

***Thematic global evaluation of
European Commission support to the
education sector in partner countries
(including basic and secondary education)***

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Volume IIa

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Evaluation for the European Commission





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***This evaluation was carried out by
Particip GmbH***

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This report has been prepared by Particip GmbH. The opinions expressed in this document represent the views of the authors, which are not necessarily shared by the European Commission or by the authorities of the countries concerned.

Thematic global evaluation of European Commission support to the education sector in partner countries (including basic and secondary education)

Final Report

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List of acronyms

ABL	Activity-based learning
ABET	Adult Basic Education and Training
ACP	Africa, Caribbean and Pacific countries
ABRP	Budget Support for Poverty Reduction
ADB	Asian Development Bank
AFD	Agence Française de Développement
AIDCO	EuropeAid Co-operation Office
AIDS	Acquired Immuno-Deficiency Syndrome
AIR	Apparent Intake Rate
AJEL	Active Teaching and Learning
AJK	Azad Jammu and Kashmir (Pakistan)
ALA	Asia and Latin America group of nations
APIR	Annual PEAP Implementation Review
APS	activités périscolaires
AusAID	Australian Government Overseas Aid Program
AWPB	Annual Workplans and Budgets
BBC	British Broadcasting Cooperation
BEC/TF	Basic Education Trust Fund
BEP	BRAC Education Programme
BE-SCSP	Basic Education-Sector Capacity Support Programme
BGCSE	Botswana General Certificate of Secondary Education
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung
BRAC	Bangladesh Rural Advancement Committee
BS	Budget Support
BSG	Budget Support Group
CAMPE	Campaign for Popular Education
CAST-FSDEB	Fonds commun de soutien au développement de l'enseignement de base
CBA	Competency Based Approach
CENAFFE	Centre National de Formation des Formateurs de l'Éducation
CF	Catalytic Fund
CFAF	CFA franc
CFAA	Country Financial Accountability Assessments
CG	Consultative Group
CGAB-CSLP	Cadre Général d'organisation des Appuis Budgétaires en soutien à la mise en œuvre du Cadre stratégique de lutte contre la pauvreté
CHT	Chittagong Hill track
CIDA	Canadian International Development Agency
CIS	Commonwealth of Independent States
CJSS	Community Junior Secondary School
CONFEMEN	Conference of Ministers of Education of French-Speaking Countries
CPI	Corruption Perception Index
CPIA	Country Policy and Institutional Assessment
CRC	Cluster Resource Center
CREFOC	Centres régionaux de formation continue
CRIS	Common Relex Information System
CSE	Country Strategy Evaluation
CSLP	Cadre stratégique de lutte contre la pauvreté
CSO	Civil Society Organisation
CSP	Country Strategy Paper
CWIQ	Core Welfare Indicators Questionnaire
DAC	Development Assistance Committee
DAF	Direction des Affaires Financières
DCI	Development Co-operation Instrument

DANIDA	Danish International Development Assistance
DDRR	Disarmament, Demobilisation, Reinsertion and Reintegration
DEMIS	District Education Management Information System
DGIS	Netherlands Directorate General of Development Cooperation
DfID	Department for International Development
DG DEV	EC Directorate on Development
DG EAC	EC Directorate on Education and Culture
DG RELEX	EC Directorate for External Relations
DIET	District Institutes of Education
DISE	District Information System for Education
DLCA	Direction de la Lutte Contre l'Analphabétisme
DLI	Disbursement Linked Indicator
DNFE	Directorate of Non-Formal Education
DNPO	Directorate of Planning and Budget
DOE	Department of Education
DPAC	Development Partner Advisory Committee
DPE	Directorate of Primary Education
DPEP	District Primary Education Programme
DPG	Development Partners Group
DSE	Department of Secondary Education
EALAS	East Asian Learning Assessment Study
EAMR	External Assistance Management Report
EAP	East Asia & Pacific
EC	European Commission
EC-SEE	EC-Support to Education in Eritrea
ECD	Early Childhood Development
ECE	Early childhood education
ECA	European Court of Auditors
ECHO	EC Humanitarian Aid Department
ECSEL	EC Support to Education in Liberia
EDF	European Development Fund (for ACP countries)
EDPC	Education Policy Committee
EEAP	Earthquake Emergency Assistance Project
EFA	Education for All Initiative (co-ordinated by UNESCO)
EFA-FTI	Education for All-Fast Track Initiative
EFAG	Education Funding Agency Group
EGS	Education Guarantee Scheme
EIDHR	European Instrument for Democracy and Human Rights
ELCG	Education Local Consultative Sub-Group
ELTIP	English Language Training Improvement project
EMECW	Erasmus Mundus External Co-operation Window
EMIS	Education Management Information System
ENP	European Neighbourhood Policy
ENPI	European Neighbourhood Policy Instrument
EP1	1 st level primary education, Grades 1-5 (Mozambique)
EP2	2 nd level primary education, Grades 6 & 7 (Mozambique)
EPDF	Education Program Development Fund
EPER	Education Public Expenditure Review
EPE	Ecoles à priorité éducative
EPO	Education Project Office
EQ	Evaluation Question
ESC	Education Sector Component
ESDP	Education Sector Development Programme
ESIP	Education Sector Investment Plan
ESP	Education Sector Programme
ESPSP	Education Sector Policy Support Programme

ESR	Education Sectpr Review
ESSP	Education Sector Strategic Plan
ESPR	Education Sector Performance Report
ESWG	Education Sector Working Group
E & T SPSP	Education and Training Sector Policy Support Programme
ETSIP	Education and Training Sector Improvement Programme
EU	European Union
EUD	European Union Delegation
EQUIP	Education Quality Improvement through Pedagogy
FA	Financial Agreement
FACPEL	Free and Compulsory Primary Education in Liberia
FMS	Financial Management System
FMIS	Financial Management Information System
FOPIIE	Fortalecimiento Pedagógico de las Escuelas del Programa Integral para la Igualdad Educativa
FTE	Full-time Equivalent
FTI	Fast Track Initiative
GAS	Ghana Audit Service
GAERC	General and External Relations Councils
GBS	General Budget Support
GDP	Gross Domestic Product
GEM	Girls Education Movement
GEMAP	Governance and Economic Management Assistance Program
GER	Gross Enrolment Rate
GIR	Gross Intake Rate
GIS	Geographical Information System
GMR	Global Monitoring Report
GoB	Government of Bangladesh
GoDR	Government of the Dominican Republic
Gol	Government of India
GoM	Government of Mozambique
GoN	Government of Nicaragua
GoNWFP	Government of North Western Frontier Province
GoP	Government of Pakistan
GRN	Government of the Republic of Namibia
GoS	Government of Sindh
GoSA	Government of South Africa
GoT	Government of Tanzania
GoU	Government of Uganda
GoV	Government of Vietnam
GPI	Gender Parity Index
GPRS	Growth and Poverty Reduction Strategy
GRC	Governance Review Committee
GSE	Government of the State of Eritrea
GTZ	Gesellschaft für technische Zusammenarbeit
GWG	Governance Working Group
HDI	Human Development Index
HE	Higher Education
HIPC	Heavily Indebted Poor Country
HIV	Human Immuno-deficiency Virus
HQ	Headquarters
HRD	Human Resources Development
IADB	Inter-American Development Bank
IBA	Institute of Business Administration
ICT	Information and Communication Technology
IDA	International Development Association
IDP	Internally Displaced People

