting new private sector and private foundations donors.

And had the following results:
- donors pledged US$2.3 billion for the GPE fund;
- DCPs pledged US$110 billion in domestic education spending for 2018-2020;

- over two-thirds of the 53 governments who pledged at the conference will have reached the goal of increasing their share of education spending to 20% of their overall budget by 2020.

Other milestones for this period will result from work currently underway, including

- **2nd Results Report** – the second results report will be published to capture for 2017-2018 achievements against expected targets.
- **Country evaluations within GPE Portfolio** – 12 summative country evaluations are being carried out (followed by an additional 10 in 2019)
- **Effective and Efficient Partnership study** –examining key actors' roles in GPE's country-level operational model towards GPE2020 delivery.
- **Review of GPE risk policies and practices** - assessing GPE's overall risk management framework in the context of its unique institutional set up and governance as a partnership.
- **HR plan –** further discussion and decision on Secretariat staffing based on HR plan presented in 2017 and additional elements
- **Institutional Arrangements** under examination, impacted by Bank Trust Fund Reform Process and changing GPE needs. Key information on GPE trajectory to be provided in June, Board retreat in November to shape direction, decisions in December.

Annex I   Overview of relevant work streams

Report by the GPE Secretariat

Overview of work streams relevant to the Efficient & Effective Partnership study

The following provides snapshot summaries of a range of ongoing work streams compiled for Oxford Policy Management for the Efficient and Effective Partnership study. The workstreams are relevant to the study as they address specific aspects of the operational model. They are also important for acknowledging work already ongoing and for OPM to assess the extent to which the study report and its recommendations can feed into ongoing workstreams. The last workstream on country-level evaluations is included as a possible source of information, in case further investigation is needed in a phase 2 of the study.

In terms of sources, the information below draws directly from documents produced within these workstreams, typically committee papers, PowerPoints, project charters, reports, or ToRs as indicated for each one of them.

Work streams	Oversight
LEG effectiveness	**SIC**
➡ *Developing guidance products in support of enhancing LEG effectiveness*	

What it involves:

The Secretariat was asked in May 2017 to adopt an *analytical approach* to understanding the basis for success and challenges facing LEGs and how to engage with countries in enhancing the effectiveness of their LEGs and the kinds of guidance they may need. This approach would consist of building of an evidence base through information gathering on practices from countries.

The Secretariat conducted research in 2017 (desk-based review and survey - see below: Current status) to build an objective understanding of LEG and its constructs; and intends now to develop a set of guidance products identified as suitable and practical for use by country partners. The objective is to help countries determine what aspects, functions or characteristics would benefit from being strengthened in their respective LEGs. The guidance will provide an analytical framework, an array of organizational options to support the effectiveness of the LEGs, practices and tools for partner countries and LEG stakeholders to utilize when seeking improvement upon different effectiveness principles.

The products to be developed are:
1. *Effectiveness principles* – outlining the elements of a well-functioning LEG, and offering anchors for dialogue between LEG stakeholders towards identifying strengths and areas for improvement. These 'principles' would do not imply 'minimum standards,' but rather focus on common elements that appear to cut across effective and inclusive LEGs based on the evidence gathered.

2. *Operational guidance* - detailing an array of practical options, solutions and promising practices to support LEG stakeholders (depending on the country context and needs) including: improved framing and communication around the LEG mandate and specific

roles and responsibilities; options for governance and organization and; capacity reinforcement strategies.

3. *Practical tools* - including case studies an examples of LEG arrangements in different contexts; generic terms of reference adaptable to country context; self-assessment tool to stimulate conversations around the LEG's mandate, organization, roles and responsibilities, and to monitor their effectiveness. The guidance will also provide case studies on how to support the inclusion of civil society and teacher organizations in line with the GPE strategic objectives of mutual accountability. The tools will be developed in tandem with the first two dimensions of the guidance.

Current status:

The Secretariat carried out the following in 2017 as part of the analytical approach:

i) *A desk-based review* of a wide range of documents related to LEGs to unpack the elements upon which effective LEGs are built, including a better understanding of the strategic, operational and capacity issues driving or hindering LEG effectiveness. It also considered to some extent issues related to political economy within which LEGs operate.

ii) *stakeholder survey* on LEGs functions, practices and needs for guidance as support to improving LEG effectiveness[7].

A peer review group is now being established to support the Secretariat in the development of the guidance (see below - Partners); and preparatory work for developing the effectiveness principles has been launched. Building from the desk-based review, the latter includes exploring practices related to accountability, coordination and multi-stakeholder partnerships, including practices in other sectors. This will provide elements for a well-founded analytical framework for the guidance.

While developing the products, the Secretariat team will leverage additional, critical evidence and findings that will become available from other ongoing analytical work, specifically from:

i) *Effective and efficient partnerships study*, examining the roles and responsibilities of key actors in the operational model, including LEGs as a multi-partner body, and is currently being conducted;

ii) *Country-based evaluations*, which assesses the relevance, efficiency and effectiveness of GPE's theory of change and country-level operational model and are currently being conducted by an external firm as part of the GPE evaluation portfolio (for details see workstream below).

Next steps – timeline:

- *Effectiveness principles* will be finalized by October 2018

- *Operational guidance and tools* will be developed and finalized after the completion of the effectiveness principles. However, preliminary work for the practical guidance will begin earlier to extract examples and practices from the evidence and develop contents.

By the end of fiscal year 2019, the goal is to have finalized the planned suite of products available.

Partners:

The technical peer review group will be established to and will consist of DCPs, bi-and multi-lateral organizations, INGOs and CSOs.

Source: SIC paper on LEG workstream, March 2018 and draft ToR for peer review group

Alignment	GPC
➡ Implementing a roadmap to support greater alignment of aid/GPE grants with national systems	

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[7] Ref: *LEG survey – Summary of findings*

What it involves:

The Board recognizes the importance of ensuring alignment of development aid with national systems for the effective and efficient implementation of education sector plans with due attention to strengthening these systems where needed. However, *only a third* of ESPIGs (see below) are significantly aligned, while it is the strategic plan objective to increase this *to half.*

Research on alignment found that 28% of active ESPIGs are aligned with national systems and 12% of active ESPIGs are aligned and sector pooled. It also found that the average annual absorption of ESPIGs is 6.9 million USD, while the average annual absorption of aligned and sector pooled ESPIGs was 17 million USD

In June 2017, the Board requested the Secretariat to work with the GPC to develop a work plan that identifies actions that will be taken to enhance the alignment of GPE grants. - *'Alignment'* understood as using partner country <u>institutions</u>, <u>human resources</u>, <u>procedures</u> and <u>tools</u> as the *mainstays* for the implementation of aid. The work plan, presented to the GPC in October, consists of the following:

Action 1: Clarify and gradually institutionalize GPE's conceptual approach to aid alignment
- Gradually update and streamline technical guidelines to better reflect alignment policy
- Updated GPE policy on alignment for post-2020 Strategic Plan

Action 2: Strengthen country support operations to foster change at country level
- Alignment task force set up to strengthen country engagement, focused on opportunity countries
- Improved knowledge and capacity of Secretariat staff to engage

Action 3: Promote good practices and knowledge in GPE countries and across the Partnership
- Generate, mobilize and disseminate knowledge across the partnership including Secretariat led secondary analysis on RF indicators
- Capitalize on country practices on aid alignment and pooled funding

Action 4: Engage with grant agents on aid alignment
- Engage with existing and potential GAs at HQ levels, to leverage stronger support for more aligned (and pooled) grants

Current status:
- Action 1: In progress - Efforts to better reflect GPE messaging on this approach
- Action 2: In progress - PFM training being developed, User guide on alignment. and further support
- Action 3: In progress - Capitalization of experiences with aligned and harmonized funding emchanisms being conducted in in lower capacity countries
- Action 4: Not commenced - Structured discussions to begin in FY19 with key Grant Agents

Next steps – timeline:

2-year roadmap:
- Action 1 – Internal review/update of guidelines to be carried out in current 2017/2018 & 2018/2019 FY
- Action 2 – Task force set up in June 2017 to support 2018-2020 pipeline applications and QAR
- Action 3 – Thematic and grant capitalization focused on alignment, starting in 2017/2018 FY
- Action 4 – Structured dialogue with GA/HQ planned for 2018

Partners:

GPE donors and DCPs (TBD)

Source: GPC paper/presentation on alignment, April 2017

Variable part	GPC

➡ Implementing a roadmap to leverage the potential impact of the variable part at country level

What it involves:

A road map for leveraging the potential impact of the Variable Part at country level was developed in October 2017, to address operational, technical and political issues and challenges that had been identified in investigations conducted by the Secretariat in 2016/2017. Examining practices in results-based financing and the experience with the Variable Part, the Secretariat had reviewed grey and academic literature on RBF, relevant ESPIG documents, and consulted DCP focal points and own staff. Building on these initial findings, the resulting roadmap consists of the following six actions:

Action 1: Clarifying and positioning GPE approach to RBF through the Variable Part.
Further investigate and document VP experience. Better positioning of GPE's approach to RBF against other RBF programs, interventions, and institutional approaches.

- Working paper analyzing GPE experience with RBF in FY18.
- Advocacy and externally focused communication products, highlighting the specificity of the GPE funding model.

Action 2: Mobilizing and consolidating knowledge around RBF
Experience of RBF in education remains relatively new: building RBF evidence base by consolidating existing evidence and mobilizing experiences from countries and partners.

- Repository of knowledge products on RBF.
- VP data sharing with other partners.
- Hosting or contributing to knowledge and learning events around RBF and the VP.
- Engaging with health sector to exchange lessons learned.

Action 3: Monitoring the design features and actual implementation
Document key features of the VP per country. Monitor performance of countries in implementing the VP.

- Monitoring database and processes for collecting information on the VP design and implementation.
- Further monitoring of RBF interventions embedded into ESPIGs.
- Strengthened methodology for Indictor 24.

Action 4: Developing a knowledge exchange and learning mechanism
Develop peer learning mechanisms to ensure that countries applying for the VP can learn from those who have successfully applied.

- Secretariat support to community of practices, bringing countries together, providing technical tools, and framing technical discussions.

Action 5: Clarifying VP processes and building stronger planning capacities
Develop operational guidance for supporting DCPs justification of selected strategies and their corresponding indicators. Building stronger planning capacities at country level.

- Publication of operational guidance for countries on the VP.
- Upstream support to DCPs in sector planning based on solid theories of change
- Broader reflection on methods to strengthen the theory of change in ESPs.

Action 6: *Enhancing QA processes for the VP*
Ensure feedback on VP is consistently and robustly integrated into upstream processes.

- Improved QA tools and processes (ESA, ESP, QAR I, QAR II and justification template).
- Review and revision of QAR II processes and templates.
- Internal guidance and training on VP design

Current status:

Action 1: In progress - working paper to be published in July, subsequent communication products to be developed in FY19

Action 2: In progress - knowledge products being developed, knowledge events organized

Action 3: In progress - database designed. Need to be updated and disseminated

Action 4: In progress - peer learning exchange mechanism to be launched in May 2018

Action 5: In progress - draft guidance document presented to GPC and DCP representatives.

Action 6: In progress - QAR 2 process integrating VP criteria being piloted

Next steps – timeline:

To be determined. Action 1, 2, 3, and 4 will constitute recurrent activities to be further implemented and amplified in FY19 and FY20. An effort to build stronger planning capacities will need further thinking, and be integrated into the work of KIX and ASA.

Partners:

REACH, and Grant Agents

Source: GPC paper/presentation on results-based financing and variable part, April 2017

Quality assurance piloting	**GPC**

➡ Designing a streamlined and differentiated quality assurance system for ESPIGs

What it involves:

Over the past years GPE has developed a more robust QAR system – which has benefitted countries and strengthened the quality of ESPIG grant applications (Portfolio Review 2017). However, the current system has high transaction costs, duplicates the QA systems of GPE Grant Agents to different degrees, has a 'one size fits all' approach, and acts as a disincentive for co-financing (GPC paper, Jan 2018). Efficiency gains are possible, and given the 2019-2020 grant pipeline, needed. In June 2017, GPC requested the Secretariat explore a differentiated approach to ESPIG quality assurance.

Over the next three years, the GPE is anticipating a steep increase in the number of ESPIG applications and, at the same time, has an objective of better leveraging the results-based financing feature of the funding model and increasing the number of co-financed ESPIGs.

This workstream, which is divided into three inter-linked parts, supports the development of a more efficient QA function by:

- Fit for purpose pilots – by GAs: developing differentiated QA processes by Grant Agent with the potential to rely more on the QA systems of grant agents;
- Secretariat processes: reviewing and revising existing QA tools and processes to better utilize staff time and minimize transaction costs within the Secretariat and the broader partnership;
- QA and size of MCAs: differentiating QA approaches and approval processes by grant size.

Current status and timelines:

1. <u>Fit for purpose pilots: Differentiate QA by grant agent (ongoing):</u>

- *Assessment of Grant Agent QA systems for program design:* This exercise is completed for the WB and almost completed for UNICEF. The assessments will inform the development of tailored QA processes that are complementary and that reduce overlap with GAs own QA systems.

- *Design and implement 'fit for purpose' QA pilots:* The Secretariat will work with the World Bank (Benin, Ghana, Maldives, Uzbekistan) and UNICEF (South Sudan) to co-construct a pilot QA process for each country. Pilot development is informed by country risk/FCAC status, MCA value, co-financing / multiplier, and GA QA system.

- *Report preliminary findings to GPC:* Assessment and pilot activities will be reported to GPC in April and June 2018. Report back will be informed by Secretariat internal consultation and consultation with GA pilot partners.

- *Evaluation of pilots: Metrics for evaluating 'fit for purpose' pilots* are still being developed, however, metrics which measure the following will be considered: Does this 'fit for purpose' QA function ensure the delivery the same quality of the ESPIG applications evaluated at QAR III? What is learned from the pilots in terms of roles and responsibilities in the partnership, transaction costs on all sides, ESPIG preparation time, and Secretariat staff time?

2. <u>Streamline and refine QA system (processes, tools, roles) internal to the Secretariat (ongoing):</u>

- Review of Secretariat QA processes and tools related to the quality assurance of ESPIG applications (inclusive of ESP Initial Comments, Review of Funding Model Requirements, QAR 1, QAR 2 and QAR 3). This activity is inclusive of QA templates, internal roles and responsibilities across teams, management responsibilities and clearances (Review Meetings), and country and GPC-facing products, e.g., QAR II Report, GPC two-pager. (July)

- Development of Standard Operating Procedures for QA processes with relevant annexes, e.g., timelines, peer review roles. (July)

- Orientation and training of staff on revised process and roles and responsibilities. (September). Considering developing training on QA system for key external partners (Q2 FY 2019)

3. <u>Differentiated QA approach for small MCAs and delegated approvals (as of July):</u> This involves…

- Development of proposal for a differentiated approach to the 26 MCAs approved in Feb. – by March

- Internal orientation of CST and QA staff on the proposed approach for the MCAs and establishment of working group for the development of indicative work plan for smaller MCAs that will not follow the standard approach (between March 20 and GPC/FRC meetings)

- Development of policy for smaller MCAs and extension to new MCAs (after June)

- Finalization of work plan for smaller MCAs, including communication on adjusted requirements to relevant countries

Partners:
WB and UNICEF, and DCPs

Source: GPC paper/presentation on QA approach, April 2017, and QA project charter.

Fragile and conflict-affected states	GPC

➤ Reviewing operational framework incl. funding in regional crisis situations and cross border support

What it involves:
Currently 28 of GPE's 65 developing country partners are classified as countries affected by fragility and conflict. In terms of disbursements, over half of GPE funding through the

Education Sector Program Implementation Grant (ESPIG) goes to countries affected by fragility and conflict.

GPE's *Operational Framework for Effective Support in Fragile and Conflict-affected States,* adopted in 2013, offers1) the possibility of 'accelerated support', which allows countries with an existing GPE maximum country allocation that has not yet been applied for to draw down up to 20 percent of this allocation to meet immediate needs when a crisis strikes; and 2) an accelerated process to shift funds from an approved grant to cover emergency needs.

While the above provides some flexibility in terms of response and use of funds, and while the GPC and the Board has sought to accommodate and adjust to FCAS needs in general, the overall requirements of the 2014 GPE funding model are difficult to meet for many countries facing fragility, and there is thus a need to provide a clearer framework for such adjustments.

In 2017, the Board requested the Secretariat to also develop a proposal for providing support in situations of *regional crisis including for cross-border support.*

In light of the above, and to best support the needs of DCPs and be able to operate more efficiently in complex and challenging situations in countries exposed to conflict and fragility, GPE will review and update the 2013 FCAS Operational Framework.

This will include:
  i. Adjustments to the *Operational Framework for Effective Support in FCAS*
  ii. Guidance on adjustments to the funding model; and
  iii. Funding in regional crisis situations and cross border support.

The above will take into account relevant findings from on-going review of the GPE operational model under the Efficient and Effective Partnership Review.

Current status:

The Secretariat is currently recruiting a consultant to support the development of a proposal with options in the above three areas. The consultancy involves the following:

1. Review of the Operational Framework for Effective Support to FCAS, the funding model framework and current policies and practices on support to FCAS as well as its grant policies and guidelines (ESPDG, PDG, ESPIG)

2. Consultations with key GPE Secretariat staff to gather knowledge on how the current policies are defined and applied, in particular on:
   • challenges of the current policies in supporting FCAS and emergency situations and refugee responses in more stable countries,
   • quality standards used for assessing the robustness of the ESPIG proposals coming from fragile countries (fixed and variable part) and the challenges related to their applications,

3. Review of written information on external partners, operating and supporting education within the same focus area – fragility, conflict and crisis, on their mandate and modalities for support.

4. Consultations with key partners (see below: Partners) to ensure proposed GPE's mechanisms as defined in a revised draft Operational Framework are not overlapping with the mandates and funding mechanisms of other partners. This will also involve a focus group with the objective of brainstorming options for updating the operational framework, incl. specific attention to establishing an approach to regional funding.

5. Based on the above, development of options for how Operational Framework could be broadened and improved to be a better fit for purpose based on a review of GPE policies and operational guidelines and the consultations undertaken.

6. Elaboration of a new / or revised Operational Framework for Effective Support in FCAS for Board consideration.

Next steps – timeline:

The above will fall in two phases:

- Preparatory work and internal and external consultations: May till June 2018
- Development of a revised operational framework for FCAS: June - September 2018

Partners:

INEE, Education Cannot Wait, UNHCR, and the Global Education Cluster; and other key partners such as WB and UNICEF…

Source: ToR for Revision of GPE Operational Framework for FCAS, April 2018

Operational Risk Framework	**FRC**

➡ Reviewing GPE risk policies and practices

What it involves:

The Secretariat hired Oliver Wyman Ltd to review its *risk policies and practices*, with a view to identifying gaps and areas for improvement.

To conduct the risk review, Oliver Wyman Ld. developed a review framework to define the scope and the dimension of the assessment and ensure alignment with GPE risk management goals and objectives within the broader GPE Strategy. The consultant reviewed GPE policies and reporting documents and interviewed key Secretariat staff. Panel interviews were offered to the members of the FRC, GPC, SIC, and GEC. Representatives of the WB and UNICEF as key grant agents were also consulted. The consultant also benchmarked current GPE risk policies and practices against policies and practices of three comparable organizations, with a view to synthetizing market practices, highlighting standard best practices and specific practices of interest for GPE.

The assessment of the GPE's overall risk management framework was reviewed in the context of its unique institutional set up and governance as a partnership which creates a complex environment for risk management compared to traditional organizations. The complexity of the partnership with actors playing various roles in either directly managing risk, and often in oversight roles creates challenges that extend to operational issues, governance, and overall risk management.