ILO	International Labour Organisation
IMF	International Monetary Fund
IPRSP	Interim Poverty Reduction Strategy Paper
iQSG	Inter-service Quality Support Group
JAA	Joint Annual Appraisal
JAF	Joint Assessment Framework
JARM	Joint Annual Review Missions
JAS	Joint Assistant Strategy
JC	Judgement Criterion
JCE	Junior Certificate Examinations
JDG	Joint Donors Group
JESR	Annual Joint Sector Reviews
JEU	Joint Evaluation Unit (EuropeAid)
JICA	Japan International Cooperation Agency
JRM	Joint Review Mission
JSP	Joint Strategy Paper
JSS	Junior Secondary School
LAC	Latin America & Caribbean
LC	Low income
LDCs	Least Developed Countries
LDG	Local donor Group
LEG	Local education group
LGA	Local Government Administration
LLECE	Latin American Laboratory for Assessment
LRRD	Linking Relief, Rehabilitation and Development
M&E	Monitoring and Evaluation
MDBS	Multi-Donor Budget Support
MDG	Millennium Development Goals
MDTF	Multi-Donor Trust Fund
MEBA	Ministry of Basic Education
MEC	Ministry of Education
MEDA	Mediterranean Basin and Middle-East group of nations (EU financial tool serving the Mediterranean region)
Mercosur	Mercado Común del Sur
MINERD	Ministry of Education (Dominican Republic)
MGD	Mesa Global de Donantes
MICS	Multiple Indicator Cluster Survey
MIS	Management Information System
MLA	Monitoring Learning Achievement (UNESCO-UNICEF)
MLL	Minimum Levels of Learning
MNA	Middle East & North Africa
MoED	Ministry of Education and Sports
MoESD	Ministry of Education and Skills Development (Botswana)
MoEYS	Ministry of Education Youth and Sport
MoFDP	Ministry of Finance and Development Planning
MoFEP	Ministry of Finance and Economic Planning
MOHA	Ministry of Home Affairs
MoLG	Ministry of Local Government (Botswana)
MoLHA	Ministry of Labour and Home Affairs (Botswana)
MOPME	Ministry of Primary and Mass Education (Bangladesh)
MoU	Memorandum of Understanding
MS	Member State
MSS	Minimum Standards of Services
MTEF	Medium-Term Expenditure Framework
MTR	Mid Term Review
NAPE	National Assessment of Progress in Education

NCPR	The National Commission for Protection of Child Rights
NDP	National Development Plan
NEAS	National Education Assessment System
NEP	National Education Policy
NER	Net Enrolment Ratio
NFE	Non-formal Education
NFPE	Non-Formal Primary Education
NGO	Non-Governmental Organisation
NIP	National Indicative Programme
NIR	Net Intake Ratio
NORAD	Norwegian Agency for Development Cooperation
NPEP	Northern Pakistan Education Programme
NSA	Non-State Actors
NSFAS	National Student Financial Aid Scheme
NSGRP	National Strategy for Growth and Reduction of Poverty
NSSF	Norms and Standards for School Funding
NTP	National Targeted Programme
NWFP	North Western Frontier Province
ODA	Official Development Assistance
ODI	Overseas Development Institute
ODI-CDD	Overseas Development Institute – Ghana Center for Democratic Development
OECD	Organisation for Economic Co-operation & Development
OECD-DAC	The Development Assistance Committee of the Organisation for Economic Co-operation & Development
OLAF	European Anti-Fraud Office
OVC	Orphans-Vulnerable Children
oQSG	office Quality Support Group (within EuropeAid)
PAB	Poverty Alleviation Budget
PABS	Poverty Alleviation Budget Support
PAF	Performance Assessment Framework
PAIGFP	Programa de Apoyo institucional a la Gestión de Finanzas Públicas
PAP	Programme Aid Partnership
PAP-CSLP	Priority Action Plan of the Strategic Framework for the Fight against Poverty
PAPDE	Ecuador Education sector?
PAPND	Programa de Apoyo al Plan Nacional de Desarrollo (Nicaragua)
PAPSE	Programa de Apoyo Presupuestario Sectorial para la Educación (Nicaragua)
PARME	Reform and Modernisation of the State
PARPA	Action Plan for the Reduction of Absolute Poverty
PASEB	Basic Sector Education Support Programme
PASEC	Programme d'Analyse des Systèmes Educatifs des Pays Confemen
PCD	Policy Coherence for Development
PCR	Primary Completion Rate
PCR	Pupil Classroom Ratio
PDDE	Plan décennal de développement de l'éducation
PDDEB	Plan Décennal de Développement de l'Education de Base
PEACE	Provincial Education Assessment Centres
PEAP	Uganda's Poverty Eradication Action Plan
PEDEP	Plan for Education
PEDP	Primary Education Development Program
PEFA	Public Expenditure and Financial Accountability
PEP	Politique d'Education Prioritaire
PER	Public Expenditure Review
PESLE	Programme for Enrichment of School Level Education
PETS	Public Expenditure Tracking Surveys
PFM	Public Finance Management
PGAE	Partnerships Group for Aid Effectiveness

PGBS	Partnership General Budget Support
PIIE	Programa Integral para la Igualdad Educativa
PIRLS	Progress in International Reading Literacy Study
PISA	Programme for International Student Assessment
PIU	Project Implementation Unit
PLU	Programme Liaison Unit
PMCC	Project Monitoring and Co-ordination Committee
PMO-RALG	Prime Minister Office - Regional Administration and Local Government
PMU	Project Management Unit
PNG	Pagua New Guinea
PPARP	Programmes providing GBS in Niger
PPDA	Public Procurement and Disposals Authority
PPE	Pro-poor expenditure
PPR	participatory policy research
PRBS	Poverty Reduction Budget Support
PRESET	Pre-service training
PRE-STEP	Pre-Service Teacher Education Program
PRGF	Poverty Reduction and Growth Facility
PRI	Panchayati Raj Institutions
PRIDEP	Integrated Development Program for Primary Education
PRIME	Primary Initiative in Mainstreaming Education
PrimEd SPSP	Primary Education Sector Policy Support Programme
PROETP	Project in Technical Education
PROMOTE	Programme to Motivate, Train & Employ Female Teachers in Rural Secondary Schools
PRS	Poverty Reduction Strategy
PRSB	Poverty Reduction Budget Support
PRBS	Poverty Reduction Budget Support Programme
PRSP	Poverty Reduction Strategy Paper
PSC	Project Steering Committee
PSLE	Primary School Leaving Examination
PTA	Parent Teacher Association
PTR	Pupil/teacher Ratio
QSG	Quality Support Group
RDP	Reconstruction and Development
REAP	Reading Enhancement and Achievement Program
REN-LAC	Réseau national de lutte anti-corruption, Burkina Faso
RESEN	Rapport d'Etat sur le Système Educatif National
RG	Reference Group (of the present evaluation)
RISE	Revitalizing, Innovating and Strengthening Education
RNGPS	Registered Non Government Primary Schools
ROM	Results-Oriented Monitoring
RSA	Republic of South Africa
RSU	Reform Support Unit
SADTU	South African Democratic Teachers Union
SANLI	South African National Literacy Initiative
SAQMEQ	Southern African Consortium for Monitoring Education Quality
SAS	South Asia
SASA	South African Schools Act
SBS	Sector Budget Support
SC	Scheduled Castes
SCOT	Strengthening of the Capacity of Teacher Training Programme
SDEM	Support for Decentralised Education Management
SDF	School Development Funds
SEDP	Socio Economic Development Program
SESIP	Secondary Education Sector Improvement Project

SEE	Secretaria de Estado para Educación
SEMIS	Secondary Education Management Information System
SEPSP	Sindh Education Plan Support Programme
SERP	Sindh Education Reform Programme
SERCE	Segundo Estudio Regional Comparativo y Explicativo
SER-TA	Sindh Education Reform - Technical Assistance
SGB	School Governing Bodies
SISED	Somali Integrated Secondary Educational Development
SISAS	Strategy for the Implementation of Special Aid to Somalia
SIDA	Swedish International Development Cooperation Agency
SIP	School Improvement Programmes
SISAS	Strategy for the Implementation of Special Aid to Somalia
SISP	School Infrastructure Support Programme
SLIP	School Level Improvement Plans
SMC	School Management Committee
SMASSE	Strengthening Mathematics and Science in Secondary Education
SMOET	Support To The Ministry Of Education And Training
SMT	School Management Team
SOM	Senior Officials Meeting
SOSETT	Strengthening of Secondary Education and Teacher Training
SOUTEBA	Programme de Soutien à l'Éducation de Base
SPSP	Sector Policy Support Programme
SREM	Support to the Renovation of Education Management
SSA	Sub-Saharan Africa
SSC	Senior Secondary Certificate
SSP	Support to Sector programmes
ST	Scheduled Tribes
SUPE	Support to Universal Primary Education
SWAp	Sector-Wide Approach
TA	Technical Assistance
TACIS	Technical Assistance to the Commonwealth of Independent States – (EU support programme to Eastern European and Central Asian group of nations / region)
TAP	Technical and Administrative Provisions
TCEP	Tribal Children Education Programme
TDMS	Teacher Development and Management System
TED	Teacher education development
TEFSA	Tertiary Education Fund of SA
TIM	Temporary International Mechanism
TIMSS	Trends in International Mathematics and Science Study
TL	Team Leader
ToR	Terms of Reference
TR	Transition Rate
TSP-DoE	Technical Support Programme to Department of Education
TTC	Technical Training Centres
TVET	Technical and Vocational Education and Training
UEMOA	Union Economique et Monétaire Ouest Africaine
UEE	Universal Elementary Education
UIS	UNESCO Institute for Statistics
UN	United Nations
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations International Children's Emergency Fund
UPE	Universal Primary Education
USAID	United States Agency for International Development
USD	United States Dollar
USE	Universal Secondary Education

VAT	Value Added Tax
VEC	Village Education Committee
VET	Vocational Education and Training
WB	World Bank
WCEFA	World Conference Education for All, Jomtien, March 1990
WHO	World Health Organisation
WSD	Whole School Development
ZAR	South African Rand

Annex 1: Detailed answers to the Evaluation Questions

1 EQ1-relevance: To what extent is EC support aligned to education development objectives in national development plans, such as PRSPs, and ensured coherence between EC development co-operation policies on education and other EC policies affecting education?

National Development Plans, in particular Poverty Reduction Strategy Papers (PRSPs), often provide the overall framework for donor support. PRSPs aim to provide the crucial link between national public actions, donor support, and the development outcomes needed to meet the internationally-agreed Millennium Development Goals (MDGs). In addition to being aligned to the national development objectives, European Commission (EC) support for education needs to be co-ordinated among various public and private national and international development partners. In this process, the EC has committed itself to working for improved national ownership, the harmonisation of aid delivery mechanisms, and enhanced mutual accountability.

These issues were addressed in the Rome Declaration on Harmonisation in February 2003, reiterated in the Paris Declaration on Aid Effectiveness in March 2005 and continued to be addressed in the Accra High Level Forum on Aid Effectiveness in 2008. The EC is a signatory to both declarations and has been at the forefront of promoting increased alignment and harmonisation, most notably through the Development Assistance Committee of the Organisation for Economic Co-operation & Development (OECD/DAC's) work on harmonisation and alignment.

The purpose of this evaluation question (EQ), and the analysis through which it is answered, is to assess the extent to which the EC has followed up on its commitments towards alignment in its support to the education sector in partner countries. Moreover, the question also covers the issue of coherence in its two different meanings. On the one hand, coherence is looked at in terms of its meaning as an evaluation criteria, looking at the extent to which the EC's different interventions in the education sector (particularly at country level) do not contradict one another. This understanding of coherence could thus also be coined as 'internal coherence', and is primarily dealt with by indicators 1.3.1, 1.3.3 and 1.3.4. The second meaning of coherence could be termed 'external coherence', and is based upon the definition of coherence within the 3Cs.¹ It refers to the extent to which development aid has not been contradictory or contradicted by other EC policies and external actions (i.e. Policy Coherence for Development - PCD). This type of coherence is primarily looked at in indicator 1.3.2. Policies other than development co-operation have a strong impact on developing countries. The European Union (EU) concept of PCD aims to build synergies between those policies and development objectives.² The debate on coherence has been recently intensified. In a new Communication, it is stated that the process of drawing up Country Strategy Papers offers a framework in which the EC and Member States can develop this kind of policy dialogue. The relevance of the PCD approach to policies created by developing countries should also be considered, since in most policy areas the positive impact of EU policies depends on parallel efforts being undertaken by partner countries.

¹ 3Cs – Co-ordination, Complementarity and Coherence – refer to the Maastricht Treaty modified by the Amsterdam Treaty (articles 177 up to 181):

Coordination (article 180): 1. The Community and the Member States shall coordinate their policies on development cooperation and shall consult each other on their aid programmes including in international organisations and during international conferences. They may undertake joint action. Member States will contribute if necessary to the implementation of Community aid programmes. 2. The Commission may take any useful initiative to promote the coordination referred to in paragraph 1.

Complementarity (article 177): Community policy in the sphere of development cooperation, which shall be complementary to the policies pursued by the Member States, shall foster: (i) the sustainable economic and social development of the developing countries, and more particularly the most disadvantaged among them; (ii) the smooth and gradual integration of the developing countries into the world economy; (iii) the campaign against poverty in the developing countries.

Coherence (article 178): "The Community shall take into account the objectives referred to in article 177 (*Community policy in the sphere of development cooperation*) in the policies that it implements which are likely to affect developing countries."

² Commission Communication on 'Policy Coherence for Development – Accelerating progress towards attaining the Millennium Development Goals' – COM(2005)134 final of 12 April 2005 and May 2005 General Affairs and External Relations Council (GAERC) Conclusions on the Millennium Development Goals (Doc. 9266/05).

The answer to this EQ is built on the following judgement criteria (JCs):

- JC11: Degree to which EC education interventions are relevant to and aligned with PRSP or similar national policy or strategy objectives
- JC12: Degree to which EC education support is harmonised and transparent in supporting PRSP or similar national policy or strategy objectives
- JC13: The EC has ensured the overall coherence of its education support

1.1 JC11: Degree to which EC education interventions are relevant to and aligned with PRSP or similar national policy or strategy objectives

The need to align EC response strategies is generally accepted and implemented in the various regions. The new aid paradigm - as well as the introduction of multi-annual programming - have enhanced effective alignment. At a general policy level, the EC consequently seeks to align its education support to national agendas. This is part and parcel of the EC's overall shift away from 'project support' (i.e. the dominant aid modality till the mid-1990s) to a much more strategic, multi-annual 'programming approach'. It is also consistent with the prevailing discourse on donor alignment and harmonisation as well as the general trend towards support to sector programmes and budget support. This trend is likely to continue and be further stimulated as a result of the ongoing debates on donor alignment and harmonisation. It is to be noted, that alignment presupposes the existence of national policies on education or at a more macro level; overall development plans including pro-poor policies and resource allocation to the education sector.