Key findings and recommendations: The review surfaced six key findings:

1. *Risk appetite statement:* There is no systematic risk appetite statement in place (i.e. by risk category or risk-by-risk) nor a structured and documented process for periodical review of risk appetite involving the Board.
2. *Risk governance:* There is confusion and overlap around the appropriate allocation of risk management accountability within the three *Lines of Defense* framework.
3. Incorporating risk into business decisions and strategic planning: The link between the risk management framework and business decisions (e.g. strategic planning, grant allocation) could be strengthened.
4. *Risk taxonomy:* The corporate risk taxonomy is currently too granular and could be simplified to improve efficiency of other risk processes. There is currently no clear process over adding to or removing risk from the corporate risk matrix. The operational risk framework (ORF) assesses 6 risks (as a subset of the Risk Matrix). The ORF template is not user-friendly as it is difficult to fill out and often results in similar outputs each year.
5. Monitoring and reporting: There is currently no systematic identification and monitoring of Key Risk Indicators (KRIs) and Key Control Indicators (KCIs) that are compiled into reporting. Monitoring and reporting lack both customization for different audience and use of risk metrics.
6. *Framework and policy documents:* The documents could benefit from greater clarity and simplicity, clear separation between reporting and framework/policy documents. Currently, policy documents are mixed into Board and Committee reports while a clear differentiation would ensure ease of use.

While there is certainly room for improvement, the GPE Secretariat's current approach to risk management is not significantly out of line with the three comparators, and the gaps, challenges faced are very similar across such organizations. The identification of gaps and subsequent recommendations in this report are therefore intended to provide a path forward should GPE decide it wishes to significantly improve risk management.

Current status:

The review was completed in February-March 2018. The findings must be analyzed considering other ongoing reviews such as the effective/efficient partnership review, the ongoing work on institutional arrangements, the latest results report, all of which may impact GPE's future needs and direction and thus help to inform the types of recommendations on risk management that the Board may wish to adopt and the level of investment required.

Next steps – timeline:

The report proposes and evaluates solutions for addressing the gaps, based on cost-implementation difficulty and downside risk, as well as a roadmap for implementation over the next 18 months.

A key decision the Board will need to make is whether Enterprise Risk Management should be more *centralized or decentralized*. While the decentralized offers less control over risk management and relies more on third parties/audit for independent verification, the centralized approach offers the opposite, which is more hands-on control over risk management with less reliance on third parties. The Secretariat is somewhere in the middle, with aspects of both approaches being implemented.

The consultants recommend moving to a more centralized approach. However, this will require greater investment and should be considered by the Committees and the Board in the context of GPE's future direction and ambition. How and how effectively the six key findings highlighted above can be addressed will depend on GPE's future institutional structure and governance, and the degree to which GPE wants to invest in the risk management function.

Secretariat Management Team Assessment: The Secretariat proposes that the report be used as an initial basis for discussion by the FRC and Board in June, along with providing a mandate for the Secretariat to start to address the low hanging fruit recommendations in the report. The decisions on the type of investments and overall enterprise risk management framework that GPE develop we would recommend deferring until the November Board retreat, and December Board meeting.

Source: Executive Summary, review of GPE risk policies and practices by Oliver Wyman Ltd, April 2018.

Direct access	(TBD)

➡ Considering options for channeling funds directly to governments in certain risk low contexts

What it involves:

Current eligibility to receive funding directly from the GPE Fund is limited to Grant Agents that are either Multilaterals, Bilaterals, or International NGOs that have completed a satisfactory accreditation process. These organizations can then disburse funds directly to national entities and other non-traditional entities.

GPE's current funding model which is operated in accordance with the World Bank's FIF policies and procedures works well in terms of mitigating fiduciary risks, as it requires that transfers be made to accredited Grant Agents that have in place acceptable fiduciary and management policies, procedures and capacity to ensure the use of GPE funds for their intended purposes. Therefore, GPE cannot disburse funds directly to government ministries or to national NGOs.

If GPE was to move in this direction, then it is unlikely that this modality would replace the Grant Agent model given desire to promote co-financing, and given the volume of the

portfolio in high risk contexts. However, there may be some circumstances where it could be necessary and beneficial

Education Cannot Wait and Local NGOs – If the GPE was to be the long-term host post 2021 it would need this capability which ECW currently has (despite a much smaller Secretariat) to transfer funds directly to accredited local NGOs

Governments - In lower risk contexts (i.e. small grants or well-functioning pooled funds with adequate public financial management systems), there may be opportunities for greater use of country systems, cost savings, efficiency gains, and capacity building benefits of transferring funds directly to Ministries.

KIX/ASA – There may be a desire in future to consider more direct contracting with non-traditional organizations. If GPE was to have this capability it would require an updated accreditation policy (e.g. HACT) to ensure organizations met the required standards to receive funds directly. In addition, the GPE Secretariat would need to have sufficient in-house or outsourced capacity for financial and programmatic oversight that's no longer provided by a Grant Agent. An Internal Audit/Inspector General function would be required for independent assurance and to deal with any misuse of funds allegations / investigations. The GPE Board would need to accept that with direct access comes a higher degree of reputational risk in the event of significant fraud/misuse.

Current status:

The World Bank as Trustee has no supervisory relationship over the Grant Agents and does not assume fiduciary responsibility for funds transferred. Since GPE is not a legal entity, however, any misuse or ineffective use of funds by these Grant Agents can result in negative impact to the World Bank's reputation. The World Bank makes clear that, as risks for the World Bank as Trustee related to direct access are likely to be significant, the World Bank is not supportive of this.

Therefore, if GPE were to pursue the issue of direct access, it could only do so if it created its own legal entity to sign agreements directly with recipients and it would be directly responsible for oversight

Next steps – timeline:

The issue of whether GPE can have the ability to pursue direct access through creation of its own legal entity (potentially resulting in the GPE Secretariat de-hosting from the World Bank) is being considered through the Institutional Arrangements process as there are a number of other reasons that the GPE Board may want to consider in terms of having a legal entity.

However, the issue of whether GPE should pursue direct access is on hold pending the outcome of the effective and efficient partnerships review. If the process identifies this as a potentially beneficial solution to improve prospects of GPE meeting its objectives than a further phase of work could involve developing a mechanism for how this would work in practice, assuming that the GPE Board was still considering creation of a separate legal entity.

Partners:

N/A

Source: N/A

Knowledge and Innovation Exchange - KIX	SIC

➡ Meeting partners' needs for better knowledge, evidence and capacity for selecting policy solution

What it involves:

In early 2017, GPE's Board approved a new financing and funding framework (FFF), which positions GPE to deliver on its ambitious strategy, GPE 2020. The framework proposes the Knowledge and Innovation Exchange (KIX); a mechanism to further enhance the

Partnership's work to support stronger education systems with sound education sector plans and policies.

KIX has two operational components:

i. *The KIX Learning Exchange* anchors GPE's efforts to ensure that there is a strong exchange of policies, innovative approaches and lessons on good practice across the Partnership. Comprised of a suite of activities, including a digital knowledge sharing platform, clearing house of tools and approaches and various face-to-face opportunities for peer learning and capacity development, the Learning Exchange will enable GPE to fully capitalize on the expertise, knowledge and innovation capabilities of its membership, in direct support of developing country partners and national education systems.

ii. *KIX thematic funding windows* will be launched in six areas that are core to educational progress; (i) Early childhood care and education, (ii) Gender equality, (iii) Strengthening learning assessment systems, (iv) Strengthening data systems, (v) Improving teaching and learning, and (vi) Equity and inclusion. The Board approved that the KIX funding will start with the first four themes for launch before the end of calendar year 2018 and then the last two themes funded in calendar year 2019.

The Board approved a budget request of US$1.5 million as an initial allocation from the KIX envelope to cover initial administrative and operating costs and to support further technical design work needed to launch KIX over a 12-18-month period. The KIX design and operationalization process will happen in three phases, as follows:

1. *Component 1: Learning Exchange Design and Mapping* – includes design and costing of the Learning Exchange function, contracting of service providers, developing a detailed multi-year budget and operational plan.

2. *Component 2: Design of the Thematic Funds* – includes creation of the six thematic funds, review of concept notes and proposal for thematic allocations for the thematic funds.

3. *Component 3: Operational Plan and Management Arrangements for the Thematic Funds* – involves measures for managing the six KIX thematic funds: a workplan laying out a series of steps leading to the finalization of an operational plan and management model, and final selection of a grant agent between July and September 2018. Once grant agent is selected, business processes in the following areas will be refined and finalized and included in the operations manual for final Board approval in December:
    a. Procedures for grantee selection and awarding of grants.
    b. Procedures for management of grant portfolio including.
    c. Procedures and rules related to grant restructuring and extension.
    d. Procedures for grant monitoring and oversight.
    e. Evaluation framework for KIX Thematic Funds.

Current status:

Component 1 (Learning Exchange Design and Mapping): A draft project workplan including for Learning Exchange and Thematic Funds development and operationalization has been developed as well as contracting of a firm to support the Secretariat in the design phase of the Learning Exchange.

Component 2 (Design of the Thematic Funds): The development, consultation, and finalization of discussion papers and concept notes for all six thematic funds is underway.

Component 3 (Operational Plan and Management Arrangements for the Thematic Funds): The process of soliciting and selecting a Grant Agent is underway.

Next steps – timeline:

The design and management of the two KIX components (Component 1 and 2) will be developed with the support of an external firm and consultations with developing country partners, donors, foundations and other Board constituencies in May and June 2018.

The design of a Learning Exchange will be delivered to the Strategy and Impact Committee (SIC) in July, after which a Learning Exchange provider will be procured through a competitive expression of interest. The Learning Exchange aims to be launched by December 2018.

A Grant Agent will be selected and accredited by September, after which the business management approach for KIX funds will be finalized in time to launch the thematic Calls for proposals in ECCE, Gender, Strengthening Data Systems and Learning Assessment systems in December 2018 and Teaching and Learning and Equity and Inclusion in early 2019.

Partners:
    All Board constituencies

Source: SIC document on KIX, March 2018

Advocacy and Social Accountability - ASA S I C

Supporting effective civil society engagement in national education sector policy dialogue.

What it involves:
In early 2017, GPE's Board approved a new financing and funding framework (FFF), which positions GPE to deliver on its GPE 2020 strategy. The framework proposes the Advocacy and Social Accountability (ASA), a mechanism to enable GPE to strengthen mutual accountability across the partnership by expanding and integrating advocacy and social accountability activities into its core operational framework, including ensuring better linkages with strong sector planning, program implementation, education financing and the uptake and application of knowledge exchange and innovation in the sector.

The ASA mechanism will provide grants from 2019 to 2020 to support three objectives:

1. Strengthen national civil society engagement in education sector planning, policy dialogue and monitoring.
   - provides core funding for national education coalitions for advocacy and social mobilization activities and to their coordinating bodies (that is, as a successor to the CSEF III).

2. Strengthen civil society roles in promoting the transparency and accountability of national education sector policy and implementation
   - provides funding for increased inclusive citizen engagement in monitoring and assessing government performance and budget utilization in education; and supporting the use of such to inform national policy and implementation.

3. Create a stronger global, regional and transnational enabling environment for civil society advocacy and transparency efforts in education.
   - provides funding for transnational advocacy alliances to execute campaigns, drive policy advocacy, build civil society and advocacy capacity, and link national efforts to global and regional influencing strategies.

The first and second objectives (Objective 1 and 2) of ASA will have the following outputs:
   - Policy analysis, evidence and research;
   - Coalition building;
   - Social mobilization of citizens, and
   - Capacity building for civil society – including to inform GPE support in areas such as ESPDGs, ESPIGS, etc.

The third objective (Objective 3) of ASA will have the following outputs:
- Global, transnational and/or regional advocacy campaigns;
- Capacity building for civil society policy advocacy.

The minimum funding allocated for ASA is $60 million. The ASA grants are envisioned to support activities over the course of a minimum of three years, which is widely understood to be the required timeframe for work on policy change to bear fruit so country level civil society activities are expected to run through 2023.

The design of the ASA mechanism is being carried out by a design team at the GPE Secretariat under the oversight of the Strategy and Impact Committee (SIC) in two phases:

a. *Phase 1* - March to December 2017: This involved designing the high-level architecture and the Theory of Change for the ASA mechanism through a consultative process. In this period, the ASA design team carried out consultations with GPE's constituencies, informational interviews with experts and implementers from the advocacy and social accountability sector, a comparator analysis, and a market analysis. In September 2017, a conceptual framework was developed by the Secretariat, and in December 2017, the Board approved the goal, objectives, outputs and operational components for ASA.

b. *Phase 2* – from January to December 2018: Three components will be decided by the SIC: grant agent selection, call for proposals process, and operational plan and operations manual to enable the launch of the program. The Phase 2 design will be carried out by a core design team at the Secretariat in conjunction with the Technical Advisory Panel, and with support from an external design firm. The Technical Advisory Panel comprises five technical experts in the fields of social accountability, advocacy and grant making.

Current status:
ASA is currently in *Phase 2* (as described above)

Next steps – timeline:
The key decisions and a tentative timeline for Phase 2 are as follows:
- Grant agent recommendation by SIC and review of draft design blueprint: July 9-10, 2018
- Review of ASA portfolio application (including final design blueprint) by SIC: October 23-24, 2018
- Review and recommendation of ASA portfolio application by Board: December 10-12, 2018
- Launch of the ASA mechanism and call for proposals: March/April 2019

Partners:
CSOs

Source: ASA Background document for DCP consultation in May, April 2018

Country-specific evaluations	SIC

→ A series of country evaluations until 2020 as part of GPE evaluation portfolio

What it involves:
In June 2016, GPE adopted a M&E strategy to cover its 2016-20 Strategic Plan period. The strategy includes a results framework for monitoring progress across the three goals and five strategic objectives in GPE's theory of change. The strategy also calls for a linked set of evaluation studies that explore how well GPE outputs and activities contribute to outcomes and impact at the country-level. Instead of applying a single summative evaluation at the end of GPE's five-year plan, the strategy calls for programmatic, thematic and country-level evaluations to be conducted between 2017 and 2020, which will feed into a summative evaluation envisaged for 2020.

The country-level evaluations aim to inform the Secretariat and the partnership on results achieved to date, as well as on areas where GPE might be able to further strengthen its support or adjust its operational model. They are designed and implemented by Universalia

(and Results for Development, Mokoro, and itad). They evaluate (i) GPE contributions to strengthening education systems and, ultimately, the achievement of education results within GPE developing country partners (DCPs) in the areas of learning, equity, equality and inclusion; and hence (ii) the relevance, efficiency and effectiveness of GPE's theory of change and country-level operational model.

Current status:

Summative evaluations: These will *trace the theory of change back* ex-post from impact (if observable at the time) and/or intermediate (system level) outcomes to outputs and inputs.

In total 22 over the whole period:
- 1st batch: two pilot evaluation draft reports by February 2018: Burkina Faso and Sierra Leone.
- 2nd batch: five evaluation draft reports by May 4, 2018: Cambodia (TBD), Cote d'Ivoire, Gambia, Liberia, Pakistan.
- 3rd batch: five evaluation draft reports by October 19, 2018: Mauritania, South Sudan, Tajikistan, Uganda, Zambia.
- 4th batch: five evaluation draft reports by March 15, 2019: Bangladesh, Guyana, Kyrgyz Republic, Mozambique, Togo.
- 5th batch: five evaluation draft reports by October 18, 2019: Guinea, Organization of Eastern Caribbean States (OECS)51, Lesotho, Rwanda, Senegal.

The prospective evaluations – these *are forward-looking* and will assess if GPE inputs and influence are pushing education sector planning, implementation and monitoring towards the intermediary outcomes as outlined in the theory of change.

In total eight over the whole period:
- Democratic Republic of Congo, Ethiopia, Kenya, Malawi, Mali, Nepal, Nigeria, Zimbabwe

Next steps - timeline:

Key tasks and deliverables under this assignment will include:
- Summative country evaluations in a sample of 22 countries, which will be conducted at or around the time of grant completion.
- Forward looking or 'prospective' country evaluations, which will follow GPE's activities and programs in eight countries up until 2020 to provide a continuous review of the effectiveness of GPE's operational model.
- Annual Synthesis Reports in December 2018 and December 2019.
- A Final Synthesis Report in May 2020.

Partners:

See list of developing country partners above

Source: Final inception report: Design and Implementation of GPE 2020 Country-level Evaluations, January 2018

Annex J   Mapping of GA, CA and LEGs

MAPPING of key players' roles and responsibilities

> **|Note to the reader**
>
> <u>Why this mapping</u>? The mapping is one of four inputs that is being prepared by the Secretariat to inform a capacity review of key actors in the GPE operational[8]. As per the Board request, the objectives of this review are to: i) examine the **efficiency and effectiveness of GAs, CAs and LEGs** to deliver on GPE 2020; ii) examine their respective **roles in providing capacity building and technical advice;** identify **options to clarify or adjust these roles** including provision of additional support as needed; and iv) make **improvements to the provision of capacity building and technical assistance** throughout the model[9].
>
> The mapping is thus part of the preparations of the actual review, which is planned to begin in November/December 2017, and run until June 2018 and will be undertaken by an external firm working closely with the Secretariat. It is expected to result in a **diagnosis** of the efficiency and effectiveness of key actors at country level vis-à-vis their intended roles, with special focus on national capacity strengthening, with **actionable recommendations** to leverage the implementation of the operational model.
>
> <u>Use of mapping:</u> The mapping is intended to facilitate the initial steps of the actual review and further analysis in that it:
>
> - Creates an overview and baseline for how the core operational model is intended to work at country level and what it promotes;
> - Captures both roles, and the inter-relations of actors, mapping them side by side at specific steps in the policy cycle and grant processes;
> - Highlights and lays out the entry points for capacity strengthening as embedded in the grant processes;
> - Provides a reference tool to help identify angles of analysis for interviews with key actors, as well as inconsistencies, overlaps, lack of clarity in functions and lines of accountability.
>
> For its intended purpose, the mapping is descriptive, organizing contents to facilitate the further analysis; but does not seek to draw findings.

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[8] The three other document inputs prepared by the Secretariat for the review are: Summary of DCP consultation; LEG literature review, and LEG survey.
[9] BOD/2017/03 DOC 03 - Annex 1, p.14.

Basis and limitation of mapping: The operating model was reviewed in 2015, and guidance and normative texts were accordingly revised in 2016 including GPE Charter, ToR for GAs, ToR for CAs, grant guidelines and all related forms (internal and external); and since operationalized, implemented and finetuned through grant processes and GPE supporting activities. While these texts themselves are not the primary object of the analysis, they are used as the basis and backbone for the mapping to understand how the model is intended to work and what and how it promotes the distribution of roles and responsibilities among key stakeholders including lines of accountabilities.

In line with the board request, this exercise focuses exclusively on the country level partners – GAs, CAs and LEGs (as a body) – and thus not on the role of the Secretariat, nor the specific roles of the different members of the LEG (done in a different work stream on LEG effectiveness). While it does not examine the actors' relations with the Secretariat, the actual CD review will be based on the analysis of country-level identify what areas in which support from the Secretariat would be beneficial for strengthening the effective/intended functioning of the actors' and for how the operating model unfolds at country level.

Documents used: Grant guidelines (ESPDG, ESPIG, PDG), ToR for GAs, ToRs for CAs, GPE Charter, GPE 2020, Operational Platform-OP (2015) and Financing and Funding Framework-FFF (2017).

Introduction

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 (GPE 2020, p.16).

A key distinguishing feature of GPE's approach to impact is that both accountability and authorities are highly distributed. Successful realization of results relies upon all constituencies fulfilling their roles[10]. The roles and responsibilities of the different constituencies are embedded in the partnership compact of mutual accountabilities, and intended to enhance sector dialogue under government leadership and collaboration among all actors involved in education sector development and implementation.

The following summarizes the intended and expected roles of the in-country key players being examined – Grant Agents, Coordinating Agencies, and Local Education Groups[11] - based on the normative texts and guidance that are embedded in the operating model. It does so in two parts:

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[10] From initial technical proposal by firm, 2 October.
[11]   For brevity, these will be referred to as GAs, CAs and LEGs throughout the mapping, also when written out in cited document.

I. **Narrative summaries of key players' general positioning in the operational model**, outlining i) their respective roles in general terms, and highlighting/summarizing their ii) specific entry points for supporting national capacity strengthening (based on mapping in B)

II. **Detailed mapping of the roles and responsibilities** of key players along the policy cycle and core grant processes - ESPDG and ESPIG (the latter including PDG) - with focus on capacity development as embedded in the grant processes. This mapping also refers in footnotes to available tools and resources as relevant to the different stages.