Overall, the analysis of the Country Strategy Papers (CSPs) clearly shows that EC support to education has been relevant to and aligned with the PRSP or the like constructions in-line with national policy thrusts and strategies. Almost all CSPs analysed relating to the period 2000-2007 and onwards show that the EC's support to education has been undertaken in the framework of the countries' Poverty Reduction Strategies (PRS) or equivalent documents. Education and training are a priority of PRSPs since they are instrumental in reducing poverty. In accordance with this, 80 % of the CSPs mentioned the vital importance of education in reducing poverty and fostering development and recognise the important role of the countries in gearing their policies and action in support of their education and training systems in general and pro-poor provisions related to basic education in particular.

The CSPs provide clear evidence that priorities of EC support to education have been set to match the country's own priorities. Every CSP from 2007 onwards clearly mentions that the EC supports national government efforts in order to ensure a minimum standard of service delivery of primary education and a pro-poor distribution of resources between regions and target groups as well as to promote gender equality in education programmes. As the CSPs over the period 2000-2006 do not refer to these issues with the same regularity, it can be assumed that a shift towards greater alignment had taken place in programming between the two rounds of strategy documents, at least at the level of official documents.

Overall, and this is confirmed by the review of Country Strategy Evaluations (CSEs), which also provide assessments of this issue, it appears that the degree of alignment of EC support to the objectives of the respective governments reflected in the PRSPs or similar documents³ is generally high (in relation to the emphasis the EC generally puts on this element of its support). This common pattern can be illustrated for almost all countries reviewed. Of course, alignment to national education sector policies within the framework of PRSPs may be less substantiated in CSPs for countries where education is not a focal sector (see Annex 26) and in *fragile states* where PRSPs or enacted education policies are still emerging.

A few examples illustrate the high degree of alignment of EC support to education with PRSP and national policies:

- In *Bangladesh*, the CSP 2007-13 and National Indicative Programme (NIP) 2007-10 have been prepared in response to the policies of the Government of Bangladesh as set out in the draft PRSP, in line with EC development policy priorities, lessons learnt from and continuity with current programmes and the clearly identified needs of the people of Bangladesh, especially the poor and disadvantaged.

³ India has not produced a PRSP, instead convincingly arguing that its Five-Year Plans are more nationally owned than most PRSPs. Most donors, including the World Bank and IMF (the initiators of the PRSP exercises), have accepted that the Five-Year Plans can be used as substitutes for the PRSP.

- In *India*, the EC has been a pioneer among development partners in aligning its assistance and acting as a catalyst for others to follow. The alignment of the EC's assistance to domestic procedures, policies and plans took place rather early which has increased Indian ownership of and commitment to EC support as well as ensured its overall relevance.
- In *Vietnam*, all EC aid interventions (incl. support to education) are in line with government priorities and fit within the policies and the specific goals of national development strategies.
- In *Tanzania*, the degree of alignment is strong in the areas of transport, governance and education.
- Since 2002 *Nicaragua* has been seen as an example of strong alignment and co-ordination. The Government, assisted by a group of four donors including the EC, formulated a National Plan of Harmonisation and Alignment which was adopted by the Government of Nicaragua and development partners in November 2005.

A very difficult case for alignment is *Eritrea*, where the EC supports the Education Sector Development Program (ESDP) while none of the strategies or co-operation agreements considered the education sector as a priority, although the Government of the State of Eritrea (GSE) has always indicated that it considers education as the basic foundation for development. The case of Eritrea provides a clear illustration of the difficulties of ensuring alignment to government policies when these are largely absent (e.g. no PRSP) or formulated in a rather vague manner, as the *“Thematic Evaluation of EC Support to Good Governance”* already noted in 2006. EC commitments to the education sector have been made which are not in line with the CSP but these have been justified as they contribute to post-conflict rehabilitation and are in line with Government requests. The case of non-alignment in the CSPs in Eritrea may also be viewed as a flexible EC response to complex requirements and weak institutional frameworks existing in a fragile post conflict, poor low-income country. In *Somalia*, the lack of three crucial factors namely; a functioning State, national policy and a PRSP makes alignment virtually impossible.

When looking at cases where EC support went into **General Budget Support (GBS) with education related indicators**, alignment is given per se, as the funds are pledged into the government's budget. In *Jamaica*, for instance, the EC provides assistance to the government's economic reform programme, aimed at stabilising the macroeconomic environment and achieving the government's policy aims in terms of poverty reduction and its targets for social sectors such as health, education and social safety-net programmes.

In the case of *Mozambique*, partners of GBS have, according to the CSE report, aligned themselves to the government's own planning processes and have worked through the government's own systems of cash management, procurement and audit, contributing thus in an important way to strengthening governmental systems and leaderships.

1.1.1 I-111: Appropriate consideration of in-country situation and beneficiary requirements in EC response strategy

Information related to this indicator mainly builds upon the analysis of CSPs and CSEs, underpinned by the findings from the field visits and the European Court of Auditors (ECA) reports for a number of **Sub-Saharan African** countries.

All CSPs relating to the period 2000-2007 and onwards include a section called *“analysis of the country”* or *“country diagnosis”*. These sections depict the results of an analysis, conducted by the EC, of the political, economical, social and environmental situation of the country and reflect the partner country's and regional needs. All CSPs include in this section a specific analysis of the country situation in the education sector. Over the two CSP cycles analysed, the relevant sections have somewhat changed terms of headings and structure, and in most cases, the information has been updated.⁴

⁴ Note: The information for the in-country situation in the education sector is differently presented depending on the countries: for example, one under a sub-section directly named “Education sector” - *Tanzania* (2000-2007). Elsewhere, 12 of the CSPs for the same period present this information under a sub-section called “Social development or social context, another five under the sub-section “Economic and social situation”, the CSP *Eritrea* under the sub-section “Human resources”, and in *Burkina Faso* under “La persistence de la pauvreté”.

For the period 2008-2013, most of the CSPs have been updated. For example, seven of those 12 CSPs (relating to the period 2000-2007) which presented the information under the sub-section “Social development” or “Social situation” have been updated for 2008-2013 with a sub-section called “Social situation including decent work and employment”. The CSPs that have been updated are *Botswana, Dominican Republic, Eritrea, Jamaica, Niger, Somalia and/or Uganda*. Another example is the CSP of *Burkina Faso*, which presents the information for the pe-

However, the level of detail and quality of the information discussed in the CSPs varies significantly from one country to another. In most cases, the analysis includes information on the possibilities for, and obstacles to, development and an overview of the country's / region's own policy agenda for the education sector in relation to any overarching poverty reduction strategy.

In general, the CSP analysis shows that the in-country situation specific to education has been considered and systematically updated. However, the depth and scope of the analysis varies from country to country, since not all CSPs contain the same level of detail in the analysis and some do not specify to what extent the conclusions obtained have been taken into account in the current strategy. In most cases, the effort confirmed the validity of the original strategy and thus did not point to the need for any major change in the support strategies.

The analysis of ECA reports resulted in findings similar and in part complementary to the CSP analysis. Although the ECA reports themselves in general did not devote their primary attention to checking whether the in-country situation and beneficiary requirements had been adequately taken into account in programming, they do address this topic from time to time. The information deduced from such instances reveals that, for the most part, the in-country situation, as well as beneficiary requirements in the form of national policy priorities, have been taken into account. For example, the ECA report for *Liberia* pointed out that the European Union Delegation (EUD) had *sufficient* relevant information about the education sector and duly reviewed it in preparation for the CSP/NIP 2008-2013.

Unfortunately however, ECA reports are not explicit about the depth of such considerations of the in-country situation. Only rarely does it become clear, what sort of analysis or needs assessment(s) (if any) were conducted in preparation of the response strategies, how far such investigations had gone and to what extent they had been taken into account in the final decisions made. One of the few cases where analytical work is openly discussed, is that of *Tanzania*, where the ECA report asserts that the CSP 2008-2013 was based on a joint DP review of the state of play of the education sector. This analysis included a review of the relevant parts of the MKUKUTA⁵ and all other resources available to the DP community.

The ECA reports themselves judge the relevance of the EC response strategies in various countries with mixed results. For example, in the case of *Niger*, the ECA report criticises the country strategy, saying that the issue of demographic increase and gender issues have not been properly integrated in EC support, even though these issues are integrated in the PRSP as strategic axes to reach MDG goals and are recognised as having impacts on the performance of the intervention in the education sector.

As for the field visits, the Country Notes also provide information on this indicator, highlighting the particularities of each context and the EC response to these situations. One interesting case for example is *Cambodia*. While, during the video conferences, several EUDs identified the high turnover within the MoE staff as a recurrent problem (*Ethiopia, Papua New Guinea and Cambodia*), the EUD in Cambodia actually took this contextual factor into account in its response strategy. In order to tackle the issue, it has oriented its Technical Assistance (TA) towards institutional capacity strengthening, rather than focusing on individual capacity strengthening – thus taking particular account of one key potential success-or-failure factor related to the in-country situation.

Two further specific cases, where the EC strategy supporting education was thoroughly adapted to the national context and in particular the evolving sector policy of the government, are the *Dominican Republic* and *Pakistan* (both field visit countries). In these countries, the shift from project support to more joint approaches (Sector Budget Support (SBS), GBS) was gradual and implemented in direct correlation to government priorities as well as the situation in country (particularly taking into account the flexibility necessitated by the earthquake response in Pakistan). The two boxes below illustrate these points in greater detail.

riod 2008-2013 under a new sub-section called "Le développement du capital humain". In *Eritrea* the situation remains similar with the information presented under "Human resources" subsection, as well as for the rest of the CSPs which include the information under the same "Social situation" or "Social development" sub-sections.

⁵ This Swahili acronym is the name of the National Strategy for Growth and Reduction of Poverty of Tanzania.

Box 1: Dominican Republic: Evolution of EC support to education

The policy objectives of the democratic governments have been identified in several steps, among which, it is worth quoting the National Consultation process of 1999 to 2001, which established and clarified the strategic lines of country development and identified poverty reduction and social sectors (including education) as important priorities.

In 2003, the *Estrategia para la reducción de la Pobreza en la República Dominicana*⁶ (Poverty Reduction Strategy in the Dominican Republic) was formulated, that recognised the multidimensionality of poverty and adopted the Human Development approach, identifying two education-related objectives, namely; 1) universal primary education (UPE); and 2) the reduction of illiteracy.

In 2009, a National Development Strategy has been adopted by the Dominican Republic.⁷ This document identifies poverty reduction, reduction of social imbalances and inequalities as the major challenges for the national development process. In education, the most important problems to be dealt with are identified as a) access; b) equity; and c) quality. According to the National Development Strategy, future policies in education will have to address these problems by: a) widening the coverage of the education system and facilitating access; b) fostering improvements in the teaching-learning process to promote education relevance, better curricula, and better conditions for the teachers; and c) building the capacity of education policy makers and implementers at all levels.

In correspondence with national priorities and policy, education is one of the focal sectors of the 9th European Development Fund (for ACP countries) (EDF) (2000-2007) and the CSP/NIP (2001-2007) for the Dominican Republic. The initial allocation for the sector were € 54 million, however in the framework of the Mid-Term Review of the EC country co-operation for the Dominican Republic, it was agreed with the national authorities to transfer € 2 million to a programme to support civil society development by reinforcing the network of Civil Society Organisations (CSOs) specialised in education.⁸

EC interventions have evolved over time in correlation to the priorities of the government and the country context. In previous programming periods and in a first phase in the period under review, the project approach was adopted, with several interventions in the education sector such as Integrated Development Program for Primary Education (PRIDEP) - 7th EDF and Project in Technical Education (PROETP) - 8th EDF, and in the area of Good Governance such as Reform and Modernisation of the State (PARME) and PRIL (more oriented to Civil Society) projects.

EC intervention on education has taken into consideration the needs arising from the long-term and the systemic perspective adopted by the Government of the Democratic Republic of the Congo (GoDR). The Plan for Education (PEDEP 2003-2012) and the objectives of the Strategic Orientation Document, elaborated from the MDG Objectives, outlined the need for an integrated budgetary planning and execution control mechanism.

Consequently, the 2004 Mid-Term Review (MTR) of the CSP/NIP adopted a definite change of direction towards the *Budget Support* modality at both macro-economic and education sector levels. This change in the modality of aid by the EU was reinforced by the good results brought by the first Education Sector Policy Support Programme (SPSPs) in other Africa, Caribbean and Pacific countries (ACP) & Asia and Latin America group of nations (ALA) countries⁹ and by similar decisions taken in other ACP countries as a result of the Guidelines for EC support to Sector Policy Support Programmes adopted by the EC in February 2003.¹⁰

There existed a high degree of relevance and alignment between these priority programmes of government in the education sector, and the particular projects that were supported by the EC during the period under review. All aspects of education were addressed by EC projects, including school infrastructure reconstruction and development¹¹, improving access and increasing education sector effectiveness and efficiency¹², and promoting coherent planning, budgeting and expenditure and increased resources for education.¹³

The SBS has been shown to be the most consolidated aid modality and the most appreciated by GoDR.¹⁴ The adoption of a second phase of Sector Budget Support is due to the successful implementation of the first phase.