In addition, given that the review is expected to consider current and future evolutions in GPE's operational model, the last part briefly maps selected elements from the FFF that are directly relevant to the capacity review, as they indicate anticipated capacity implications for the enhancements of the core funding model[12] in general and in relation to each of the key actors [13].

III. **Enhancement of the core funding model through the FFF – and capacity implications.** This part regroups elements available in the FFF (general and per actor). For ease of reference, it also regroups all direct Board language directly related to the capacity review exercise.

Throughout the mapping, the elements that are relevant to national capacity strengthening are **highlighted in dark blue**, to facilitate the review's needed focus on national capacity strengthening and the role of each actor and their collaboration in this regard.

I. Narrative summaries of key players' general positioning in the operational model

I.1. Grant agents

> *Definition: The GA supports (a) the government in the development, implementation and monitoring of the GPE-funded ESPs and education sector programs, and (b) GPE in the development and implementation of research, capacity development and knowledge-sharing activities at the regional and global levels. In the case of country-level education sector programs, in accordance with the Standard Selection Process for GAs, the government approves the final selection of the GA, endorsed by the other LEG members. The Board, in consultation with the trustee, approves the GA for each proposal (GPE Charter p.9-10).*

The GA has very specific roles and responsibilities throughout the grant cycle with its main counterpart at country level being the DCP. As an integral part of its designated roles and the operational model, it also needs to work closely with CA and the broader group of development partners, as the

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[12] i.e. through enhancement of the ESPIG (*DRM, Results Based Funding and Data requirements) and through the more differentiated funding mechanisms (*ESIC, multiplier, KIX, ASA).

[13] The mapping is limited to the FFF in this regard, and is thus general, but indicates some initial considerations. These have matured since the drafting of the FFF in the context of the conceptualization and finetuning of the various elements of the FFF.

grant processes, in which the GA is positioned as a key driver, require and promote sector dialogue through the LEG or equivalent body at strategic points in time, both in grant design, implementation and monitoring.

GA's primary responsibility is *to ensure that GPE funds are used effectively and efficiently to support national education sector plans.* It must ensure that funds are appropriately managed and fully aligned with broader education sector developments and add value to the country-level processes and results. Its operational role is to disburse the GPE transferred funds to the implementing partners, generally the DCP, and provide fiduciary oversight and technical support as appropriate to the context and in line with the specific purpose of the grant (ToR, p.1).

The selection process of the GA should consider the capability of interested agencies or organizations to meet mutually agreed criteria, including the most appropriate implementation modality, in terms of alignment, for providing support in the given context, as well as the added value that each interested agency can provide, such as sectoral knowledge and experienced personnel and ability to offer technical resources (ToR GA, p.2).

| TABLE I.1.a:

In general, as per the TOR for GAs, the GA is generally expected to[14]:

- *….prepare grant application packages following the respective grant guidelines in close collaboration with the government and in consultation with the CA and the other members of the LEG' (ToR GA, p.5)*

- *….ensure that..grant and program designs are relevant and technically strong and are built on realistic assessments of what is achievable in the timeframe proposed and on a solid understanding of the capacity of partners involved and any fiduciary risks (ToR, p.2).*

- *…use the operational and fiduciary mechanisms with which it normally operates in the given context. The GA should therefore be selected on the basis of how well these arrangements and capacities meet GPE objectives around systems building and capacity strengthening relative to the context (idem 1)*

- *….utilize, and align with, country procedures and systems to the largest extent possible* and as agreed with the LEG and approved by the Board (ToR GA, p.5)

- *…. offer technical resources and expertise as agreed during the GA selection and grant proposal development and as relevant to the specific country context for effective implementation of the relevant grant. It is expected that the GA be responsive to evolving situations and ready to adapt its role according to emerging needs, if for instance a situation calls for more flexibility in terms of time and/or technical assistance (TOR GA, p.5)*

- *….Participate fully and meaningfully in country-led dialogue mechanisms for planning, implementing, monitoring and evaluating the ESP | TEP, as a member of the LEG. This includes supporting the CA in promoting annual JSRs, and supporting the government in taking a leading role and in providing information on progress (ToR, p.5).*

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[14] Specific roles along the policy cycle and grant processes are mapped in detail in the Matrix in II, Table II.1 & Table II.2

GA's functional entry points for supporting CD:

In line with GA's general roles outlined above (I), and based on the mapping of key actors' specific roles and collaboration along the policy cycle and through grant processes (see II), the operating model positions the GA to contribute to capacity strengthening at many different levels, especially _technical_ capacity, in the following areas and points in time, as summarized below:

| TABLE I.1.b:

Entry points through which GA is expected to support capacity development, as embedded in the country operational model:

During ESPDG:
* _Use the ESPDG process_ to build government capacity and provide technical support in planning and sector analysis
* _Foster full ownership and leadership_, working closely with the government in government-led planning process
* Demonstrate in the ESPDG application that _activities will lead to strengthening of the national systems_ responsible for sector analysis and planning
* _Consider whether capacity assessments are relevant_ in the specific context as part of the regular sector dialogue (as eligible expenditure under grant)
* _Raise awareness around the quality standards for ESPs/TEPs_ to ensure that the plan meets this requirement for GPE membership and funding (if eligible)
* _Engage in policy dialogue_ and work with the LEG throughout, incl. in organizing/following up on independent assessment (as GA/LEG member)
* _In fragile contexts:_
     - collaborate with institutions at technical levels to optimize capacity building and the use of national structures, strategies, and programs.
     - ensure a strong focus on developing national capacity to take on implementation in the future.

During ESPIG (+PDG):
* _Develop a program with government_ for ESPIG funding that is consistent with the ESP and supports system strengthening
* Pay attention to the _selection of strategies for the variable part, and DLIs,_ ideally as part of the ESP development process, and validate within the LEG
* Allocate technical resources for developing a program that meets _GPE and GA quality standards_, through a consultative process [enabled through PDG]
* _Work with the CA to solicit LEG members_ in the program development process for coordination, harmonization and quality enhancement.
* _Source domestic or regional expertise_ as relevant and appropriate to foster capacity development [enabled through PDG]
* Ensure that _program design_ is sustainable after the implementation, in terms of both financial resources and institutional/administrative capacity (QAR II);
* _Identify capacity risks_ (personnel, skills and system) with mitigation measures as part of program design (QAR II)
* Ensure _use and development of existing country systems_ (technical/administrative /financial) in defining implementation arrangements (QAR II)

- *Plan for and ensure a transfer of skills during grant implementation (QAR II)*

- *Demonstrate its sufficient capacity and experience with selected implementation arrangements (QAR II)*

- *Provide continued technical support, fiduciary oversight, and corrective action in support of the implementation by the DCP of the ESP and programs*

- *Respond to evolving situations and adapt its role according to emerging needs, i.e. in contexts calling for flexibility in terms of technical assistance*

- *Use of harmonized approaches to monitoring and reporting of the grant*

I.2. Coordinating agencies

Definition: The CA is selected by the LEG and facilitates the work of the LEG. The CA acts in accordance with operational procedures as determined by the LEG. In cases where no CA is in place, the LEG designates one (GPE Charter, p.9).

The CA plays a facilitating role in implementing the core guiding principles of the Partnership as outlined in the GPE Charter, especially those related to ensuring an inclusive, evidence-based policy dialogue, engaging the government and international development partners, as well as civil society, teachers and the private sector. In doing so, it is expected to play a key role in ensuring harmonized support for for the government's education plans and programs; as well as promoting and fostering mutual accountability and transparency across the Partnership (ToR p.1)

In line with the above, the CA facilitates the work of the LEG, and promotes the inclusion of non-governmental organizations in the work of the LEG. In countries where civil society, the private sector, and/or non-governmental organizations are not engaged in the LEG, the CA promotes dialogue regarding their inclusion (ToR CA, p. 3). Moreover, the CA serves as a communication link between the Secretariat and the LEG, including the government, and as such is at the very centre of the operational model and how it unfolds country level.

| TABLE I.2.a:

Based on the ToR for CA (and Charter), the CA is generally expected to[15]:

- *….facilitate the work of the LEG in all aspects to enable in-country development partners to collectively support the government, and the government to lead and interact with partners effectively, with low transaction costs' (ToR CA, p.2)*

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[15] Specific roles along the policy cycle and grant processes are mapped in detail in the Matrix in II, Table II.1 & Table II.2

- *….Fosters and further develops the relationship between the development partners and the developing country partner government, promotes the inclusion of nongovernmental organizations in the work of the LEG, and helps mobilize development partners and, to the extent possible, other LEG partners for meetings (Charter, p.9)*

- *….foster open and inclusive dialogue among members of the LEG in the context of the preparations of applications for GPE financing, developed by the GPE GA in close collaboration with the government' (TOR CA, p.6). It facilitates [in general for each of the three grants] discussion towards consensus around GPE financing and support, so that the LEG can endorse the application prior to its submission to the Secretariat (TOR CA, p.4)*

- *….work with the GA and the rest of the local education group to facilitate in-country quality assurance tasks and processes as described in the specific grant guidelines, and to ensure that these steps are included in the LEG's own work plan' (ToR CA, p.4)*

- *…serve as a communication link between the Secretariat and local education group, including the government. As such, most of the information from the Secretariat is channeled through the CA, while the Secretariat relies on the CA for prompt and smooth information sharing on all GPE-related matters and sector developments in general (ToR CA, p.4)*

- *If required or requested by partners, the CA may facilitate the implementation of the GPE conflict resolution procedures to solve any GPE-related challenges that may emerge within the multi-stakeholder partnership (ToR CA, p.3)*

CA's functional entry points for supporting CD:

In line with CA's general roles outlined above (I), and based on the mapping of key actors' specific roles and collaboration along the policy cycle (see II), the operating model positions the CA to contribute to capacity strengthening at many different levels, especially _organizational_ capacity, in the following areas and points in time, as summarized below:

| TABLE I.2.b

Entry points through which the CA is expected to support capacity development, as embedded in the country operational model:

During ESPDG:
- *Facilitate ESPDG GA selection process, which should ensure that the criteria on GA ability to build capacity in analysis and planning are being met*

- *Facilitates inclusive consultation and coordination among partners within the LEG in the preparation of the ESPDG application package*

- *Coordinate the initial comments on the draft ESP/TEP from development partners, generating technical support and advice to the government*

- *Lead or facilitate the tasks of development partners in the context of the independent assessment of the ESP/TEP, including readiness check of the draft*

- *Facilitate the discussion of the follow-up to the recommendations to support the government in finalizing the plan that meets expected quality standards*

- *Discuss and compile feedback on lessons learned from the plan development process as part of the wider sector dialogue*

During ESPIG (+PDG):

- *Facilitate discussions with the government within the LEG about the <u>country-level readiness to respond to requirements</u> of the GPE funding model*
- *Strongly support the DCP in the <u>identification of funding modalities</u> for greatest alignment with country systems*
- *Facilitate <u>partner collaboration</u> through the LEG, incl. engagement of civil society organizations, and transparent and consensual program preparation*
- *Work with the GA to <u>ensure that the LEG members have all necessary information to contribute meaningfully</u> to the ESPIG program development process*
- *Works with the GA to facilitate <u>in-country quality assurance tasks and processes through the LEG</u> to ensure that program is aligned with expected standards*
- *Ensure that dialogue takes place within the LEG on the <u>strategies and indicators to select for the variable part</u> and how the variable mechanisms will work*
- *Support the government in organizing effective government-led <u>joint sector reviews</u>*
- *May support the government in preparing the <u>annual sector plan implementation report</u> as a basis for the joint sector review discussions*
- *May also take the lead in or otherwise support the elaboration of the <u>Aide Memoire</u> on the joint sector review*
- *Invites members of the LEG to share <u>lessons learnt regarding grant implementation</u> to inform future country processes/strategies to support the government*

I.3. Local Education Groups

> *<u>Definition:</u> The LEG lies at the heart of GPE and is founded on the principle of collective support for a single country-led process toward the development, endorsement and implementation of an ESP. GPE's intent is to strengthen country-owned coordinating structures and decision-making processes for effective and inclusive policy dialogue. The LEG is therefore a collaborative forum for education sector policy dialogue under government leadership, where the primary consultation on education sector development takes place between a government and its partners (GPE Charter, p.4)*

At the country level, the LEG forms the foundation for GPE's governance, and composed of a wide cross-section of actors: It comprises the government of the DCP, donors present in the country, multilateral agencies, nongovernmental organizations (including international and local CSOs), representatives of the teaching profession, the private sector and private foundations, and others supporting the education sector.

The GPE operational model hinges on the effective functioning of the LEG to positively impact GPE member countries. The LEG literature review[16] concludes that 'effective LEG focuses on a clear mandate of policy dialogue, anchored around the Education Sector Plan. All tasks, roles and responsibilities serve the preparation, implementation, monitoring and evaluation of this plan, including GPE-related tasks that should not preempt the

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[16]   Draft LEG literature review, September 2017.

main LEG mandate of dialogue. A representative forum of stakeholders with adequate capacities to participate meaningfully should be organized according to the needs and objective of the policy dialogue. All stakeholders should be able to serve the LEG's interest and follow key aid effectiveness principles. Leadership is necessary to create a conducive environment where institutional dynamics are based on trust and mutual accountability'.

| TABLE I.3.a:

Based on the GPE Charter, the LEG as a body is generally expected to[17]:

- *…. Be founded on the principle of collective support for a single country-led process toward the development, endorsement and implementation of an ESP.' (Charter p.4) ..and 'adopt and make publicly available a clear terms of reference (Charter, p.5)*

- *Provide a collaborative forum for education sector policy dialogue under government leadership, where the primary consultation on education sector development takes place between a government and its partners.' (Charter, p.4)*

- *….[Be] first and foremost accountable to the citizens of the country it serves, promoting sector progress and transparent reporting of sector results, including on learning outcomes (Charter p.5)*

- *….[Operate] through planning, monitoring, and review mechanisms and procedures that are both transparent and inclusive (Charter, p.5)*

- *….[Designate the CA] through consensus (including the government), and define the tasks, accountabilities, and operational procedures of the CA in light of the existing country-level arrangements of the education sector (TOR CA, p.2)*

- *… Apply GPE's conflict resolution procedures to resolve disagreements related to GPE-related processes (Charter, p.5)*

LEG's functional entry points for supporting CD:

In line with LEG's general roles outlined above (I), and based on the mapping of key actors' specific roles and collaboration along the policy cycle processes (see II), the operating model positions the LEG to contribute to capacity strengthening at different levels, especially *organizational and institutional* capacity, in the following areas and points in time, as summarized below:

| TABLE I.3.b:

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[17] Specific roles along the policy cycle and grant processes are mapped in detail in the matrix in II, Table II.1 & Table II.2

Entry points through which the LEG is expected to support capacity development, as embedded in the country operational model:

<u>**During ESPDG:**</u>

- *Provide collective support and a <u>collaborative mechanism</u> for a single country-led process toward the development and endorsement of an ESP/TEP*
- *Provide a consultative forum to define and plan the ESPDG activities which should be part of a <u>roadmap for how the country teams will develop the ESP/TEP</u>*
- *Contribute to <u>evidence-based education sector dialogue,</u> bringing technical expertise, voice, innovation and experience*
- *Endorse the <u>selection of the ESPDG GA</u> ensuring that it can provide technical support and build capacity for analysis and planning*
- *Determine when an <u>early draft of the ESP/TEP</u> is sufficiently ready to solicit <u>initial comments</u> from development partners, and advice accordingly if not ready*
- *Make a <u>readiness check</u> based on checklist to verify that the draft ESP/TEP is ready for the <u>independent assessment</u>, and advice accordingly if not ready*
- *[DPs] Commission reviewers, ensuring they are/become trained in the mandatory methodology for assessing <u>ESP/TEPs against quality standards</u>*
- *Provide a consultative and advisory forum for the <u>discussion of the results of the independent assessment</u>*
- *<u>Agree on improvements required</u> in the short term (prior to endorsement) and, if needed, during plan implementation.*
- *Provide the forum for DPs endorsement of the plan, which includes <u>partners' commitment to provide technical and/or and financial support</u>*

<u>**During ESPIG:**</u>

- *Assess the country's readiness to fulfil <u>the three funding requirements</u>: 1) credible ESP/TEP; 2) commitment to finance; 3) critical data (see Table II.2)*
- *Discuss whether the conditions are in place for greater <u>use of country systems</u> and for developing more aligned funding mechanisms*
- *Determine the most appropriate funding modality for ESPIG, balancing risks with the need to <u>optimize capacity development and country ownership</u>*
- *Discuss the <u>scope of the expected work</u> of program to be funded, ideally as part of broader sector dialogue for transparent decision-making*
- *Endorse the <u>selection of the ESPIG GA</u> ensuring that it can provide sectoral knowledge, experienced personnel and ability to offer technical resources*
- *Engage in the program development, led by the government in close <u>collaboration with the GA and the CA</u>, according to an agreed process.*
- *Discuss <u>follow-up of QAR I & QAR 2 recommendations</u> and how these will be taken into consideration in the preparation/finalization of the program*
- *Discuss and validate selected policies, strategies and stretch indicators for the <u>variable part</u>, ideally as an integral part of the sector plan development*
- *Provide meaningful and effective support to the implementation of the ESP, <u>bringing technical expertise, voice, innovation and experience</u>*
- *Provides a regular forum for joint monitoring of ESP/TEP and corresponding commitments, including agreement on adjustments for progress*
- *Contribute to <u>compilation of reports</u> on education sector progress and challenges, and on education sector financing from all sources, domestic and external.*
- *Contribute to the <u>organization of effective government-led joint sector review</u> or equivalent mechanisms to monitor the implementation of the ESP/TEP*

II. Matrix – Actors' specific roles along the policy cycle and grant processes, including roles in CD

The following is a detailed mapping, capturing the intended and expected roles and responsibilities of key players by grant – ESPDG and ESPIG (+PDG). Apart from the short summaries, the mapping is based on direct extracts from normative texts and guidance, relevant for each stage of the different grant processes. Roles that are relevant for supporting **CD are highlighted in blue** – and referred to as 'entry points for CD' (these are summarized above in respectively I.1.b; I.2.b; I.3.b).

Roles and responsibilities that contribute to 'capacity development' may either relate to technical capacity strengthening of individuals to carry out certain functions and tasks (people), organizational capacity strengthening such as through sector dialogue (processes, tools, cooperation and interactions among stakeholders), and institutional capacity strengthening such as through policies, plans, programs, norms, and values.

II.1   ESPDG

'The grant adds value to sector planning and implementation, because it helps ensure that education aid, including that from GPE, is based on a solid, nationally owned analysis of the challenges in delivering quality basic education, and at the same builds institutional capacity to deliver education services equitably and efficiently' (ESPDG, p.1).

While developing country governments take the lead in planning and are accountable for delivery, GPE enables needs analysis, works to strengthen technical capacity, and brings in the talent and resources of others (GPE 2020). The ESPDG application needs to demonstrate how the proposed activities lead to strengthening of the national systems responsible for sector analysis and planning (FFF, Annex 1, p.14).

TABLE II.1:		
GA	**CA**	**LEG**
1.1 Relating to GA selection		
	In summary: • Supports consensus-building around GA selection process	**In summary:** • Provides a consultative and advisory forum for selecting the ESPDG grant agent
	The CA plays an important role in supporting the development of multi-stakeholder consensus during the GA selection process' *(ToR CA p.4)*	*[The LEG] serves as a consultative and advisory forum for the government for setting criteria for the ESPDG GA selection.* *The selection is decided by the government and endorsed by the other members of the LEG based on the capacity of the agency to provide*

		technical support and build capacity for planning and analysis' (ESPDG, p.7).
1.2 Relating to the ESPDG application		
In summary: • Prepares ESPDG application with government, including the four ESPDG deliverables: Concept note, ToR for technical expertise, ESP/TEP development roadmap and budget. • Works with CA to ensure consultation with the LEG during the above	**In summary:** • Facilitates inclusive consultation and coordination among partners within the LEG in the preparation of the ESP/TEP development roadmap and ESPDG application package	**In summary:** • Serves as a consultative and advisory forum for defining the ESP/TEP development roadmap and for validating the ESPDG application package
*While the government leads the planning of the ESP	TEP development process in close consultation with the in-country development partners, the GA has delegated responsibility for developing the ESPDG application based on the agreed process (ESPDG, p.9).* *The GA prepares grant application package following the respective grant guidelines in close collaboration with the government and in consultation with the CA and the other members of the LEG' (ToR GA, p.5).* *Four deliverables to scope the process and frame the ESPDG application:* 1. *A concept note defining how the education sector analysis, education plan development, and independent assessment will be approached and coordinated [18]* 2. *Terms of reference for the technical assistance needed to support the education sector analysis and education sector plan tasks [19].* 3. *An integrated roadmap reflecting a coherent set of activities to implement the tasks set in the concept note, together with sources of funding and a timeline[20].*	*The CA supports the government in ensuring that the consultative process is transparent and sufficient (ESPDG, p.8)'* *[The CA] facilitates discussions around the ESPDG application and endorses it on behalf of the development partners prior to its submission by the Government.' (ESPDG, p.8).*	*The consultative process within the LEG is particularly critical to the development of the ESPDG application (ESPDG, p.8)* *The activities of the ESPDG are expected to be defined and planned through a consultative process within the LEG led by the government, and be part of a broader roadmap that outlines the key phases, quality assurance milestones and activities for how the country teams will develop the ESP or TEP. (ESPDG, p.4).* *[The LEG] serves as a consultative and advisory forum for validating the ESPDG (ESPDG, p.8)*

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[18] GUIDANCE: Guiding questions for the preparation of the concept note, Annex 3 of ESPDG.

[19] ESP | TEP development process and technical assistance needs - The concept note should outline the key steps of ESP | TEP development process, including consultations and the independent assessment. The terms of reference, annexed to the concept note, should specify the technical assistance requested to be financed through the ESPDG to support the education sector analysis, the ESP | TEP development process, and the independent assessment (ESPDG, p.11)

[20] Template provided.

4. ***A budget*** *that details the costs of the activities for which GPE	ESPDG financing is requested, and which represents value for money (ESPDG, p.10)[21]* *The GA will work with the government and partners, possibly through the establishment of a steering committee, to ensure that the four above-mentioned deliverables are prepared in accordance with the agreed scope, technical decisions and complementary funding from the GA and other partners (ESPDG, p.10).*		
1.3 Relating to sector analysis[22] [23]		
[See 1.4 for GA's general role in ESPDG]	**In summary:** • Facilitates inclusive consultation and coordination among partners within the LEG during sector analysis process	**In summary:** • Serves as a consultative and advisory forum for supporting the government in the sector analysis, bringing technical expertise, innovation and experience to address the complex challenges
[See 1.4 for GA's general role in ESPDG]	*[The CA] facilitates and supports the sector analysis and ESP development (ESPDG, p.8)* *In addition:* *As other in-country development partners and as a regular member of the LEG, it is expected that the CA provides technical and/or financial support to the education sector analysis… in line with the CA's comparative advantages and agreements with the government (ToR CA, p.4)*	*[The LEG provides a] forum of discussion and agreement for policy dialogue, including sector analysis, data and implications for ESP development and endorsement (Operational framework, p.20)* *The LEG as a group... reviews and discusses sector diagnostics and analysis (Charter, p.4)* *[The LEG] serves as a consultative and advisory forum for the government for generally supporting the sector analysis (ESPDG, p.8)* *Through inclusive, government-led policy and monitoring dialogue mechanisms, [LEG members] provide meaningful and effective support to* ***sector analysis****…., bringing technical expertise, voice, innovation and experience to address the complex challenges of delivering education (Charter p.5).*

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[21] Template provided.

[22] GUIDANCE: Education Sector Methodological Guidance, Volume 1 & Volume 2

[23] The ESPDG activities and technical services under this financing window [sector analysis – maximum 250,000] should serve to fill existing gaps and seek, whenever feasible, to build government capacity in different aspects of sector. Activity may cover: i) Comprehensive analysis - e.g. country status report, and diagnostics and analysis of the country's current education system; ii) Targeted analysis – e.g. needs diagnosis and/or policy assessments, including public finance analysis (PFM) or service delivery studies, in view of improving the ESP | TEP in areas related to equity, efficiency and learning outcomes; iii) Capacity building in specific methodological approaches, monitoring and evaluation; iv) Consultations to ensure a participatory process; v) Technical services; vi) Peer review arrangements, and vii) Dissemination a knowledge exchange (ESPDG, p.5)

1.4 Relating to plan development, including quality assurance[24] [25]

In summary:	In summary:	In summary:
• Work with government in a government-led process • Uses ESPDG process to build capacity in analysis and planning • Monitors the ESPDG-funded activities ensuring high-quality work, including process and outputs	• Facilitates inclusive sector dialogue and coordination among country development partners during plan development process especially at key stages	• Assesses readiness for initial comments • Assesses readiness for independent assessment • Discusses the results of the independent assessment and adjustments for the finalization of the plan • Serves as a forum for the organization of partner endorsement
*'In general, a key role of the GA is to work closely with the **government to ensure full leadership** and ownership of the ESPDG supported activities and to use the process to build government capacity.' (ESPDG, p.15)* *The GA is responsible for the implementation and monitoring of the ESPDG. It works closely with the government within a government-led planning process, engages in policy dialogue, and provides technical support as needed, including support to enhancing the planning capacity of the government.' (ESPDG, p.14)* *The GA will use its own monitoring system, policies and procedures to ensure that high quality work is carried out in accordance with the approved application.' (ESPDG, p.14)* *A key objective in monitoring the grant is to detect issues that may arise during implementation as early as possible and to resolve them. If there are delays or issues that may adversely affect the quality and timing of the work, it is the responsibility of the GA to inform the Secretariat and the LEG.' (ESPDG, p.15)*	*The CA facilitates the work of the LEG in all aspects to enable in-country development partners to collectively support government (ToR for CA, p.2).* *Support to the three Quality Assurance milestones for the ESP/TEP development include facilitation of:* 1. *Soliciting **initial comments on draft** ESP/TEP from development partners, including GPE[26].* 2. *Commissioning of **independent appraisal,** and supporting government in discussion on follow-up to appraisal recommendations towards finalization of the plan* 3. *Development partners' **endorsement** of the plan of (summarized from ESPDG, Annex 4):* *'The CA leads or facilitates the tasks of the in-country development partners in the context of the independent appraisal …. This entails monitoring that the quality assurance requirements for selecting the reviewers are met' (ToR CA, p. 5)* *It also entails supporting or facilitating the discussions within the LEG on the recommendations of the appraisal and the Secretariat's comments.* *'The CA leads or facilitates the tasks of the in-country development partners in the context of the endorsement of the education plan (ToR CA, p. 5)*	*Through inclusive, government-led policy and monitoring dialogue mechanisms, [LEG members] provide meaningful and effective support …the **development** of the ESP, bringing technical expertise, voice, innovation and experience to address the complex challenges of delivering education (Charter p.5)* *[Initial comments]: The members of the LEG determine when an early draft is sufficiently ready to solicit initial comments from development partners including the Secretariat..' …Feedback from development partners on an early draft is strategically important as suggestions can be considered early and collectively in the ESP	TEP development process (ESPDG, annex 4, p.25)* *[The independent appraisal] is commissioned by the in-country development partners who select certified reviewers from a roster of experts, trained in the mandatory methodology for assessing ESP	TEPs. Before engaging the reviewers, the LEG makes a 'readiness' check based on a standard checklist to verify that the draft is ready for the assessment' (ESPDG, p.25)[27]* *[The LEG] serves as a consultative and advisory forum for the government for … discussion of the results of the independent appraisal of the draft ESP	TEP (ESPDG, p.8).* *'The appraisal report is reviewed and discussed by the LEG, to agree on improvements required in the short term (prior to endorsement) and, if needed, during plan implementation. Areas for immediate improvement*

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[24] GUIDANCE: For ESPs: GPE/IIEP Guidelines for Education Sector Plan Preparation & Appraisal; for TEPs: GPE/IIPE Guidelines for Transitional Education Plan Preparation & Appraisal

[25] The second financing window [Maximum of 250.000 USD) provides funding for the activities that logically follow the completion of the sector analysis, and supports the development of an ESP or a TEP, and the organization, conduct, and follow-up of the independent assessment. As above, activities and technical services under this financing window should seek, whenever feasible to build government capacity, and may cover: i) Development or revision of sector strategy, programs and actions; ii) Development of multi-year operational plans and medium-term expenditure frameworks; iii) Technical services; iv) Capacity-building in specific areas related to planning, monitoring and evaluation; v) Consultations to ensure a participatory process; vi) Independent assessment of the ESP or TEP and follow up of its recommendations; vii) Dissemination of the ESP | TEP or operational plans to a broader audience (ESPDG, p.6).

[26] CA's specific role in facilitating this step does not come out explicitly in the ESPDG guidelines, although it is key in the in-country quality assurance mechanisms as stated in Annex 4 (see 1.4, under LEG)

[27] TOOL: Appraisal readiness check. For ESPs: Annex in GPE/IIEP Appraisal Guidelines for ESPs, p.22-24; for TEPs, Annex in GPE/IIEP Appraisal Guidelines for TEPs, p. 27-28.

	The CA generally calls the endorsement meeting, during which the in-country development partners sign the endorsement letter, and subsequently sends the endorsement letter to the Secretariat on behalf of the in-country partners (TOR CA, p.5).	*must be addressed before the ESP	TEP can be considered finalized'* (ESPDG, p.25)
	In addition:	*[Endorsement]: The LEG as a group…serves as an advisory forum for the government on adjustments for the finalization of the ESP or TEP [and] serves as a forum for the organization of ESP or TEP endorsement by partners' (Charter, p.5]*
	As other in-country development partners and as a regular member of the LEG, it is expected that the CA provides technical and/or financial support to the education sector plan development… in line with the CA's comparative advantages and agreements with the government (ToR CA, p.4)	

1.6 Capitalization of lessons learnt through ESPDG		
In summary: • Establishes ESPDG completion report	**In summary:** • Facilitates discussion within the LEG on lessons learnt from the plan development process	**In summary:** • Provides feedback and lessons to the Secretariat
GAs are requested to provide an ESPDG completion report within six months after the grant closing date for accountability purposes and to assist the Secretariat in monitoring and knowledge-sharing (ESPDG, p.16)	*The CA will distribute the ESPDG report to the LEG; discuss and compile feedback on lessons learned as part of the wider sector dialogue, and share these with the Secretariat (ESPDG, p.17)*	*[The LEG] provides feedback to the Secretariat on the lessons learnt regarding the ESPDG (ESPDG, p.8).*

II.2. ESPIG (and PDG)

'The roles and responsibilities vis-à-vis the ESPIG are embedded in the partnership compact of mutual accountabilities, and intended to enhance sector dialogue under government leadership and collaboration among all actors involved in education sector development and implementation. + PDG and its added value…

With regard to the ESPIG application, three quality assurance phases mark the core milestones and are intended to technically support the grant development process and enhance the quality of programs. QAR 1 assesses country readiness to meet funding requirements; and initial program design; and QAR 2 consisting of a technical assessment of the draft program to inform its finalization. The latter assesses among others the extent to which the program has been designed to be sustainable in terms of institutional capacities in the medium to long-term; and the extent to which there will be a transfer of skills and administrative capacity (FFF, Annex 1, p.14). QAR 3 is the final readiness review, assessing the final proposal against the standards for programs and for the variable part (also used in previous phases).

TABLE II.2:		
GA	**CA**	**LEG**
2.1 Relating to supporting country readiness to meet requirements		
	In summary: • Facilitates dialogue around requirements and monitoring of related milestones in meeting them.	**In summary:** • Assesses country readiness to meet the three funding requirements
	The CA facilitates discussions with the government within the LEG about ... the country-level readiness to respond to requirements of the GPE funding model (ToR for CA, p.5). *[The CA] facilitates requirements dialogue and monitoring of related milestones in the QAR process with support from the Secretariat (Operational framework, p. 20)*	*The LEG as a group… engages in processes to apply for GPE funding (Charter, p.5)* *[The LEG assesses] the country's readiness to fulfil the three requirements by the time of the estimated application submission (ESPIG, p.11)[28]:* 1. ***Independently appraised and endorsed quality ESP/TEP[29]*** 2. ***Evidence of commitment to finance** the endorsed ESP/TEP, including both government commitment and development partners' commitment.* 3. ***Availability of critical data and evidence** for data planning, budgeting, managing, monitoring and accountability or alternatively, a strategy to develop capacity to produce and effectively use critical data[30]. The requirement is divided into three sub-components concerning the availability of:* *a) An education sector analysis[31] [32]* *b) Basic financial and education data* *c) A system or mechanisms to monitor learning outcomes (ESPIG, p.11-12)* *Commitments and progress on requirement-related actions will be monitored throughout ESP or TEP implementation by the LEG through joint sector reviews or similar country-led monitoring mechanism…(Operational framework, p.9) – see also 2.8.*

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[28] TOOL: *Fixed Part Requirements Matrix* - The Secretariat provides this tool to guide the assessment and the identification of any existing gaps to meet the funding requirements

[29] GUIDANCE: GPE/IIEP Guidelines for the preparation and appraisal of respectively ESPs and TEPs

[30] If relevant, financing from the ESPIG can be used to implement plans related to the data requirements, such as sector analysis, developing or strengthening of EMIS, or the development of measures to assess learning outcomes (Operational framework, p.23).

[31] GUIDANCE: Methodological guidelines for Education Sector Analysis, volume 1 & 2.

[32] The ESA should include context analysis, including demographic analysis, as well as analysis of existing policies, costs and financing, system performance and system capacity (Operational framework, p. 8)

2.2 Relating to identification of funding modalities for greatest alignment with country systems[33]		
	In summary: • Supports the government in ensuring aid alignment and harmonization with the ESP	**In summary:** • Provides a forum for discussion on alignment and choice of the most appropriate funding modality for the context
[See 2.7 for GA's role regarding alignment]	*Overall, the developing country partner takes the lead in … ensuring alignment with the ESP|TEP, while being strongly supported by the GA and by other development partners of the LEG, <u>in particular the CA</u>.' (ESPIG, p.8)*	*[The LEG provides]…a forum for discussion on alignment and harmonization to ESP (Operational framework, p.20).* *The choice of the funding modality for the ESPIG support should be underpinned by the principles of aid effectiveness, and is made through the LEG based on existing fiduciary risks (ESPIG, p.6)* *'LEG determines the most appropriate way to channel the ESPIG to the education sector, balancing risks with the need to optimize capacity development and country ownership.' (ESPIG, p.15)[34]* *The LEG should have a discussion on the scope of the expected work, use of and/or alignment with country systems, capacity building needs, and which funding modalities are possible within the given country context (ToR GA, p.3)*
2.3 Relating to scoping of work		
	In summary:	**In summary:** • Provides a consultative forum for the government to discuss the overall scope of the work to be funded through the ESPIG

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[33] **Budget support** is the preferred modality where conditions permit to allow for full use of country systems. In countries with an operational **joint financing** mechanism (pooled fund), GPE financing will be expected to co-fund. In other instances, a **project** in support of the ESP/TEP may be the appropriate option where a more aligned modality is not considered to be viable. In the last case, it is encouraged to envisage co-financing mechanism.

[34] Best practice is to include this discussion within the ESP/TEP development process and determine whether the conditions are in place for greater use of country systems and for developing more aligned funding mechanisms (ESPIG, p.15)

		The LEG provides a forum to ensure that this initial step unfolds as part of the broader sector dialogue, and that tasks are completed and decisions are taken in a transparent manner (ESPIG, p.15) *Based on a general discussion within the LEG, the government identifies the overall scope of work to be funded through the ESPIG, in alignment with the ESP/TEP and a mapping of funding needs (ESPIG, p.15)*
2.4 Relating to GA selection[35]		
	In summary: • Supports and facilitates consensus-building and transparency regarding GA selection	**In summary:** • Engages in the process of GA selection and ensures that the decision is being taken in a transparent manner.
	The CA plays an important role in supporting the development of multi-stakeholder consensus during the GA selection process (ToR CA, p.4).	*'[The LEG as a group] engages in processes to apply for GPE funding, including the selection of a grant agent.' (Charter, p.5)* *The selection should take into account the capability of interested agencies or organizations to meet mutually agreed criteria, including the most appropriate implementation modality for providing sector support in the given context, as well as the added value that each interested agency can provide, such as sectoral knowledge and experienced personnel and ability to offer technical resources (TOR GA, p.2)* *'The final selection of the grant agent must be approved by the government and endorsed by the in-country development partners, including civil society representation' (ToR GA, p.10)*
2.5 Relating to program development and ESPIG grant application[36] – including support of PDG[37]		
In summary: • Applies for a PDG if relevant, to ensure a consultations and technical support for program development process	**In summary:** • Facilitates constructive, transparent and inclusive dialogue through the LEG, throughout the application process	**In summary:** • Incorporate the milestones of the program development process into the broader timeline of the ESP/TEP development process

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[35]   GUIDANCE: '*Standard Selection Process for Grant Agents*'

[36]   The application process is supported by the Secretariat through a quality assurance process, providing three milestones: **QAR 1**: Review of requirements for the fixed part and initial program outline

 QAR 1: Review of the draft program & proposal for the variable part; **QAR 3**: Final readiness review.

[37]   The GA can apply for a Program Development Grant (PDG) to cover the costs for developing the ESPIG application. PDG up to $ 200,000 (400,000 in exceptional cases). The purpose is to enable the GA to effectively develop and prepare a program that will support the implementation of the ESP or TEP (PDG p.1). Eligible expenditure include: i) Stakeholder consultations; ii) Analytical work, such as needs and capacity assessments, context-specific risk assessments, gender and fragility analyses; iii) fiduciary assessment or any technical appraisal that can help illustrate implementation readiness and inform program design; iv) Knowledge exchange and dissemination, v) Preliminary designs for infrastructure; vi) Development of implementation manuals, preparation of procurement processes, etc (PDG, p.3)

• Develops the application package under the leadership of the government, and in consultation with the CA and the LEG, especially leading up to the various quality assurance stages (QAR 1-3) • Develops justification for the Variable Part, including selected strategies and indicators.	• Works with the GA to ensure that LEG members have sufficient information to make meaningful contributions • Submits final application package.	• Discuss QAR I recommendations • Discuss QAR 2 recommendations
The GA can apply for a program development grant (PDG) to allow the GA to allocate technical resources for developing a program that meets GPE and grant agent quality standards (PDG, p.1) *The Secretariat encourages grant agents to source domestic or regional expertise as relevant and appropriate in order to foster local or regional capacity development.' (PDG, p.16)* *Program outline/concept note: The GA prepares a written outline for the program to be funded following its own processes, and based on the identified scope of work and timeline agreed within the LEG and synchronized with the ESP/TEP process (ESPIG, p.16);* **[Subject to QAR 1 + Variable Part, see below]** *Taking into consideration the agreed scope of work, technical decisions and the recommendations of QAR I, the GA under the leadership of the government is responsible for developing the application package according to the agreed process' (ESPIG, p.17)* *Draft program document: The GA shares the draft program document with the LEG, and invites the CA and other LEG members (according to the agreed process) to provide feedback on the draft at an appropriate stage aligned with its internal review process (ESPIG, p.17)* *The GA, copying the government, CA, and GPE country lead, should submit the draft ESPIG application package to the Secretariat* **[subject to QAR 2 + Variable Part, see below]** *Final application: Based on the inputs and recommendations provided in the QAR II report, the GA, in close collaboration with the government and in consultation with the LEG, reviews and finalizes the ESPIG application package (ESPIG, p.18)* **[subject to QAR 3 + Variable Part, see below]**	*'The CA plays a key role in facilitating a constructive dialogue throughout the application process' (ESPIG, p.15)'* *'[The CA] ensures that key milestones in the process, go through consultation with the LEG to facilitate partner collaboration, including engagement of civil society organizations, and transparent and consensual program preparation' (ESPIG guidelines, p.8)* *[The CA] works with the GA to ensure that the LEG is updated regularly and has all necessary information to contribute to the ESPIG program development process.' (PDG, p.10)* *The CA is instrumental in ensuring that members have sufficient information to make meaningful inputs (ToR CA, p.4)* *It also works with the GA and the rest of the LEG to facilitate in-country quality assurance tasks and processes as described in the specific grant guidelines…' (ToR CA, p.4)* *The CA submits the final ESPIG application package to the Secretariat* **[Subject to QAR 3]**	*The program developed with support of the PDG is expected to …be based on a consultative process led by the Government in close collaboration with the GA and the CA, and with engagement of the LEG, according to an agreed process (PDG, p.2).* *From the outset, the LEG needs to make a sensible and realistic scoping and assessment to build these arrangements [ESPIG Quality Assurance Reviews] into the broader timeline of the ESP|TEP development process.' (ESPIG, p.11)* *It is expected that the* **QAR I recommendations** *will be discussed within LEG and taken into consideration in the preparation of the draft program document and the draft ESPIG application (ESPIG, p.16)* *It is expected that the* **QAR 2 recommendations** *will be discussed within the LEG and taken into consideration in the finalization of the ESPIG application package to ensure a successful submission (ESPIG, p.18)* *The government should validate the completed application, the development partners should endorse it, as should the GA, before its submission by the CA (ESPGIG)*

2.6 Relating to the variable part justification[38]

In summary:	**In summary:**	**In summary:**

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[38] **GUIDANCE**: Additional country guidance for the development of the Variable Part will be developed, following a request from the GPC, Oct. 2017.