Source: Country Note Dominican Republic

⁶ Presidencia de la República Gabinete Social Oficina Nacional de Planificación *Estrategia para la Reducción de la Pobreza en la República Dominicana* 2003

⁷ MINISTERIO DE ECONOMÍA, PLANIFICACIÓN Y DESARROLLO CONSEJO NACIONAL DE REFORMA DEL ESTADO *Estrategia Nacional de Desarrollo 2010-2030 END - 2009*

⁸ Dominican Republic MTR Conclusions 2004

⁹ Overseas Development Initiative Common funds for sector support- Briefing Paper 2008

¹⁰ Support to Sector Programmes Covering the three financing modalities: Sector Budget Support, Pool Funding and EC project procedures July 2007

¹¹ School Reconstruction Project DO/7007-001)EDF VIII and Reconstruction of schools in the Eastern Region (phase II) 8 ACP DO 013

¹² Support Programme to Sector Policy in Education (SPSPE)(DO/002/03rev)EDF IX (SBS Sector Budget Support)

¹³ GBS- General Budget Support for Poverty Reduction (DO/005/05)EDF IX

¹⁴ See: http://diariolibre.com/noticias_det.php?id=247041

Box 2: Pakistan: Evolution of EC support to education

EC support is well aligned to the EC cooperation objectives and in general to Pakistan's policy agenda. Both CSPs (2002-2006 and 2007-2013) incorporated solid situational analysis and highlighted medium term challenges. In terms of policy anchorage, the EC response reveals a strong liaison with the Education Sector Review (ESR) Action Plan (2001-2005); the National Education Policy and EFA/MDG plans for the country. In particular, there has been a strong realignment of the support to concentrate on budget support to Provincial Governments, with a great majority of the budget going to district administrations, given their mandate for education sector management and service delivery. This realignment happened as a consequence of the Local Government Act of 2001. EC budget support of € 39 million to the Sindh Education Plan was linked to the Compulsory Primary Education Ordinance of 2001 in the NIP 2003-2005. The EC contribution covered € 26 million for District Budget Support, € 7 million for Provincial Budget Support and € 4.6 million for Technical Assistance.

The EC response to the devolution process is well outlined in the NIP (2003-2005) and consisted of provisions for two decentralised sector budget support programmes in Sindh and the North Western Frontier Province (NWFP), helping to increase institutional capacity at provincial and district level. Two different models were opted for, one through a multi donor involvement in support of an education sector policy in NWFP, and another approach in the shape of the Sindh Education Plan Support, linking a Government of Sindh (GOS) Medium Term Sector Reform Programme (SERP) and a policy matrix for a World Bank Investment Programme/EC Sector Budget Support with a significant provision for TA support.

The increased alignment in the 2002-2006 programming cycle is reflected in the move away from infrastructure projects towards support to policy-based investment programmes paying due attention to the gender dimension and to close participation by local communities. The CSP 2002 constituted a process of further concentration towards two priority sectors with 80% of the overall funds for human development.

Regarding the issue of provision of support to the education sector and PRSP objectives, via either budget support or using programme-based approaches, the following can be said: during the implementation of the CSP 2002-2006, Pakistan constituted a difficult environment for planning, due to the political crisis, e.g. affecting the NIP 2003-2005. The earthquake (2005), but also the far-reaching devolution of authority through the Local Government Ordinance of 2001, and delays in issuing the fully-fledged, costed PRSP (2003) after the Interim Poverty Reduction Strategy Paper (IPRSP) - all these developments demanded substantial flexibility and coping mechanisms from the EU Delegation.

The EUD response to the earthquake consisted of the following:

- A contribution to the Asian Development Bank (ADB) EEAP for the reconstruction of 328 middle schools and the provision of teacher training; and
- A Contribution Agreement with United Nations International Children's Emergency Fund (UNICEF) for the implementation of the "Pakistan Education program in the Earthquake affected districts of NWFP and Azad Jammu and Kashmir (AJK)."

While the CSP 2002-2006 was relevant in terms of aligning the EC response to the PRSP, the latter did not fully elaborate pro-poor measures in the social sectors in general and in education in particular. However, the PRSP of 2003 included a more focused human development strategy and a participatory process in PRSP preparation. It stressed education as the most important factor distinguishing the poor from the non-poor.

The CSP 2007-2013 is well aligned to the PRSP. In its paragraph on dialogue with the government and alignment with national policies, it notes that the majority of donors in Pakistan, including the EC, align their co-operation strategies with the PRSP.

There is a clear trend in Pakistan towards a large majority of EC aid to the education sector being provided as budget support, and, overall, the support from 2002 onwards has been in line with and in support of PRSP objectives.

EC support is well aligned to the Federal Government's nation-wide policy framework of the National Education Policy (NEP) and PRSP. Alignment of EC support to the education sector requirements of the government of Sindh was facilitated through a two day Roundtable Consultation in Karachi in March 2004, with the Sindh Education Department and development partners. The Sindh Education Plan prepared by the Government of Sindh provided a framework for EC budget support. Moreover, the EC added a substantial TA component, assisting the Reform Support Unit (RSU) in the process of meeting the Disbursement Linked Indicators (DLIs). The policy matrix and results framework were jointly formulated and agreed by the Government, EUD and World Bank.

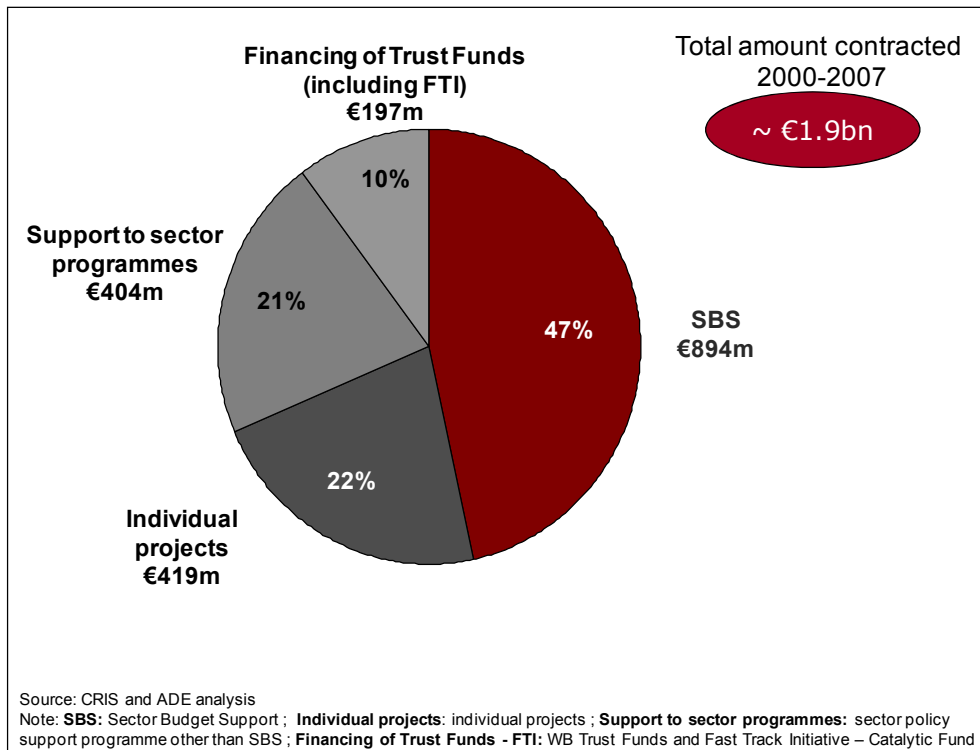
Source: Country Note Pakistan

Taking all the collected information into consideration, it is evident that the country situation and beneficiary requirements have been taken into account in the EC response strategy in most countries, even if it is unclear how comprehensive the analyses of the context were in some cases. The field missions resulted in detailed findings, and affirm a high level of relevance in terms of alignment.

1.1.2 I-112: Percentage of EC aid to the education sector that is provided either as budget support or using programme-based approaches for supporting PRSP objectives

Generally speaking, the EC delivered its “direct” support to the education sector through the following four major modalities: SBS, individual projects, Support to Sector programmes (SSP¹⁵), and the financing of trust funds (including the Fast Track Initiative (FTI)). The figure below shows the share of these four modalities on the total amount contracted to support the education sector, excluding higher education (HE) and Vocational Education and Training (VET).