• Develops the justification for the variable part, ideally as part of the ESP/TEP development process, in close collaboration with the government and in consultation with the LEG	• Facilitates the discussion around and validation of the variable part within the LEG on strategies and indicators to select	• Discusses and validates the justification of the variable part as integral part of sector plan development, ensuring its quality and alignment with the ESP
Additionally, if the developing country partner intends to apply for the Variable Part, [the above draft application package from the GA also includes]: *A description of the strategies to access the Variable Part of the MCA, with related actions, indicators, targets and a results chain… (ESPIG, p. 17) –* **subject to QAR 2** *[The GA has the] primary responsibility for negotiating agreement on actions and modalities, and for monitoring results (Operating framework, p.20)* *Based on the inputs and recommendations provided in the QAR 2 report, the GA, in close collaboration with the government and in consultation with the LEG, reviews and finalizes the ESPIG application package (ESPIG, p.18) -* **subject to QAR 3**	*'Under the leadership of the government, the CA facilitates the discussion within the LEG on whether, how and when to apply for the incentives-based Variable Part of the Maximum Country Allocation' (ToR CA, p.5).* *This entails country ownership and consensus building on what indicators to use to best measure transformative strategies to improve equity, efficiency and learning outcomes in basic education, including a results chain with indication of when and how the intended results will be assessed (idem).*	*Selected policies or strategies must be discussed with and validated by the LEG as an integral part of the sector plan development, or alternatively, through the review and revision of a sector plan. In general, targets set through this process should be above and beyond a mere continuation of current trends—a stretch, but achievable, and be integrated within the broader ESP framework (Operational framework, p.12)* *The developing country partner in consultation with the LEG identifies existing or new priority policies and strategies for 1) equity, 2) efficiency and 3) learning outcomes, from which actions and indicators to access the Variable Part will be chosen. Context and capacity will impact the suitability of indicators and payment modalities, and therefore indicators may be process, output, or outcome-related (ESPIG, p.12).* *Process and output level indicators should be accompanied by a robust theory of change to demonstrate how these will lead to the desired outcomes for the sector (ESPIG, p.12)[39]* *It is expected that the QAR 2 recommendations [- including the recommendations regarding the Variable Part -] will be discussed within the LEG and taken into consideration in the finalization of the ESPIG application package to ensure a successful submission (ESPIG, p.18)*
2.7 Relating to program/grant implementation		
In summary: • Provide fiduciary oversight of grant implementation and continued technical support to the government and implementing entities	**In summary:** • Stays informed of progress in implementation and disbursements • Ensures that the LEG is consulted regarding any needed revisions	**In summary:** • Monitors program implementation and reviews requests for program revisions • Brings technical expertise, experience and innovation as relevant to the implementation of the ESP.
[The GA] aligns with country procedures and systems to the greatest extent possible' (ToR GA p.5) *[The GA]…provides fiduciary oversight and continued technical support and corrective action in support of the implementation by the government of the ESPs and programs…. (Charter, p.10)*	*The CA also stays informed of grant implementation and funding commitments and timely and efficient disbursements* *[The CA] ensures that the LEG is consulted with regard to necessary program revisions before the GA submits the request to the Secretariat.* *In addition:*	*Through inclusive, government-led policy and monitoring dialogue mechanisms, [LEG members] provide meaningful and effective support to… the* **implementation** *of the ESP, bringing technical expertise, voice, innovation and experience to address the complex challenges of delivering education (Charter, p.5).*

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[39] Best practice is to integrate the identification of the policies and strategies and related indicators into the ESP/TEP development or revision.

The GA adjusts planned activities and budget when unforeseen circumstances, capacity gaps, or other situations arise that affect implementation (ToR GA, p.5) *The GA is responsible for the use of the grant carried out in accordance with: (i) its own policies and procedures; (ii) the Board's Approval; (iii) the applicable GPE policies and guidelines; and (iv) the Financial Procedures Agreement (ESPIG Policy, p.5)* *The GA disburses the Variable Part in accordance with the terms of the application package as approved by the Board if the GA in consultation with the LEG concludes that (some of the) indicators have been reached (ESPIG Policy, p.6).* *[The GA] follows and implements the ESPIG Policy, which details specific directions for this grant with respect to approval and notification processes, implementation period, reporting requirements, revisions, and amendments.* *GAs will have processes and procedures to reflect mutual agreement between themselves and the developing country partner government to undertake revisions to programs or activities, including required approvals within their agencies. They should follow the processes and procedures in this policy, in addition to their own (ESPIG Policy. P.8)* *[The GA takes] corrective action to ensure effective implementation in accordance with the GA's own oversight policies and procedures including those related to audit, eligible expenditures, employment and supervision of consultants and the procurement of goods and works, and in accordance with GPE policies (ToR, GA p.5)*	*As other in-country development partners and <u>as a regular member of the LEG</u>, it is expected that the CA provides technical and/or financial support to… the education sector plan implementation in line with the CA's comparative advantages and agreements with the government (ToR CA, p.4)*	

2.8 Relating to (grant and sector) monitoring, including Joint Sector Reviews[40]

In summary:	**In summary:**	**In summary:**
• Reports to the LEG on GPE investments at least three times/year. • Provides implementation report to the LEG (and Secretariat) annually • Supports CA in promoting effective JSRs and the government in taking a leading role.	• Supports governments in organizing effective JSR process (preparation, process and follow-up) • Facilitates gathering of feedback and lessons learnt from the LEG on grant implementation	• Contributes to the organization of JSRs to jointly monitor plan implementation and ensure responsive planning. • Monitors the financial commitments made by the Government and partners and data strategies • Monitors needs for remedial actions regarding ESP implementation, continued relevance of ESP or any deviations from the ESP; • Monitors grant implementation and reviews needs for revisions according to established process.
[The GA] reports at least three times per year to the LEG on outputs, outcomes and impact of GPE investments, following	*The CA supports the government in organizing joint sector reviews by promoting an inclusive approach and helping ensure that they are well*	

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[40] <u>GUIDANCE AND TOOLS:</u> Joint Sector Review Guidelines, including tools, are expected to be made available before the end of 2017.

agreed standards and timeline for monitoring and evaluation (ToR GA, p.6). *No later than one year after the approval date, and annually thereafter, the GA will provide to the LEG and the Secretariat as part of their regular implementation report, an update on progress' (ESPIG Policy, p.6)* *[The GA] participates fully and meaningfully in country-led dialogue mechanisms ...This includes supporting the CA in promoting annual joint sector reviews, and supporting the government in taking a leading role and in providing information on progress (TOR GA p.5).* *[The GA] promotes transparency and proactively shares evidence and lessons learned with the LEG …..(Charter, p.10)*	*prepared, organized and followed up so that expected results are achieved and effectively support the joint monitoring of education plans and policies (ToR CA p.3).* *Depending on in-country arrangements, the CA may support the government in preparing and/or distributing the annual sector plan implementation report as a basis for the joint sector review discussions (TOR CA, p.3)* *[The CA] supports [the Variable Part] so that discussion around results are integrated in joint monitoring mechanisms (Operational framework, p.20).* *The CA may also take the lead in or otherwise support the elaboration of a report or Aide Memoire on the joint sector review (TOR CA, p.3)* *'The CA invites members of the LEG to share lessons learnt regarding grant implementation to inform future country processes and strategies to support the government effectively, and in support of the GA in charge of gathering information on lessons learnt from the grants and preparing grant completion and/or progress reports' (ToR for CA, p.6)*	*[The LEG provides a] forum for joint monitoring of ESP and corresponding commitments, including agreement on to adjustments for progress (Operational framework, p.20).* *Through inclusive, government-led policy and monitoring dialogue mechanisms, [LEG members] provide meaningful and effective support to …the **monitoring** of the ESP, bringing technical expertise, voice, innovation and experience to address the complex challenges of delivering education (Charter p.5)* *The LEG as a group…contributes to the organization of a government-led joint sector review or equivalent mechanisms to jointly monitor the implementation of the ESP or TEP (GPE Charter, p.5)* *Progress on data strategies and the implementation of ESPs, as well as financial commitments made by Government and development partners, will normally be monitored by the LEG through the country's joint education sector review or similar country-owned mechanisms for monitoring the implementation of sector plans (Operational Framework, p.9)* *The LEG as a group… contributes to compilation of reports to the Board through the Secretariat on education sector progress and challenges, and on education sector financing from all sources, domestic and external (Charter, p.5)* *In line with the GPE Funding Model, it is expected that these reports [**reports/aide memoires of the joint sector review**] examine causes of major deviations from endorsed plans and commitments - including significant gaps between financing commitments and execution that threaten implementation of the ESP or TEP, or shifts in policy priorities that render the endorsed plan irrelevant or considerably weaken its implementation - and **LEG-recommended remedial actions** (ESPIG Policy, p.6)* *The LEG should examine causes for these deviations to determine whether they undermine the mutual accountability on which the GPE support was agreed. LEG-recommended remedial actions should be integrated in joint sector review reports/aide memoires (Operational framework, p.10)*

III. Enhancement of the core funding model through the FFF – and capacity implications

The Financing and Funding Framework (FFF) seeks to diversify and increase GPE's resources. 'By creating a platform for resource mobilization and deployment that locks into GPE's current operating model, GPE will be better able to make improvements in capacity, data, innovation, and

governance and maximize its impact on education systems' (FFF, *BOD/2017/03 DOC 02,* p.3). The FFF builds on the solid foundation of GPE's current operational model and theory of change, but positions GPE to play a broader role – drawing on the strengths of a growing partnership to mobilize more and better financing, ideas and commitment in support of educational achievement (FFF-*BOD/2017/03 DOC 03, p.2).*

The following briefly maps selected elements from the FFF that are directly relevant to the capacity review, as they indicate anticipated capacity implications for the enhancements of the core funding model[41] in general and in relation to the key actors.

| TABLE III.a
Needs in capacity strengthening in relation to the enhancements of the core funding model
General: *At country-level, the FFF's more diverse array of financing sources and more differentiated funding mechanisms imply both changes and enhancements to current processes…Therefore, the implementation of the FFF will require increased capacity, expertise, planning, coordination, and consultation across the Partnership – including for DCPs, LEGs, and Grant Agents. **On the funding side**, enhancements to the core ESPIG funding mechanism will have some capacity implications on DCPs, GAs, CAs, and LEGs to comply with the strengthened provisions. (FFF-BOD/2017/03 DOC 03, p.16);*   *Increased capacity and expertise to comply with enhancements to the ESPIG, notably around DRM, Results Based Funding and Data requirements - To mitigate capacity constraints, the FFF also calls for a review of capacity building mechanisms to identify ways that GPE can more effectively support in-country capacity to deliver on Education Sector Plans and ESPIGs (FFF-BOD/2017/03 DOC 03, Annex 2, p.11)*   ***On the financing side**, participation in new financing approaches will require additional time and effort from DCPs – as well as an understanding of the tools being deployed. In particular, the proposal to adopt an "education sector investment case" approach increases capacity requirements for the Secretariat, DCPs, and potentially the LEG – but offers benefits in return (FFF-BOD/2017/03 DOC 03, p.16)*   *[On ESIC] The investment case approach aims to strengthen the finance and investment aspects of education sector planning (e.g., engaging Ministries of Finance early on in the process). This part of the approach applies to all countries developing ESPs, as proposed enhancements will become a standardized part of the GPE country-level processes (FFF-BOD/2017/03 DOC 03, Annex 1, p.51).*   *The Secretariat may consider rolling out this approach (ESIC) in a few countries in 2018 to help build an evidence base before scaling up. Regardless, GPE should aim to support partners with the capacity development and technical assistance required to access the FFF offerings (FFF-BOD/2017/03 DOC 03, p.17)*   *Successful execution of the investment case approach will require increased capacity for the GPE Secretariat and other actors across the Partnership – including DCPs, Coordinating Agencies, Grant Agents, and LEGs more broadly, including civil society (FFF-BOD/2017/03 DOC 03, Annex 1, p.45).*   *'For many countries, additional capacity building and technical assistance related to resource mobilization will be needed; one key need is equipping the Ministry of Education with tools to engage effectively with the Ministry of Finance to present a strong case for investment. Best practices may emerge from a more standardized way of organizing investments in education. These efforts could link to the broader KIX funding mechanism (FFF-BOD/2017/03 DOC 03, Annex 1, p.46)*   [On KIX] Increased capacity and expertise required to properly vet and provide input to proposals for new reinforcement funding mechanisms – To mitigate capacity constraints, GPE must ensure that DCP involvement in knowledge and innovation exchange activities is well-coordinated and complements existing processes and activities (e.g. supports sector plan development and implementation and does not distract from it) *(FFF-BOD/2017/03 DOC 03, Annex 2, p.11)*

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[41] i.e. through enhancement of the ESPIG (*DRM, Results Based Funding and Data requirements) and through the more differentiated funding mechanisms (*ESIC, multiplier, KIX, ASA).

TABLE III.b:		
GA	**CA**	**LEG**
'GAs are a key lever to providing in-country technical advisory and capacity building – but there is limited evidence on efficacy of their efforts' (FFF-BOD/2017/03 DOC 03, Annex 1, p.14)	*[On ESIC] CA may require additional training and/or support to participate in this approach (requires further consideration via ongoing design work throughout 2017; the ongoing review of the capacity needs of Grant Agents, LEGs, and Coordinating Agencies may help guide this design work) (FFF-BOD/2017/03 DOC 03, Annex 1, p.46)*	*'[On ESIC] Further work to enhance the capacity of LEGs to engage in discussions on public financing and budgeting will be required. In some cases, more could be done to bring key partners that work in these areas into the education sector dialogue.' (FFF-BOD/2017/03 DOC 03, Annex 1, p.47).*
[On ESIC] GAs supervising ESPDGs will need to be aware of and understand the "investment case" approach given it is part of and builds education sector planning; training and updated information on the approach will be required (FFF-BOD/2017/03 DOC 03, Annex 1, p.46)	*Increased DCP capacity-building required for the enhancements to the core funding model and for the new reinforcement mechanisms that require engagement with national governments – To mitigate, CAs with GA(s) – if there are multiple – should work closely together to reduce duplication, ensure strong synergies, and maximize linkages across all GPE funding mechanisms accessed by the DCP' (FFF -BOD/2017/03 DOC 03, Annex 2, p.11)*	*[On ESIC] Consideration of the establishment of funding mechanisms such as pooled funds that ease the inflow of additional donor funds through shared risks and fiduciary management would also require particular negotiation skills among key LEG members, which are not always present (FFF-BOD/2017/03 DOC 03, Annex 1, p.47).*
Greater upfront planning and coordination between GPE Secretariat and GAs required to systematically pursue co-financing arrangements. This could increase upfront investment costs during the design phase. However, co-financing could reduce transaction costs during implementation (FFF-BOD/2017/03 DOC 03, Annex 2, p.12)	*Improved LEG & development partner coordination and planning needed to crowd in financial support for the education sector investment case. The CA could also play a large role in this process (FFF -BOD/2017/03 DOC 03, Annex 2, p.12)*	*Monitoring financing commitments: GPE will strengthen and build on its monitoring of financing commitments via joint sector reviews, which should include a thorough assessment of domestic and external financing commitments. Access to strong financial data is a key part of this (FFF-BOD/2017/03 DOC 03, Annex 1, p.47).*
Increased coordination between GA and other financiers making commitments to the investment case; however, the investment case process aims to crowd in resources around the ESP; it does not bring more financing to the GPE ESPIG managed by the GA. Nonetheless, GAs for ESPDGs should be aware of the approach and what it seeks to achieve (FFF -BOD/2017/03 DOC 03, Annex 2, p.12)		*Given the focus on country leadership, the investment case approach will require a country-level platform to drive efforts. The goal is to build on existing country-level structures, in particular the LEG where possible, to avoid a one-size-fits-all approach (FFF-BOD/2017/03 DOC 03, Annex 1, p.47).*

FOR EASE OF REFERENCE: Board language in the FFF in direct relation to the CD exercise regrouped – Expectations

Background & recommendations:

Capacity Development - The Opportunity: *The need for strengthened national capacity to implement education plans and policies. At the national level, GPE invests in capacity development through its ESPDG grant, program development grants, 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. At a global level, GPE makes capacity development investments through its Global and Regional Activities and other efforts to share knowledge and exchange good practices (FFF -BOD/2017/03 DOC 03, Annex 1, p.13).*

With regard to Education Systems Development and Strengthening: Emphasizes the criticality of successfully implementing the funding model through urgent actions aimed at:…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 LEGS to deliver on GPE 2020 (BOD/2017/03 DOC 03, p.6)

Recommendations from SFWG *- The Secretariat and Grants and Performance committee should: As requested by the Board, <u>commission the examination of the efficiency and effectiveness of Grant Agents, Coordinating Agencies, and LEGS to deliver on GPE2020.</u> This study should include an examination of their respective roles in providing capacity building and technical advice, and identify options to clarify or adjust these roles including provision of additional support as needed [up to December]…..Based on these findings, make improvements to the provision of capacity building and technical assistance throughout the model [by June 2018] - (FFF-BOD/2017/03 DOC 03, Annex 1, p.14; and Annex 2 (roadmap), p. 23)*

<u>Implementation capacity for the FFF:</u>

Implementing the new FFF will have additional capacity requirements at country level, making the lack of insight into how well current efforts perform even more of an issue (FFF -BOD/2017/03 DOC 03, Annex 1, p.14)…… <u>The work to review the efficiency and effectiveness of the in-country model and partners</u> (grant agents, coordinating agencies, and LEGs) will be an important first step to identifying current technical assistance and capacity support provided, and potential additional needs (FFF-BOD/2017/03 DOC 03, p.17)

Regardless of whether new components of the FFF are optional, <u>GPE should aim to support partners with the capacity development and technical assistance required to access these offerings</u>. Ultimately, the new <u>funding mechanisms and financing approaches</u> proposed are intended to enhance impact in line with the goals laid out by GPE 2020. Consequently, as many interested DCPs as possible should be able to benefit from these FFF approaches. <u>This suggests a need to reflect on how GPE currently supports capacity development and technical assistance and whether a more coordinated approach is required. This will be a focus for further exploration and study in 2017</u> (FFF-BOD/2017/03 DOC 03, p.17).

Increased capacity and expertise to comply with enhancements to the ESPIG, notably around DRM, Results Based Funding and Data requirements - To mitigate capacity constraints, the <u>FFF also calls for a review of capacity building mechanisms</u> to identify ways that GPE can more effectively support in-country capacity to deliver on Education Sector Plans and ESPIGs (FFF-BOD/2017/03 DOC 03, Annex 2, p.11)

*GPE will also need to consider whether implementation of the FFF requires additional policy advice and capacity development support for countries – and if so, whether **GAs** are currently well-positioned to meet these needs or whether additional measures are necessary. The roadmap in Section 5 accounts for <u>thorough assessment of these capacity questions</u> (FFF-BOD/2017/03 DOC 03, Annex 2, p.6)*

*[On ESIC] **CAs** may require additional training and/or support to participate in this approach (requires further consideration via ongoing design work throughout 2017); <u>the ongoing review of the capacity needs of GAs, LEGs, and CAs may help guide this design work</u>) (FFF-BOD/2017/03 DOC 03, Annex 1, p.46)*

For reference. Key features of FFF – general (*BOD/2017/03 DOC 03, p.17*)

Planning for investment in support of the Education Sector Plan (ESP) – GPE will expand its role to act as a facilitator of more and better-structured financing in support of education outcomes. This will include working with countries to build an 'Education Sector Investment Case' and bringing investors together to secure commitments. The full range of financing capabilities and assets that exist across the Partnership will be utilized. *[Education Sector Investment Case; Leverage Fund]*

Crowding financing into the education sector – In addition to more coordinated financing the GPE will increase the focus on co-financing and additionality, more actively promoting use of grants to leverage financing from other sources – MDBs, development partners, and private investment – and identifying and removing obstacles to more joined-up financing approaches with partners.