Figure 1: Breakdown of modalities used by the EC to delivery its aid, contracts (€ million), education sector excluding HE and VET, 2000-2007



From the inventory and further country study, it appears that:

- More than two thirds of EC support to education was given in the framework of sectoral approaches, while financing of individual projects still represented 22% of the total amount contracted. Contributions to trust funds made up 10% of the total amount contracted and mainly concerned the EC’s support to the FTI.
- Nearly half (47%) of the EC’s funds to the education sector were delivered through SBS operations. These are per definition aligned and supportive of the existing in-country policies.
- The EC also supported the sector through other types of support where funds are not directly pledged into the government’s budget (support to sector programmes). This category represented 21% of the total amount contracted by the EC for direct support to education. This support is also part of the categories falling under “budget support or programme-based approaches”.

In terms of regional differences, the following observations can be derived from the additional analysis:

- In several countries studied especially in **Asia**, a shift is noticed from project support (a significant modality in the 1990’s) to support to sector programmes, in certain cases through trust funds, and from support to sector programmes to Sector Budget Support. For example; in *India*, from 1995 onwards, the approach of supporting small projects in the education sector was largely replaced (the exception is the Aga Khan Foundation Programme for Enrichment of School Level Education (PESLE) project concentrating on minorities and scheduled castes not adequately served by mainstream provisions) by concentrating on a sector support programme, the District Primary Education Program (DPEP). During Sarva Shiksha Abhiyan, the

¹⁵ This is not an official category of EC aid delivery methods, but, as a clear categorisation of SPSPs was lacking in the CRIS database, the evaluation team used it as category for the analysis.

successor to DPEP, the EC was instrumental in proceeding towards co-financing with other development partners (Department for International Development (DfID) and World Bank (WB)) under common arrangements with a system of pooled funding. In *Bangladesh*, the project modality coincides with extensive support of a 'support to sector programmes' nature to the Second Primary Education Development Programme (PEDP II). In the past, the EC also supported stipends and the construction of boarding facilities to enhance access of girls to secondary education (PROMOTE - Programme to Motivate, Train & Employ Female Teachers in Rural Secondary Schools) and is continuing support to the parallel system of Non-formal primary Education (NFPE) through Bangladesh Rural Advancement Committee (BRAC), subject to mainstreaming, as well as education support in the framework of the minority focused Chittagong Hill Tracts (CHT). In *Vietnam*, 56% of all education support (€ 28 million) was in the form of SBS (when not taking GBS into account), which directly supports the NTP (National Targeted Programme) and Government sector plan¹⁶. In *Indonesia*, a shift can be noticed to a trust fund with the ADB and a contract to UNICEF, paving the way for Indonesia applying most characteristics of a Sector-Wide Approach (SWAp) and subsequently a programme of support resembling SBS called the Basic Education Trust Fund (BEC/TF).

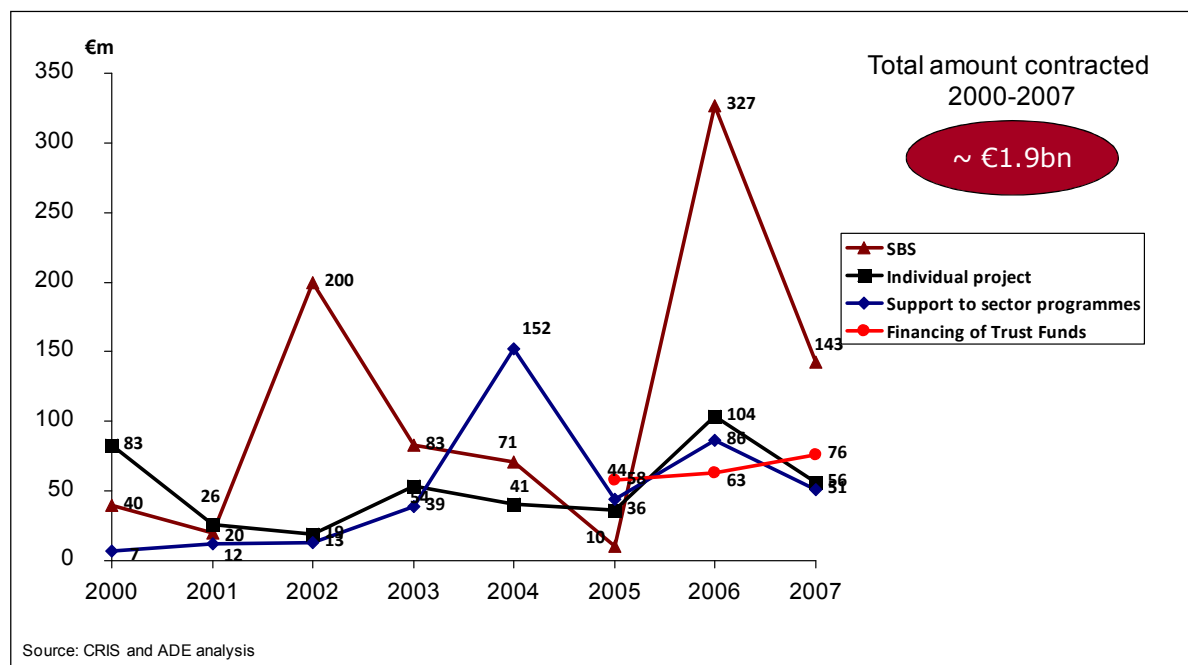
- In **ACP** countries, there has been a similar shift from projects to Sector Budget Support but especially to GBS with or without applying SBS as an interim-modality. More specifically, in ACP **Sub-Saharan Africa**:
 - In *Ghana*, although support to education projects remained at a low level of commitments till 2004, already from 2001 onwards a round of EC financed GBS started with the Poverty Reduction Budget Support 3 (PRBS 3), now having moved to Multi-Donor Budget Support (MDBS).
 - In *Tanzania*, emphasis on education sector projects shifted to the Primary Education Development Programme (PEDP) with EC support in 2002. The EC has played a crucial role in finding a consensus among pooled fund partners regarding the new budget support approach to the education sector. Coinciding with SBS, the EC is also a major contributor to the PRBS with variable tranches based on social sector (including education) indicators.
 - In *Uganda*, from 2000/01 EC support was through earmarked education sector budget support (support to Universal Primary Education (SUPE), 2001-2005) and a stronger focus on education was given in the Poverty Alleviation Budget Support Programs (PABS 4 and 5) in the EDFs 8, 9 and 10. The trend towards focusing on General Budget support was further strengthened during EDF 10, by Uganda qualifying as one of 9 countries for an MDG contract. The support granted should be used to increase the quality of education and health services.
 - In both *Mozambique* and *Niger* there is a combination of project support and education relevant GBS.
- The **European Neighbourhood countries** are completely different in terms of the aid modalities used: in *Tunisia*, EC support to primary and secondary education was solely through SBS, while GBS support to the country was not linked to the education sector. On the other hand, support to *Russia* and *Tajikistan* respectively (now under Development Co-operation Instrument (DCI)) is exclusively implemented using the project modality.
- The project modality had to be chosen in **fragile/failed states** not conducive to programmed approaches, special circumstances, or when the national government is faced with constraints in meeting demands for universal primary education, especially of poorer segments of society. With regard to fragile states:
 - EC's support to education in *Eritrea* had to apply a traditional project approach with decentralised management, as current conditions in Eritrea limit the possibility of working through programmed approaches and budget support.
 - In *Somalia*, 90% of EC support to education is channelled through CSOs as Somalia practically had no operational government. 100% of EC aid has been provided via the project approach.