Strengthened support for domestic resource mobilization – A clear process for monitoring domestic resource commitments through the core operational model will be complemented by support for advocacy for more and better financing at the global and country level. Through an increased focus on leveraging and co-financing– and support for Education Sector Investment Cases – GPE will strengthen engagement with Ministries of Finance and its focus on resourcing of the Education Sector Plan.

Enhancements to the core operational model – Strengthening education systems remains at the center of GPE's work and continuous improvement of the model will better positions GPE to contribute to results and improve the impact of its support on the wider education sector. These features are a combination of work-streams already underway as well as some specific recommendations emerging from the SFWG's discussions. *[ESPIGs]*

Development and sharing of global public goods – The step-change needed to deliver quality education for all requires innovative approaches and sharing and application of knowledge tools. Recognizing the significant gap in financing for public goods in the sector, GPE will harvest and share the experience from across the partnership and work with new partners to find innovative approaches to overcome key policy challenges when needed. *[KIX]*

Promoting transparency, accountability and social mobilization – Increased support for education will also be critical to achieving transformative change. GPE will support partners to promote the political will needed for good policies, sound practices, inclusive approaches, and more and better financing, at both the global and country level. [ASA]

Annex K   Mapping of the Secretariat

Report by GPE Secretariat

27 March 2018

Mapping of the GPE Secretariat roles and responsibilities

|Note to the reader

Why this mapping

The mapping was prepared in the context of the Effective and Efficient Partnership study, for the purpose of consultation with partners on the roles and responsibilities of the Secretariat. The Grants and Performance Committee, considering the Secretariat as a key actor in the Partnership architecture, requested to include the Secretariat within the scope of analysis to ensure that the review of the country operational model would be sufficiently *holistic* and yield the information needed to identify inefficiencies and capacity gaps, and develop appropriate remedial actions (Minutes, GPC, 21 Feb).

How it was developed and what it addresses

Using the GPE Charter[42], the Secretariat developed the mapping internally to provide a basis for the study's assessment of the role of the Secretariat. It seeks to respond to three overall questions: What is the role of the Secretariat? How much of the Secretariat staff time and resources is focused on country facing work? And what changes might be needed?

To do so, the following first outlines in a narrative i) how the partnership has evolved over the years including the drivers for growth to explain why the Secretariat's functions and tasks have grown; and ii) how the Secretariat's role is likely to continue to evolve based on the recommendations from Dalberg and Boxer (Section I). It then outlines in a matrix what the Secretariat does to map out how it currently actions its assigned roles and responsibilities (Section II). This is not an exhaustive list of activities but is designed to facilitate a broader understanding of how the Secretariat operates in practice, in order to allow feedback to be provided as part of the ongoing study.

How it will be used

Oxford Policy Management (OPM), conducting the study, will use the mapping, accompanied by a series of questions, to obtain written comments from partners about their impressions of the efficacy and efficiency of the Secretariat's role in country facing processes. OPM will consult partners through the Grants and Performance Committee members who will reach out to their

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[42] The roles in GPE Charter were elaborated further through the functions that resulted from the 2014 Alison Evans study.

respective constituencies and then send compiled feedback directly to OPM within a timeframe of two weeks. OPM will analyze the written submissions and include these findings in the study. The feedback on the Secretariat collected based on this mapping will complement data collected through individual interviews with DCPs, GA's, CA's, and through web-based consultation with CSOs and other development partners.

Preliminary study findings will be presented to DCPs at DCP meeting in May (9-11), and to the Grants and Performance Committee in mid-May (audio-call), while the final report will be presented to the Board in June.

I. How the Secretariat has evolved and what the Secretariat is planning to further improve

What is the role of the Secretariat and where is it defined?

[The roles and responsibilities of the Secretariat are set out in the GPE Charter approved by the GPE Board - see extracts from GPE Charter in section II. These are unpacked through a listing of key tasks that the Secretariat performs to fulfil this role - see green text in section II] – see Section II.

How has the role of the Secretariat evolved over time?

The Secretariat has grown as the ambition and scale of the Partnership has grown. Among the key drivers of growth in the size and responsibilities of the Secretariat include:

1. Number of Developing Country Partners has increased from 43 in 2011 to 67 in 2018, and could potentially double from 2011 to 89 within the next 3 years.

2. Volume of disbursements has increased from an average of $300m per year in 2013 to $500m per year in 2017 and will go to an average of at least $750 million per year over next 3 years.

3. Governance arrangements and requirements have increased significantly with one Board and one Committee to now one Board and five very active Committees that have significant demands and expectations of the Secretariat, along with the need to support a 67 Developing Country member constituency to actively engage in GPE's governance processes.

4. Number of Grant Agents has increased from just the World Bank and UNICEF to now include UNESCO, Asian Dev. Bank, AFD, DFID, SIDA, BTC, SDC, Save the Children, Concern, and GCE, and the Board has expressed a desire for further diversification. This has resulted in the need for development of minimum and more standardized requirements, accreditation processes, and additional due diligence.

5. Development and implementation of a results based funding model with requirements related to quality sector plans, domestic financing, data, and results based financing linked to improvements in equity, efficiency, and learning which requires a more intensive process than previously.

6. Operational Model reforms requested by the Board to strengthen quality assurance, M&E, risk management, and fiduciary oversight.

7. Development of an ambitious strategic plan and results framework with 37 indicators has significant demands on staff time for collecting data, analyzing, and reporting, while supporting countries to achieve targets.

8. Development of GPE's Gender Strategy and M&E Strategy (approved June 2017).

9. Development of an ambitious financing and funding framework, where in addition to the funding model, the Secretariat has developed and is introducing a knowledge and innovation exchange mechanism (KIX), Advocacy & Social Accountability mechanism (ASA), and the GPE Multiplier to incentivize additional funding through co-financing of sector plan implementation. This is supported by policies and strategies designed to increase investment from the private sector.

10. Increased focus on global policy leadership to increase financing for education, with larger role in mobilizing both external and domestic financing through replenishment campaigns and advocacy and increasing resource mobilization targets for the GPE fund.

The Secretariat has grown from 64 positions in 2014 to 108 as of 2018. That growth has been predominantly oriented towards country facing work (i.e. country advisory, grant management & monitoring, quality assurance, technical advisory, and knowledge exchange, and measuring impact) with the GPE Secretariat now spending approximately **42%** of its time and budget on country facing work compared to just **28%** back in 2015.

What is the Secretariat planning to do to improve its effectiveness and support for country facing activities?

As the Secretariat prepares to support the needs of the Partnership over the next three years, it has recognized it must further adapt the country support model. The results report helps to identify the areas where GPE must make progress, including its support to countries in areas such as improving the quality of education sector plans and mutual accountability for results in sector plans; strengthening learning assessment systems; extending early childhood education; increasing support to countries falling behind on gender equality; and a greater focus on lowering dropout and repetition rates. The Secretariat also recognizes the importance of convening partners in efforts to better ensure alignment with national systems for the effective and efficient implementation of education sector plans with due attention to strengthening these systems where needed.

Currently, the Country Support team's ratio of countries per senior education specialists/country lead is about 5:1, whereas the ratio for education specialists supporting them is around 17:1. The Education Policy and Planning and Learning team works on guidance, thematic areas, quality assurance, results reporting and evaluations, and the development of Knowledge and Innovation Exchange (KIX) and Advocacy and Social Accountability (ASA) mechanism. It provides the education policy evidence for GPE's global advocacy and also provides support and evidence to inform GPE's global level strategies and decisions and to support country level partners and activities.

Among the key changes the Secretariat is making or plans to make building on the findings of external reviews is to better adapt its country support as follows (subject to sufficient resources when specified):

- Introducing a country engagement approach to strategically manage relationships, prioritize resources, and to leverage the strengths of the partnership by ensuring a fully integrated approach to support each country across the different functions of the Secretariat.

- Re-organizing the Country Support Team into sub-teams with program managers overseeing allocation of education specialist and monitoring staff to a defined portfolio of countries to allow consistent support to senior education specialists working on direct country advisory work, strengthen the Secretariat's ability to engage with key country level partners, and ensure more efficient and effective interfaces with other Secretariat teams including for compilation of data and information for the results framework, operational oversight, etc.

- Ensuring sufficient dedicated education policy specialists to provide country support based on agreed priorities translated into country support plans (subject to sufficient resources).

- Ensuring the rollout of new initiatives or changes in policy have appropriate project management capability combined with sufficient support for change management activities within the Secretariat and across the broader partnership, especially at country level.

- Reducing the number of countries per country lead to allow for increased support to strengthen systems, engage with partners, and support the rollout of new initiatives and areas of focus required to achieve GPE2020 results (subject to sufficient resources).

- Strengthening capacity to ensure successful implementation of Knowledge and Innovation Exchange (KIX) and the Advocacy and Social Accountability (ASA) mechanisms.

- Strengthening capacity to manage the substantial uplift in evaluation activity and data analysis required to use the Results Report to drive planning and prioritization.

- Adaptation and streamlining of the Quality Assurance function and its interface with the Country Support team to manage an expected increase in workload linked to volume of allocations and new mechanisms over 2018-2020 and adjusting quality assurance processes based on risk to reduce transaction costs.

- Streamlining processes and documentation requirements where risks are low and their value added is not commensurate with level of effort required.

- Strengthening work planning and prioritization using the results report, risk framework, country pipeline, and country management approach as key inputs.

- Increasing capacity in knowledge management for better information management and dissemination to ensure a more efficient and effective Secretariat.

II. Mapping - How the Secretariat actions its roles and responsibilities

The activities listed in green text have been gathered within Secretariat and is the Secretariat's own elaboration of roles and responsibilities (i.e. not from any written documents). It reflects thus what Secretariat staff is currently doing (de facto), mapped against the _**GPE Charter in black text**_, rather than how the Secretariat sees its role as requiring (de jure) or aspirational.

The matrix captures activities across the Secretariat, covering both activities at global and country levels, as this is deemed relevant to provide a comprehensive view of the Secretariat's activities, although the study's primary focus is the country operational model and Secretariat's support to countries and interactions with country-level actors.

Text in GPE Charter	Secretariat Activities
**Roles and Responsibilities** _**4.4.4 The Secretariat, led by the Chief Executive Officer, has the following roles and responsibilities:**_	
a) _**Providing support to the partnership, the chair, the Board, Board committees, working groups and task teams to help them fulfill their roles and responsibilities, including through the support to the developing country partners constituencies, and maintain progress toward the strategic objectives of the Global Partnership for Education and the Sustainable Development Goal 4, in particular by:**_	
**Providing advocacy for global education.**	• Through GPE replenishment campaigns and financing conferences ($110 billion in domestic financing pledges and an initial $2.3 billion for GPE Fund). • Through quality communications, both print and digital (website/social media presence) and media relations.

	- Through participation in major global events and technical forums. - Through engagement with key stakeholders, including influential individuals and advocacy partners. - Through the design and implementation support of a new Advocacy and Social Accountability (ASA) mechanism.
Providing oversight of the efficient and effective expenditure of GPE resources with appropriate safeguards and accountability and reporting thereon.	- Through developing minimum standards for Grant Agents and carrying out accreditation against those standards. - By reviewing audit reports and implementation progress reports and following up with Grant Agents to verify all significant issues have been satisfactorily addressed. - By ensuring compliance with GPE's misuse of funds policy, advising grant agents on reporting processes and requirements, and coordinating communications to the Board, and following up to ensure successful resolution of any identified cases. - By developing a more formalized approach to the consideration of value for money. - By complying with all applicable policies with respect to the use of funds entrusted directly to the Secretariat and reporting to the Finance and Risk Committee and Board. - By developing for Committee and Board approval, an eligibility and allocation framework, and regularly reporting on the availability of funds for allocation.
Providing monitoring of the results at the country and global levels, in line with GPE strategies, objectives and policies.	- Through the development of a Results Framework for GPE's Strategic Plan 2020. - Through compilation and processing of data and development of an annual *results report* against that framework. - Through compilation of grant data and development of an annual *portfolio review report* on the status of all GPE grants. - Through the development and implementation of a Multi-Year *Monitoring & Evaluation strategy* with significant numbers of summative and formative evaluations, including many country level evaluations.

		• Through regular missions to developing country partners and close engagement with Coordinating Agencies and Grant Agents.
		• Through active participation in joint sector reviews.
		• *(See also point vi below).*
iv.	*Providing quality assurance review (QAR) of grant applications.*	• **QAR I (in-country mission by the Secretariat)** - Review of the Grant Agent selection process; identified scope of work described in the program outline, developed by the government and the Grant Agent in consultation with the LEG; and the government's plan for meeting the GPE funding model requirements for the fixed part of GPE funding. Preparation of review of the requirements by the GPC to give early feedback to countries on the path to success for meeting the requirements.
		• **QAR II (document-based review)** - Review of the draft program document, including the program design, budget, monitoring and evaluation; results framework; and fiduciary arrangements. Proposed strategies, indicators and disbursement and verification mechanisms for meeting the requirements of the variable part of an ESPIG are also assessed.
		• **QAR III (document-based review)** - Final review of the program document and the application form before submission to GPE's Grants and Performance Committee. QAR III assesses the overall application including the funding model requirements and program quality. The Grants and Performance Committee makes a recommendation to the Board. If the application is approved, the Secretariat advises the government, grant agent and coordinating agency of the Board's allocation decision, the expected time frame for signing a grant agreement, and the start date of program implementation based on the application and recommendation.
		• The Secretariat, through a cross-Secretariat committee, also reviews small grant applications – Education Sector Plan Development Grant (ESPDG) and Program Development Grant (PDG) - for which it has delegated authority from the Board to approve, along with applications to restructure or extend existing programs.
		• By approving revisions to ESPIGs delegated to the Secretariat, and quality assuring revision requests for

		consideration by the Grants and Performance Committee in accordance with the ESPIG Policy.
v.	*Providing oversight of the implementation of the risk management policy and operational risk framework.*	• By identifying, assessing, mitigating, monitoring, and reporting on risks at the corporate level on a semi-annual basis • Through the development and implementation of an operational risk framework that reviews risks on a country by country, and grant by grant basis to help guide the internal prioritization of Secretariat resources while avoiding duplication with Grant Agents own risk management processes.
vi.	*Monitoring and evaluating GPE-funded grants*	• Through regular country missions and dialogue with the Coordinating Agency, LEG and other partners. • Through ongoing close cooperation and dialogue with Grant Agents. • Through reviews and follow up on all grant progress reports and completion reports. • Through country level evaluations in M&E Strategy (see iii above). • Through the annual portfolio review (see iii above). • Through the annual GPE results report (see iii above).
b)	*Leading fundraising efforts for the GPE Fund, and supporting increases to domestic and external funding for education*	
		• Through GPE replenishment campaigns and financing conferences ($110 billion in domestic financing pledges and an initial $2.3 billion for GPE Fund) • Through continuous engagement with existing and potential donor countries to advocate for increased financing to GPE and for education. • Through engagement with Developing Country Partner governments through GPE's inclusive governance processes, through global and regional events, to country visits, through discussions on the development of education sector plans, joint sector reviews, and through discussions on meeting the GPE funding model requirements related to domestic financing commitments.

	• Through efforts to mobilize the collective strength of the partnership to advocate for increased education financing from all sources.
	• Through efforts to ensure that the GPE brand continues to develop.
	• By maintaining a strong website, and online media presence.
	• Through the development and dissemination of communications products highlighting the work of GPE.
c) Working with all partners to promote effective communication of education data and results reporting at the global level and to the media.	
	• Through dissemination of GPE's results report on the website and to partners.
	• Through conducting secondary analysis of challenges and issues raised in the results report and publishing these for use by the partnership.
	• Through various digital and printed communications products.
	• By maintaining a strong website, and online media presence.
	• Through participation in major global events and technical forums.
	• Through implementation support to civil society through the civil society education fund, and under the newly designed advocacy and social accountability mechanism.
	• Through collaborating on data with key organizations such as UNESCO Institute of Statistics.
d) Providing support to the LEG and coordinating agencies to strengthen the in-country process, in particular in the following ways:	
i. Taking the lead in collecting information on the country processes leading to ESP endorsement, and sharing this with other GPE partners.	• Through engagement and guidance on i) a credible, endorsed education sector plan or transitional plan, ii) commitment of governance and partners to finance the plan; and iii) availability of critical data, or a strategy to develop capacity to produce critical data, and summarizing results of this dialogue at the ESPIG QAR III phase to facilitate GPC and Board decisions.
	• Through regular communications with partners and sharing Results report data, evaluations, case

	studies/good practices including through the Results Report and Portfolio Review
ii. Participating in and providing quality support to the planning process and monitoring results through joint sector reviews.	• Through disseminating and advising on application of the Education Sector Plan guidelines developed by GPE in conjunction with UNESCO and the International Institute for Educational Planning. • Through support to countries to navigate the process to apply for an Education Sector Plan Development Grant. Through the development and dissemination of Independent Appraisal guidelines for education sector plans. • Through support to policy dialogue through the LEG during the planning process, including discussion of independent assessment results prior to its finalization and endorsement. • Through the development and dissemination of evidence based guidance on gender responsive education sector plans. • Through participation in joint sector reviews and development of evidence-based guidance and practical tools to support and monitor joint sector review effectiveness.
iii. Promoting and supporting LEG processes that include all categories of GPE partners.	• Through participation in LEG meetings during in-country missions. • Through close engagement with coordinating agencies. • Through discussions with members of the LEG. • Through promoting the participation of civil society and teacher representatives in the LEG. • Through the development of guidance for LEGs including effectiveness principles, practical guidance and tools. • Through collecting information on JSRs for the Results Report including information on the inclusion and engagement of different categories of stakeholders.
e) Promoting and supporting effective exchange of knowledge and good practice across the partnership.	
	• Through facilitating the design and implementation of the knowledge and innovation exchange (KIX) mechanism.

	• Through support to the implementation of specific thematic initiatives under the KIX mechanism (Assessment for Learning, Better Early Learning Developments at Scale, and Gender Responsive Education Sector Planning).
	• Through organizing and facilitating opportunities for south-south learning through semi-annual developing country partners meetings, and various other workshops and exchange opportunities between countries.
	• Through the development and dissemination of various tools, guidelines, and publications.
f) Collecting, monitoring and sharing among partner global and country-level information on education financing.	
	• Through compilation of domestic finance data at the time of ESPIG requests in fulfilment of the funding model
	• Through the preparation and dissemination of GPE's annual results report and secondary analysis of domestic financing data in collaboration with partners.
	• Through implementation support through the civil society education fund for monitoring of domestic financing.
	• Through the publication of pledges on domestic financing made by GPE partner countries through GPE's financing conference.
g) Providing support to the Board and its committees in:	
i. Helping coordinate the efforts of GPE to address issues and priorities related to policy, data, capacity and finance.	• Through the development of policies and evidence based policy research for consideration and recommendation by the Strategy and Impact Committee and adoption by the Board, such as the Gender Equality Policy and Foundations Engagement strategy.
ii. Facilitating the sharing of lessons learned and data collected from developing country partners within GPE.	• Through the implementation of the Monitoring and Evaluation Strategy including annual results reporting and country/thematic evaluations and regular discussion by the relevant committees.
iii. Exercising other tasks as required to carry out the purposes of the Global Partnership for Education as determined by the Board.	• On an annual basis, the GPE Secretariat prepares close to 140 papers or presentations to the GPE Board and/or Committees in order to fulfill the tasks set out by the Board

Annex L   Feedback from DCPs, May 2018

These notes were taken from feedback given in three breakout sessions which followed a presentation of the draft Effective and Efficient Partnerships report to the DCP Constituency Meeting on 10 May 2018 in Maputo. The objective of the breakout sessions was to seek views on whether results presented rang true to DCP participants, and to give further opportunity for DCPs to input views on the main themes. Groups were facilitated by OPM education specialists, without Secretariat presence, to enable free and frank discussion.

L.1   Roles and Responsibilities

- Roles and responsibilities need harmonisation across countries, with enough flexibility for national ownership and contextualisation. This needs to be better addressed in GPE guidance documents.
- Partnership needs to be emphasised, as DCPs often feel that they are not working alongside the GA and the Secretariat with equal status.

L.1.1 GA

- Roles need to be re-emphasised and defined, and the Secretariat should oversee their work.
- DCPs feel ill-equipped to hold the GA accountable for operational and fiduciary activities.
- To strengthen mutual accountability, the francophone African countries strongly suggested that the GPE start by overseeing the GA using an operational and fiduciary framework and that DCPs should be able to see the results of these "audits".
- Diversification of potential GA candidates is limited in some countries. Also, DCPs also noted that DPs present themselves directly as candidates, creating some tensions in donor-DCP relations. DCPs feel that they could benefit from the introduction of GA candidates by the CL, who could encourage candidate neutrality and a greater selection of candidates.
- Possible confusion of whether an agency needs to belong to the LEG to be a GA candidate.
- GAs tend to follow their organisations' guidelines rather than those of the GPE.

L.1.2 CA

- Roles need to be re-emphasised and defined, in some cases CAs are seen as very inactive.
- Some felt CAs do not provide DCPs with enough support in complex political situations. To ensure continuity during political changes, the DCPs would expect

the CA to maintain the course of the ESP, when it is more politically delicate for the MOE representatives to do so.

- In some countries, the CA is also the donor leader ("chef de fil") and this can cause some confusion, especially as to their role within LEGs.

L.1.3 LEGs

- The insufficient representation and participation of civil society in the LEGs is an issue in many countries.
- There is confusion about whether the LEG should be a GPE process mechanism only, or a sector-wide platform.
- GA applicants are expected to be a member of the LEG, but some donor partners choose to not belong to the LEG, when viewed as a GPE-only mechanism.
- LEGs appear weak when there is a dominant GA or CA.

L.1.4 Secretariat

- CLs should be more supportive and present in-country after the ESP planning process.
- CLs are not always well-versed in the detail of GPE grants (e.g. variable part) and partnership environment (some DCPs feel they are being policed rather than supported).
- There is a need for clear ToR for CLs, including presence and responsiveness of CL to DCPs' queries and urgent matters.
- Many DCPs felt CLs had a key role in explaining the GPE model and processes to government bodies, starting from new DCP focal points but also including the Ministry of Finance and Planning Commissions, in support of the MOE.

L.1.5 The role of DCPs

- The Africa 1 and 3 constituencies discussed the importance of DCP leadership for setting their expectations of the other key actors' responsibilities and performance, and monitoring this.
- The position of the DCP focal point within the MOE is important for how effective the DCP can be at ensuring government leadership and commitment to GPE-supported processes.
- The CL should orient new DCP focal points in their role but also the roles of the other key actors.

L.2 Capacity development

- Clarity wanted around the target for capacity development: MOE staff or teachers/school leaders/administrators/inspectors? National and sub-national levels?
- Capacity development would the benefit entire sector process (planning, implementation and monitoring), not just GPE-related activities.

- An assessment of national capacity development needs would help provide better structure and monitoring of the GA's responsibilities with regards to capacity development and implementation of capacity development activities.
- The objective of the GPE should not be permanency, but the ability to give countries their own wings with capacity development. The GA should not be needed as the DCP should be able to gain the ability to manage its own grant. On the specific process of joint sector reviews (JSRs), some DCPs felt that the roles of each party needed more guidance to be able to conduct the JSR effectively.

Annex M   Recommendations

M.1 English Version

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Overview

This report was shared with the Board and discussed at the Board meeting on 13 June 2018. The report and presentation included OPM's recommendations which have been moved to this annex to differentiate them from the Board's own recommendations. OPM's recommendations are grouped into four themes:

(i)   Provide additional guidance and detail in various ToR. This includes providing different modalities of guidance in addition to the written guidelines and sets of ToR, developing a public set of ToR for the CLs, and providing guidance for LEG effectiveness.

(ii) Strengthen mutual accountability. This includes operationalising mutual accountability through clearer responsibilities and monitoring frameworks, increasing transparency around GAs, and continuously reinforcing DCPs at the heart of the Partnership.

(iii) Differentiate support from the Secretariat. This includes developing a mechanism to scale up or down the support from CLs depending on country needs, recognising the (differing) resource needs of CAs, continuing to streamline GPE processes, and strengthening the processes and tailoring for FCAS contexts.

(iv) Create a strategy for capacity development. This would involve having a clear definition of what is meant by capacity development, and the responsibilities of key actors in the country-level model, as well as in the wider context of the Partnership.

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These recommendations draw on our analysis of the evidence, including the suggestions made by respondents.

The starting point for our recommendations is the finding that there is no need for a systemic change to the model. Rather, while the model is broadly considered to work on paper, there are clearly challenges of key actors not being familiar with the guidance, or having variable interpretations of the model. Thus, the recommendations that follow do not imply radical changes but rather relatively minor tweaks to how the model is operationalised in practice. Some of these recommendations may have implications for resources for key actors, including the Secretariat, or may imply more optional processes (and some mandatory processes). The study team were not given specifications for our recommendations around resource or process implications, so clearly further discussion by the Board will be needed to determine appropriate responses.

We group our recommendations into four broad themes. Within the first three of these there are more specific sub-recommendations. We have further labelled the sub-recommendations under two categories. Category 1 recommendations involve

reinforcing current operations, continuation of current workstreams (which might at a later point lead to decisions around larger changes), and do not require changes to responsibilities or accountability relationships. Category 2 recommendations require more discussion by the Board given their more systemic implications for resources (for the Secretariat and other key actors) and accountability relationships.

Recommendation 1: Provide additional guidance and detail in various ToR

There are some specific areas of ambiguity where greater detail in public ToR and guidelines would be helpful. This guidance or advice should reflect the principles of country ownership and flexibility, and the material would have to be sensitive to local adaptations. Specific areas where greater guidance or detail could be provided include:

- Clear identification of an individual responsible for CA functions within the CA organisation. DCPs prefer when it is clear who they are engaging with. However, all actors need to be mindful of managing staff turnover and the risks that come with an individual in the role.
- Greater guidance needs to be provided on the variable part, in particular the design and monitoring of indicators, and how responsibilities for this are allocated. To the extent that these responsibilities are already in available guidelines, there still seems to be confusion. The existing workstream on the variable part includes developing operational guidance to clarify variable part processes, including justification of strategies and indicators. This work, along with actions to develop knowledge exchange and learning mechanisms, is expected to address this need.

Sub-recommendation 1A: Different modalities of guidance. Category 1

In addition to more detail being needed in these documents, there is an indication that the written guidelines are not actually that familiar to key actors on the ground (since many ambiguities do seem to be covered in the documents). In response to this, we recommend that GPE find strategies to make this information more accessible with resources such as short videos or PowerPoints.

In addition to these guidelines, tools and aids, there seems to be a need for CLs to play a bigger role in supporting country actors with understanding, adapting and agreeing the roles for their context. We recommend the CLs offer to hold 'sensitisation' sessions on roles with actors when in-country, if the DCP or LEG identifies some need for clarification, or there is a change in key actor. This session could be used to discuss the generic ToR for key actors as well as whether there is need to adapt these to country circumstance. This would also help with managing issues of turnover since a new person taking up the CA or GA role would have the existing country-adapted ToR as a starting point for further dialogue. The need for a flexible and differentiated approach is discussed further in Recommendation 3 below.

Sub-recommendation 1B: Develop publicly available ToR for CLs. Category 2

Develop publicly available ToR for CLs (and, if relevant, other parts of the Secretariat). These ToR should define their roles, responsibilities, and activities, and set out how these relate to the roles of GAs, CAs, DCPs, and LEGs. The ToR should help to standardise the support countries can expect to have from the Secretariat based on their context. It should also set out criteria in which CLs are expected to provide more support to key actors, such as the risk profile of the country or factors, identified above, that tend to increase the scope of the CA's role in practice. The ToR should clarify the level of intervention expected from CLs, versus facilitation, and their role in advising

CAs and GAs in specific contexts. Given the importance of the cooperation system between CLs and other key actors, we would recommend some consultation on developing these external-facing ToR.

Sub-recommendation 1C: Guidance and action for LEG effectiveness. Category 1

The LEG effectiveness workstream is currently developing principles for well-functioning LEGs, operational guidance, and practical tools. As part of this, this study finds there are still areas of ambiguity which the workstream should seek to clarify; for example if a LEG is only advisory, or if (and how) each country should agree on the decision-making authority of its LEG. We encourage efforts to look for examples of best practices that can be shared to inform LEGs and DCPs as to how they could maximise effectiveness of the LEG. For example, these could be cases of the LEG being officially recognised as the central, multi-stakeholder body for dialogue, or where the LEG considers the sector holistically based on ESP implementation rather than just the GPE grant. It will be important to show examples of where LEGs with greater representation and participation have led to effective working and outcomes. Examples of LEGs that have successfully taken part in joint monitoring of GPE grant processes would be useful, along with the tools used (or that could be used) for doing this. Furthermore, the ASA should be used to further support CSOs to be able to participate meaningfully in LEGs. Finally, although this is already emphasised in GPE documents, DCPs must show leadership in convening and utilising the LEG, as this is seen to be linked to effectiveness of the LEGs as a platform for inclusive sector dialogue.

Recommendation 2: Strengthen mutual accountability

Our findings suggest that the principle of mutual accountability among key actors is weak and vague in practice. There were calls from DCPs and DPs to increase the accountability of GAs, especially since there is often limited competition in GA selection. DCPs also want to see greater accountability of CAs. Meanwhile, the performance of members of LEGs and the Secretariat should not be ignored.

Sub-recommendation 2A: Operationalising mutual accountability. Category 2

Mutual accountability needs to be operationalised with clearer concepts and monitoring frameworks. The Board needs to discuss and agree who is responsible to whom, and how this should be monitored. There are of course multiple accountability relationships in the country level partnership. In principle, GAs have dual accountability: first to the DCP, to support them in accessing and implementing the GPE grants towards the goals of the ESP, and to the GPE as a Partnership, as funder of the grants. The DCP is also accountable to the GA in return, to spend the funds as agreed. Similar patterns hold for the relationship between the DCP and CAs, LEGs and CLs.

More work is needed to develop how these accountability relationships can be upheld. Our starting principle is that first and foremost the DCP is at the centre and all actors should be accountable to them. However, we recognise that in practice DCPs may feel in a weaker position and unable to hold others accountable (this was mentioned at the DCP meeting in May, particularly about the GAs), and are already burdened with heavy workloads. While DCPs may have the opportunity to provide feedback to GAs through systems such as Implementation Completion Reports, these only come at the end of the grant period. These factors may be underpinning the calls from DCPs for the Secretariat to monitor GAs and CAs.

The role for the Secretariat in monitoring the GAs is further supported by the argument that the GA is accountable to the Partnership, and the Secretariat represents the Partnership as the day-to-day guardian. The Secretariat receives implementation progress reports from GAs already. Any further monitoring, such as through seeking feedback directly from the DCP or other country actors, may be effective, but equally may be seen to circumvent existing communication protocols and accountability mechanisms envisaged for the country-level model.

Further consultation is needed to determine the right actor and mechanism to monitor the performance of key actors in the model.

Sub-recommendation 2B: Transparency around GAs. Category 1

Two other issues around accountability of GAs need addressing. First, GAs' costs need to be more transparent. The GA costs are supposed to be negotiated with the government from within the country allocation, and then this is part of the grant application which in principle is made available on the GPE website. There is still some disconnect with actors in-country feeling that the level of costs, and the activities they are allocated towards, are not disclosed which prevents stakeholders from engaging in discussions about how the GA supports the DCP with grant implementation. Protocols need to be agreed about what information the GA must share with local partners. Second, more emphasis is needed on GA selection in order to support diversification, with the goal of giving countries the opportunity to choose the best, rather than the only offer. DPs who are accredited as GAs should volunteer for the role more frequently, and CLs could support by providing more information to the DCP and LEG about the criteria and process.

Sub-recommendation 2C: The DCP needs to be at the heart of the partnership. Category 1

We encourage the Board to continue to put the DCPs at the centre of the GPE model. Government leadership is seen as critical to effective and efficient functioning of the key actors and the national and GPE processes which GPE looks to support. DCPs, as partners of GPE, need to take this on themselves, and the Partnership should consider ways to foster this. This includes engaging and endeavouring to secure interest and commitment at both political and official levels, in order to provide some mitigation against shifting political priorities. Political drive carries officials along, while official commitment can provide some stability if there is a change in Minister. While this study did not explore what factors predict strong government ownership, the use of government systems (and the wider alignment agenda) is seen by many respondents as key. Engagement with wider government, such as Ministries of Finance, may also be important. The Board may wish to consider exploring further how government leadership and commitment comes about and how GPE can encourage it.

Recommendation 3: Differentiated support from the Secretariat

The Secretariat, particularly CLs, need to provide more support to country actors, although this need varies by context. There are a number of areas where we see that the CLs' contribution would be valued and strengthen the operation of other roles:

- While actors called for more specific guidance on roles and responsibilities for different contexts, it is hard to envisage practical guidance and solutions that could address every problem. Instead, CLs can facilitate an open dialogue on adapting

and agreeing ToR for country actors which set out expectations and resolution mechanisms (drawing on GPE's conflict resolution policy).

- Similarly, CLs could help address specific issues if they develop, through personalised intervention.
- CLs may play a greater role in monitoring the key actors' roles, depending on the outcome of discussions around Sub-recommendation 2A.

Sub-recommendation 3A: Develop a mechanism to scale up or down CL support. Category 2

The need for more support, discussed above, could lead to resource implications for the Secretariat unless there are other ways that demands on Secretariat time can be rationalised.[43] One route to this, as well as to being responsive to differing country needs, would be to develop a mechanism for tailoring and differentiating CL support to what is needed. We recommend further work to develop a mechanism which can be both responsive to requests from the country level, and be pre-emptive of need such as by using the Operational Risk Framework or the Results Framework. The overall protocols for this system would be approved by the Board, and the case-by-case basis would need agreement from country-level actors.

Sub-recommendation 3B: Recognise (differing) CAs' resource needs. Category 2

Fulfilling the CA role requires commitment to resources commensurate with the CA ToR (which may be adapted for country needs). This needs to be recognised, and it may be that DPs that take on the CA role need to increase support to their country offices to allow them to take the CA role. Alternatively, GPE needs to look at options to support the CA role. GPE should further explore when this additional resource is needed, and how any resource could be differentiated based on needs. Needs will vary according to many factors, including the level of capacity of the DCP, with CAs having a smaller role if the DCP is strong. This additional 'resource' could be financial support to the CA, for a TA role embedded in MOE, or could be CL support (hence this recommendation should be integrated with the proposed mechanism to scale up CL support). If no additional resources can be allocated to CAs, then the expectations of CAs' responsibilities need to be aligned to more manageable activities around facilitating information flow within the LEG.

Sub-recommendation 3C: Continue streamlining processes. Category 1

GPE should continue in its commitment to find ways to streamline GPE processes, and avoid duplications. The QA pilot is an important start in this, as it is expected to lead to differentiated QA processes for small grants, for different GAs, and to lower transaction costs for the Secretariat.

Sub-recommendation 3D: Strengthen processes and tailored response for FCAS. Category 1

Our findings suggest that there is a need to improve the GPE processes and guidelines for FCAS, and the CLs' understanding of how to operate in these circumstances. Whilst our study has marginally touched on this topic, there are clearly calls for the

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[43] We note that at the December 2017 Board meeting the summary of committee deliberations on the Operational Risk Framework indicated that the GPC supports the idea of reducing the number of countries per CL, and a proposal to do this is part of the HR plan (GPE, 2017j).

processes to be better adapted to FCAS and for the CLs to have the relevant expertise and tools to respond to these needs. Challenges in FCAS contexts which must be considered include difficulties of staffing for all the key actors, including high government staff turnover, political complexities including multiple governments, and difficulties in travel. It is anticipated that the workstream reviewing the FCAS Operational Framework will seek to better understand the issues and develop an improved framework. If this workstream is not also looking at the capacity of the model to adapt to these contexts, which includes the role of the Secretariat, then this should be incorporated into this workstream or considered an area for further investigation.

Recommendation 4: Create a strategy for capacity development. Category 2

If capacity development in the country-level operational model is considered a priority for the Partnership, GPE should set out a clear definition of what it means by the concept of capacity development, and how this relates to the responsibilities of each of the key actors. This should also be set in the wider context of capacity development leveraged by the Partnership, which includes activities funded through the ESPIG. Guidance should be given on using TA, which should be used to support national staff and systems (for example by having smaller numbers of consultants working with the MOE staff) rather than working in parallel. More time may be needed for processes to allow TA to work effectively with MOE, whose staff have a number of other commitments.

If capacity development is to be prioritised by GPE, consideration should be given to having specific objectives and deliverables for GAs against capacity development, and possibly also funding tied to this. This could allow a more systematic approach to organisational and institutional capacity deficits where relevant, going beyond formal and informal skills transfer modalities. This of course must be linked to the broader assessment of capacity needs and strategies to address them that is expected to be part of the ESP.

GPE should continue to seek and organise opportunities for DCPs to learn from each other through cross-country exchange. It is anticipated that this may be an area for the KIX Learning Exchange. This is expected to involve a suite of activities including face-to-face opportunities for peer learning and capacity development. This sort of cross-country learning is valued by DCPs and recognised by other partners. The Board should look to the findings from the 2017 evaluation of pre-Board meetings for lessons on how to maximise the use of these meetings as a learning mechanism.

M.2   Version française : Recommandations

Aperçu

Le présent rapport et ses recommandations ont été communiqués et présentés au Conseil d'administration du GPE lors de sa réunion du 13 juin 2018. Les recommandations d'OPM, qui figuraient initialement dans le rapport, ont été consignées dans la présente annexe pour les distinguer des propres recommandations du Conseil. Les recommandations d'OPM ont été regroupées en quatre thématiques :

(i) Introduction d'orientations et de détails supplémentaires dans divers mandats. Cette mesure inclut la formulation de diverses modalités et orientations, qui s'ajouteront aux directives écrites et mandats existants, l'élaboration d'un ensemble de mandats qui seront rendus publics pour l'utilisation des responsables-pays et la définition d'orientations en faveur de l'efficacité des GLPE.

(ii) Renforcement de la responsabilité mutuelle. Cette mesure inclut la concrétisation de la responsabilité mutuelle aux moyens d'une définition plus claire des responsabilités et des cadres de suivi, d'une plus grande transparence en ce qui concerne les AP, et de la poursuite du renforcement des PDP au cœur du Partenariat.

(iii) Différenciation du soutien du Secrétariat. Cette mesure comprend l'élaboration d'un mécanisme permettant d'accroître ou de réduire le soutien apporté par les responsables-pays en fonction des besoins des pays, une compréhension en fonction des besoins en ressources (différents) des AC, une continuation de la rationalisation des procédures du GPE, et l'amélioration des processus et en les adaptant au contexte des PFC.

(iv) Formulation d'une stratégie de renforcement des capacités. Cette mesure prévoit de définir clairement ce que l'on entend par l'expression « renforcement des capacités » ainsi que les responsabilités des principaux acteurs dans le modèle au niveau des pays comme dans le contexte plus large du Partenariat.

Ces recommandations s'appuient sur notre analyse de données probantes, y compris les suggestions avancées par les participants.

Le point de départ de nos recommandations est la constatation qu'il n'est pas nécessaire d'opérer un changement systémique du modèle. En fait, bien que le modèle soit généralement considéré comme fonctionnant en théorie, il est clair que les acteurs principaux connaissent mal les orientations ou interprètent le modèle de diverses façons. Les recommandations qui suivent n'impliquent pas de changements radicaux, mais plutôt des modifications relativement mineures de la manière dont le modèle est mis en œuvre dans la pratique. Certaines de ces recommandations peuvent avoir des répercussions sur les ressources des principaux acteurs, y compris le Secrétariat, ou peuvent entraîner davantage de processus facultatifs (et certains processus obligatoires). L'équipe chargée de l'étude n'ayant pas reçu d'orientations au sujet des répercussions de ses recommandations sur les ressources ou les processus,

le Conseil devra de toute évidence poursuivre la réflexion pour formuler des réponses appropriées.

Nous avons classé nos recommandations selon quatre grands thèmes. Les trois premiers comprennent des recommandations subsidiaires spécifiques. En outre, nous avons regroupé les recommandations subsidiaires en deux catégories. Les recommandations de la catégorie 1 portent sur le renforcement des opérations en cours et la poursuite des axes d'intervention actuels (ce qui pourrait mener plus tard à des décisions concernant des changements plus importants) et n'exigent pas de modifications autour des responsabilités ni des liens de responsabilité. Les recommandations de la catégorie 2 nécessitent un examen plus approfondi de la part du Conseil en raison du caractère plus systémique de leurs conséquences sur les ressources (pour le Secrétariat et les autres acteurs clés) et les liens de responsabilité.

Recommandation 1 : Introduire des orientations et détails supplémentaires dans divers mandats.

Certaines ambiguïtés pourraient être dissipées en introduisant plus de détails dans les mandats et les lignes directrices. Les orientations ou conseils fournis devront refléter les principes d'appropriation par les pays et de souplesse, et les supports documentaires devront tenir compte du contexte local. Parmi les domaines particuliers où il est possible de fournir davantage d'orientations ou de détails, on peut mentionner :

- L'identification univoque d'une personne responsable des fonctions d'AC au sein de l'organisation agissant en qualité d'AC. Les PDP préfèrent savoir clairement la personne avec laquelle ils travaillent. Cependant, tous les acteurs doivent être conscients de la gestion de la rotation du personnel et des risques associés à l'attribution du rôle à une personne.
- Des orientations complémentaires doivent être fournies sur la part variable, en particulier sur la conception et le suivi des indicateurs, ainsi que sur le mode d'attribution de ces responsabilités. Il existe une certaine confusion pour ces responsabilités figurant déjà dans les lignes directrices disponibles. Les activités existantes sur la part variable comprennent l'élaboration d'orientations opérationnelles pour clarifier les processus, y compris la justification des stratégies et des indicateurs. Ce travail, ainsi que les mesures de développement des mécanismes d'échange de connaissances et d'apprentissage, devrait répondre à ce besoin.

Recommandation subsidiaire 1A : Différentes modalités d'orientation. Catégorie 1

Outre la nécessité d'introduire davantage de détails dans ces documents, il semble que les principaux acteurs présents sur le terrain ne connaissent pas bien les lignes directrices écrites (puisque de nombreuses ambiguïtés semblent être adressées dans les documents). Nous recommandons donc au GPE de formuler des stratégies pour rendre ces informations plus accessibles grâce à des ressources telles que de courtes vidéos ou des présentations PowerPoint.

En plus de ces lignes directrices, outils et supports, il semble nécessaire que les responsables-pays jouent un rôle plus important pour aider les acteurs locaux à comprendre, adapter et convenir des rôles en fonction du contexte national. Nous recommandons que les responsables-pays proposent d'organiser des séances de « sensibilisation » sur les rôles des acteurs lorsqu'ils se trouvent dans le pays, si le PDP ou le GLPE estime que des clarifications sont nécessaires ou en cas de

changement d'acteur majeur. Ces séances pourraient être l'occasion d'examiner les mandats types des principaux acteurs et de déterminer s'il est nécessaire de les adapter à la situation du pays. En outre, cette démarche faciliterait aussi la gestion des problèmes de rotation du personnel, car toute nouvelle personne assumant le rôle d'AC ou d'AP pourrait utiliser le mandat existant adapté au pays comme point de départ de la poursuite de la concertation. La nécessité d'une approche souple et différenciée est examinée plus en détail dans la Recommandation 3 ci-dessous.

Recommandation subsidiaire 1B : Élaborer des mandats accessibles au public pour les responsables-pays. Catégorie 2

Définir des mandats pour les responsables-pays (et d'autres membres du Secrétariat, le cas échéant) et les rendre accessibles au public. Ces mandats devraient définir leurs rôles, responsabilités et activités, ainsi que leurs liens avec les rôles des AP, AC, PDP et GLPE. Les mandats devraient standardiser le soutien que les pays peuvent attendre de la part du Secrétariat en fonction de leur situation. Aussi, les mandats devraient définir les critères selon lesquels les responsables-pays sont censés fournir un soutien accru aux principaux acteurs, tels que le profil de risque du pays ou les facteurs, susceptibles d'élargir le rôle assumé par l'AC dans la pratique. Les mandats devraient préciser le niveau d'intervention attendu des responsables-pays, par opposition à leur niveau de soutien, ainsi que leur rôle de conseil auprès des AC et des AP dans des contextes précis. Compte tenu de l'importance du système de coopération entre les responsables-pays et d'autres acteurs clés, nous recommandons des consultations sur l'élaboration de ces mandats tournés vers l'extérieur.

Recommandation subsidiaire 1C : Orientations et mesures à prendre pour assurer l'efficacité des GLPE. Catégorie 1

Les activités sur l'efficacité des GLPE définissent actuellement des principes concernant le bon fonctionnement de ces groupes, ainsi que des orientations opérationnels et des outils pratiques. À ce sujet, la présente étude constate qu'il existe encore des zones d'ambiguïté que ces activités devraient s'efforcer à clarifier, s'agissant, par exemple, de savoir si le rôle d'un GLPE est de nature exclusivement consultative ou si (et comment) chaque pays devrait aborder la question sur l'autorité décisionnelle de son GLPE. Nous encourageons les efforts visant à trouver des exemples de bonnes pratiques susceptibles d'être présentées aux GLPE et aux PDP pour les aider à tirer le meilleur parti de ces groupes. Ces exemples pourraient inclure les cas où le GLPE est officiellement reconnu comme l'organe central d'échanges entre les différentes parties prenantes, ou ceux où le GLPE considère que le secteur a une vision intégrée de la mise en œuvre du PSE plutôt que de se limiter au financement du GPE. Il sera important de trouver des exemples où les GLPE bénéficiant d'une représentation et d'une participation plus vastes ont gagné en efficacité et obtenu de bons résultats. Des exemples de GLPE ayant participé avec succès au suivi conjoint des processus de financement du GPE pourraient être utiles, tout comme les exemples d'outils utilisés (ou pouvant l'être) à cette fin. En outre, le mécanisme de plaidoyer et de responsabilité sociale (ASA) devrait être appliqué afin d'aider davantage les OSC à participer de manière significative aux GLPE. Enfin, bien que cela soit déjà souligné dans les documents du GPE, les PDP doivent jouer un rôle de premier plan pour mobiliser et utiliser les GLPE, dans la mesure où cela est considéré en lien avec l'efficacité des GLPE en tant que plateformes de concertation sectorielle inclusive.

Recommandation 2 : Renforcer la responsabilité mutuelle

Nos conclusions semblent indiquer que le principe de responsabilité mutuelle entre les principaux acteurs demeure faible et vague dans la pratique. Les PDP et les PD ont demandé un renforcement de la responsabilisation des AP, d'autant plus que leur sélection est souvent peu compétitive. Les PDP veulent aussi une plus grande responsabilisation des AC. Par ailleurs, il ne faut pas oublier les performances des membres des GLPE et du Secrétariat.

Recommandation subsidiaire 2A : Mettre en pratique la responsabilité mutuelle. Catégorie 2

La responsabilité mutuelle doit être mise en œuvre au moyen de concepts et de cadres de suivi plus clairs. Le Conseil doit analyser et déterminer qui doit rendre des comptes à qui et comment assurer le suivi de ce processus. Il y a bien sûr de multiples liens de responsabilité dans le Partenariat au niveau du pays. En principe, les AP ont une double responsabilité : tout d'abord envers les PDP, pour les aider à obtenir et à mettre en œuvre les financements du GPE qui sont à l'appui de la réalisation des objectifs du PSE ; et à l'égard du GPE, en tant que Partenariat et source des fonds pour les financements. En retour, le PDP est responsable devant l'AP de dépenser les fonds comme convenu. La situation est similaire pour les relations entre le PDP et les AC, les GLPE et les responsables-pays.

Des efforts supplémentaires sont nécessaires pour déterminer comment faire respecter ces liens de responsabilité. Notre principe de base est que le PDP occupe une position centrale et que tous les acteurs doivent lui rendre des comptes. Cependant, nous reconnaissons que, dans la pratique, les PDP peuvent se sentir en situation de faiblesse et ne pas être en mesure de demander des comptes aux autres acteurs (ce problème a été mentionné lors de la réunion des PDP en mai, en particulier au sujet des AP) et sont déjà surchargés de travail. Les PDP peuvent avoir l'occasion de fournir un retour d'information aux AP par le biais de systèmes tels que les rapports d'achèvement de la mise en œuvre des projets, mais ceux-ci n'interviennent qu'à la fin de la période de financement. Ces facteurs pourraient expliquer les appels lancés par les PDP pour que le Secrétariat assure un suivi des AP et des AC.

Le rôle du Secrétariat dans le suivi des AP est également étayé par l'argument selon lequel l'AP est responsable vis-à-vis du Partenariat, tandis que le Secrétariat représente le Partenariat en tant que tuteur au quotidien. Le Secrétariat reçoit déjà de la part des AP des rapports sur l'avancement de la mise en œuvre. Toute autre forme de suivi, par exemple en demandant directement un retour d'information aux PDP ou à d'autres acteurs locaux, pourrait être efficace, mais risquerait également d'être vue comme un moyen de se soustraire aux protocoles de communication existants et aux mécanismes de responsabilisation envisagés pour le modèle au niveau des pays.

D'autres consultations sont nécessaires pour choisir le bon acteur et le bon mécanisme pour assurer le suivi de la performance des principaux acteurs du modèle.

Recommandation subsidiaire 2B : Transparence relative aux AP. Catégorie 1

Deux autres questions relatives à la responsabilité des AP doivent être abordées. Premièrement, les coûts des AP doivent être plus transparents. Les coûts de l'AP sont censés être négociés avec les pouvoirs publics dans le cadre de l'allocation par pays ; cela fait alors partie de la requête de financement qui, en principe, est disponible sur le site Web du GPE. Il y a encore un certain décalage avec les acteurs locaux qui ont le sentiment que le niveau des coûts et les activités auxquelles ils sont alloués ne sont pas divulgués, ce qui empêche les parties prenantes de débattre de la manière dont

l'AP soutient le PDP dans la mise en œuvre des financements. Des protocoles doivent être convenus sur les informations que l'AP doit partager avec les partenaires locaux. Deuxièmement, il faut mettre davantage l'accent sur la question du choix de l'AP afin de promouvoir la diversification des candidats, l'objectif étant de donner aux pays la possibilité de choisir la meilleure offre plutôt que la seule offre. Les PD qui sont accrédités à titre d'AP devraient se porter plus fréquemment bénévoles pour ce rôle. Quant aux responsables-pays, ils pourraient apporter leur soutien en fournissant davantage d'informations au PDP et au GLPE sur les critères et le processus.

Recommandation subsidiaire 2C : Le PDP doit être au cœur du Partenariat. Catégorie 1

Nous encourageons le Conseil à continuer de placer les PDP au centre du modèle du GPE. Il est indispensable que le gouvernement prenne un rôle de premier plan pour le fonctionnement efficace et efficient des acteurs principaux, des processus nationaux et des processus du GPE que le GPE s'attache à soutenir. Les PDP, en tant que partenaires du GPE, doivent s'en charger eux-mêmes, et le Partenariat devrait se pencher sur les moyens de promouvoir cette démarche. Il pourrait par exemple s'efforcer de susciter un intérêt et un engagement aux niveaux politiques et officiels, pour atténuer les effets d'une réorientation des priorités politiques. La volonté politique mobilise les fonctionnaires, tandis que l'engagement officiel peut apporter une certaine stabilité en cas de remaniement ministériel. Bien que la présente étude ne se soit pas penchée sur les facteurs prédictifs d'une forte appropriation par les pouvoirs publics, l'utilisation des systèmes nationaux (et le programme d'alignement) est considérée par de nombreux participants comme un élément clé. Il peut aussi être important de s'engager avec un éventail plus large d'organismes gouvernementaux, tels que les Ministères des Finances. Le Conseil pourrait envisager d'étudier davantage les questions en rapport avec comment la volonté politique et l'engagement des pouvoirs publics se concrétisent et comment le GPE peut les encourager.

Recommandation 3 : Appui différencié du Secrétariat

Le Secrétariat, en particulier les responsables-pays, doit fournir davantage de soutien aux acteurs locaux, bien que ce besoin varie selon le contexte. Dans un certain nombre de domaines, nous estimons que la contribution des responsables-pays serait appréciée et renforcerait l'exécution d'autres rôles :

- Bien que les acteurs aient demandé des orientations plus précises sur les rôles et responsabilités dans différents contextes, il est difficile d'envisager des orientations et des solutions pratiques applicables à tous les problèmes. Toutefois, les responsables-pays peuvent faciliter un dialogue ouvert sur l'adaptation et l'approbation des mandats des acteurs locaux, qui définissent les attentes et les mécanismes de résolution (en s'inspirant de la politique de résolution des conflits du GPE).

- De même, les responsables-pays pourraient contribuer à résoudre des problèmes spécifiques, s'ils se présentent, au moyen d'une intervention personnalisée.

- Les responsables-pays peuvent jouer un rôle plus important dans le suivi des rôles des acteurs majeurs, en fonction des résultats des discussions sur la Recommandation subsidiaire 2A.

Recommandation subsidiaire 3A : Élaborer un mécanisme permettant d'augmenter ou de réduire l'appui du responsable-pays. Catégorie 2

La nécessité d'un soutien accru, évoquée ci-dessus, pourrait avoir des répercussions sur les ressources du Secrétariat, à moins qu'il existe d'autres moyens de rationaliser

les demandes en temps du Secrétariat[44]. Une possibilité d'y parvenir, tout en s'adaptant aux besoins divers des pays, consisterait à élaborer un mécanisme visant à adapter et différencier le soutien du responsable-pays en fonction des besoins. Nous recommandons de poursuivre l'élaboration d'un mécanisme qui peut à la fois répondre aux demandes émanant des pays et anticiper les besoins, par exemple en utilisant le Cadre de risque opérationnel ou le Cadre de résultats. Les protocoles généraux de ce système seraient approuvés par le Conseil, tandis que l'approche au cas par cas nécessiterait l'accord des acteurs locaux.

Recommandation subsidiaire 3B : Reconnaître les besoins en ressources des AC (qui diffèrent). Catégorie 2

Le rôle de l'AC ne peut être dûment rempli que si les engagements concernant les ressources cadrent avec son mandat (qui peut être adapté aux besoins des pays). Cet aspect doit être pris en compte, et il est possible que les partenaires de développement qui assument le rôle d'AC devront accroître le soutien à leurs bureaux-pays pour leur permettre de s'en acquitter. À défaut, le GPE devra examiner les possibilités d'appuyer le rôle des AC. Il devrait également se pencher plus avant sur la question de savoir quand ces ressources supplémentaires sont nécessaires et comment différencier les ressources en fonction des besoins. Les besoins varieront en fonction de nombreux facteurs, y compris le niveau de capacité du PDP, les AC jouant un rôle moins important si le PDP est solide. Ces « ressources » supplémentaires pourraient prendre la forme d'un soutien financier à l'AC, du financement d'un poste d'assistance technique au Ministère de l'Éducation ou d'un soutien du responsable-pays (par conséquent, cette recommandation devrait être intégrée au mécanisme proposé pour accroître le soutien des responsables-pays). Si aucune ressource supplémentaire ne peut être allouée aux AC, les attentes concernant leurs responsabilités doivent être alignées sur des activités plus faciles à gérer, telles que la gestion du flux d'information au sein du GLPE.

Recommandation subsidiaire 3C : Poursuivre la rationalisation des processus. Catégorie 1

Le GPE devrait continuer à s'engager à trouver des moyens de rationaliser les processus du GPE et d'éviter les doubles emplois. L'expérience pilote sur l'assurance de la qualité est un important premier pas dans cette direction, car elle devrait mener à des processus de contrôle de qualité différenciés pour les petits financements et pour différents AP, et réduire les coûts de transaction du Secrétariat.

Recommandation subsidiaire 3D : Renforcer les processus et adapter la réponse pour les PFC. Catégorie 1

Nos constatations suggèrent qu'il est nécessaire d'améliorer les processus et les lignes directrices du GPE pour les PFC, et de faire en sorte que les responsables-pays comprennent mieux comment travailler dans ces circonstances. Bien que notre étude n'ait que marginalement abordé ce sujet, il est clairement demandé que les processus soient mieux adaptés aux PFC et que les responsables-pays disposent de l'expertise et des outils pertinents pour répondre à ces besoins. Les défis dans les situations de fragilité et de conflit qui doivent être pris en compte comprennent les difficultés de dotation en personnel pour tous les acteurs clés (y compris la rotation élevée des

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[44] Nous notons que, lors de la réunion du Conseil de décembre 2017, le compte rendu des délibérations sur le Cadre des risques opérationnels indiquait que le Comité des financements et performances (GPC) soutenait l'idée d'une réduction du nombre de pays par responsable-pays et qu'une proposition en ce sens figure dans le plan de ressources humaines (GPE, 2017j).

fonctionnaires), les complexités politiques (y compris les gouvernements multiples) et les problèmes de déplacement. On prévoit que l'axe d'intervention portant sur l'examen du cadre opérationnel des PFC s'attachera à mieux comprendre les enjeux et à élaborer un cadre amélioré. Si cet axe ne porte pas également sur la capacité du modèle à s'adapter à ces contextes, ce qui inclut le rôle du Secrétariat, il faudrait alors intégrer cet aspect dans cet axe d'intervention ou le considérer dans une investigation plus poussée.

Recommandation 4 : Créer une stratégie de renforcement des capacités. Catégorie 2

Si le GPE considère le renforcement des capacités comme une priorité dans le cadre du modèle opérationnel au niveau des pays, le GPE devrait définir clairement ce concept ainsi que ses liens avec les responsabilités de chacun des principaux acteurs. Ce concept devrait également être défini dans le contexte plus large du renforcement des capacités induit par le Partenariat, s'agissant notamment des activités associées aux financements pour la mise en œuvre du programme sectoriel de l'éducation (ESPIG). Des orientations devraient être fournies concernant le recours à l'assistance technique, qui devrait donner un appui au personnel et aux systèmes nationaux (par exemple en ayant moins de consultants qui travaillent avec les services du Ministère de l'Éducation) plutôt que de fonctionner en parallèle avec eux. Plus de temps pourrait être nécessaire pour que l'assistance technique puisse être efficacement intégrée au sein du Ministère de l'Éducation, compte tenu des autres obligations de ses fonctionnaires.

Si le renforcement des capacités doit être une priorité du GPE, on devrait envisager de définir des objectifs et des résultats à atteindre propres aux AP dans ce domaine, ainsi que des financements liés à ces activités. Un tel dispositif pourrait permettre une approche plus systématique pour améliorer les capacités organisationnelles et institutionnelles, au-delà des modalités formelles et informelles de transfert de compétences. Cette mesure devrait s'inscrire bien évidemment dans le cadre plus large de l'évaluation des besoins de capacités et des stratégies visant à y répondre, qui sont censées faire partie intégrante du PSE.

Le GPE devrait continuer de promouvoir les possibilités d'apprentissage mutuel entre les PDP dans le cadre d'échanges internationaux. Ces échanges pourraient intervenir dans le contexte du mécanisme d'échange de connaissances et d'innovations (KIX). Il devrait comprendre un ensemble d'activités, dont des possibilités de rencontres en face-à-face pour l'apprentissage entre paires et de renforcement des capacités. Ce type d'apprentissage international est apprécié par les PDP et salué par les autres partenaires. Le Conseil devrait examiner les conclusions de l'évaluation de 2017 des réunions préalables à celles du Conseil pour optimiser l'utilisation de ces réunions comme mécanisme d'apprentissage.