¹⁶ Note: the PRSP has been supported by the EC through a WB-administered GBS, with total commitment until 2009 of about € 104 million.

- In the *Occupied Palestinian Territory*, EC education support is channelled through Non-Governmental Organisations (NGOs) following a project modality.

When looking at developments over the period 2000-2007, the following figure depicts uneven trends by modality:

Figure 2: Trend of the amount contracted by modality used by the EC to deliver its aid, contracts (€ million), education sector excluding HE and VET, 2000-2007¹⁷



- High amounts of funds have been contracted through SBS in 2002 and in 2006 and 2007 compared to the other modalities; *India* received € 199 million in 2002 and € 145.5 million in 2006 respectively, which already explains the peak in 2002; *Botswana* received € 50.9 million and *Tanzania* € 41.5 million in 2006;
- Since the year 2000, support via SSP also increased, with a notable peak in 2004 (*Bangladesh* PEDP II, € 103 million);
- Trust funds started being used in 2005 and slightly increased in 2006 and 2007;
- The financing of individual projects has decreased from 2000 to 2002, but then again reached higher levels to become even the second most used modality in 2006, which is due to the financing of large projects in *Bangladesh* (support to non-formal education) and in *Pakistan* (Earthquake Emergency Assistance Project – Education - in the Earthquake-Affected districts of AJK, and the Northern Pakistan Education Programme – together totalling €40 million). In 2007, these figures again decreased, but still remained at a level higher than those between 2001 and 2005.

The trends for SBS and SSP together clearly indicate the shift in emphasis and the move away from project support. Increases in the financing of individual projects seems to be a reflection of high singular commitments in specific countries, where it was deemed to be the best approach for a given situation (earthquake) or sub-sector (Non-formal Education (NFE)).

- While the CSE review did not provide an extensive array of information related to the percentage of budget support or of the use of programme-based approaches, the survey to EUDs shows detailed figures underpinning the results of the inventory. The following table depicts the figures that were collected by the survey in relation to the provision of aid to education as budget support or using programme based approaches: in the countries whose respective EUDs answered the survey, the use of budget support or programme-based approaches was

¹⁷¹⁷ Note: This graph depicts actual contracting per year, not the time at which the programming was done. Depending on the in-country situation, more or less time may pass between programming and contracting. Both the structure of the programming cycle (including NIPs), as well as potential delays in contracting, may account for the rather 'zig-zag' nature of the lines rather than continuous lines displayed here.

relatively limited in the early years under evaluation, as only three countries were partially supported through such approaches in the education sector in 2002/03, *Tanzania* and *India* being the spearheads.

- By 2007/08 the picture had changed considerably, with other countries where the EC provided support through programme-based approaches / budget support joining where this had already been the case since 2002/03: *Botswana* (98%), *Dominican Republic* (90%), *Pakistan* (48%), *Vietnam* (60%) and *Nicaragua* with its SBS (100%).

The respondent from the EUD to *Bangladesh* indicated that in 2007 most education support was provided using a sector support programme (PDPEP II), whilst *Pakistan* mentioned education support (including Technical and Vocational Education and Training (TVET) was predominantly provided using a project modality (apart from the Sindh Education Reform Program which is a sector support programme).

This last example also demonstrates an instance of progress made in the education sector on one of the Paris Declaration indicators for harmonisation.

Table 1: *Results of survey to EUDs: Percentage of EC aid to the education sector that is provided either as budget support or using programme-based approaches for supporting a PRSP or comparable objectives*

Country	BOTSWANA	BURKINA FASO	DOMINICAN REPUBLIC	ERITREA	SOUTH AFRICA	TANZANIA	INDIA	Bangladesh	INDONESIA	PAKISTAN	VIETNAM	TUNISIA	OCCUPIED PALESTINIAN TERRITORY	ARGENTINA	NICARAGUA
Year															
2002/2003	0		0	0	0	95	90	0	0	0	0	20		0	0
2007/2008	98	75	90	0		95	90	60	0	48	60	30	0	0	100

Source: EUD survey

The findings of both the inventory and questionnaire survey are further confirmed by the focus group discussions held with various EUDs via video-conference. While no specific numbers on the percentage of budget support versus other modalities emerged, participants clearly confirmed that there had been a general move towards the greater use of budget support. And this budget support (particularly SBS), is understood to be in clear alignment with national priorities and policies, as expressed in PRSPs.

The information gleaned from the Country Notes, provides greater detail on the composition of aid and especially on the actual alignment of education support through various modalities to national policies:

- As for *Niger*, the Country Note discusses the various modalities employed for education sector support, highlighting that as for GBS, EC support has been perfectly in line with the implementation of the national policy (PDDE), with education indicators being more focused on quantitative than qualitative kinds of data.
- As for *Tunisia*, the field visit resulted in a very positive judgement of alignment of EC support with national policy through the use of SBS.

Box 3: *Tunisia: Alignment of EC support to Tunisia's education sector policy*

The main strategy for improving the quality of education has been a new pedagogical approach, the Competency Based Approach (CBA), which was supported on a pilot basis by the United Nations International Children's Emergency Fund (UNICEF) from 1994. In 2000, Tunisian authorities decided to generalise this approach to all primary schools.

The EU has responded positively to the government policy by providing sector budget support to basic education to the tune of € 40 million.

Both SBS were completely in line with government policy and took into consideration both the "Loi d'Orientation de l'Education et de l'Enseignement Scolaire" of July 2002, as well as the presidential Programme "L'Ecole de Demain" for the period 2002-2007.

Source: Tunisia Country Note, 2010.

- In the case of *Pakistan*, for example, a large proportion of recent support has been provided through sector budget support, but in fact, according to the Country Note's analysis, the policy framework on the side of the government still could use improvement (see following box).

Box 4: Pakistan: Alignment of EC support to Pakistan's education sector policy

Overall, during the period under consideration, some 50% of CSP-related EC aid to the education sector was provided as budget support, and 100% using programme-based approaches to support PRSP objectives.

There is a clear trend in Pakistan towards a large majority of EC aid to the education sector being provided as budget support, and, overall, the support from 2002 onwards has been in line with and in support of PRSP objectives.

EC support is **well aligned to the Federal Government's nation-wide policy framework** of the NEP and PRSP. However, the devolution process and provincial and district autonomy have not fully crystallised into a policy framework to align with. The SERP represents a comprehensive medium-term strategy to improve access, equity, quality and governance in elementary and secondary education. However, while the SERP is strictly aligned to the NEP, PRSP and ESR, it lacks the status and formative procedure of a fully fledged policy. In effect, it is a policy matrix agreed upon by the Government of Sindh, the World Bank and the EC, which includes a number of disbursement-linked indicators, and when achieved, will have established the contours of performance-based policy. Hence, it does not constitute a policy per se, but rather a set of conditions for policy and effective service delivery.

Source: Pakistan Country Note, 2010.

Overall, there is clear indication that EC policy commitments related to budget support at the sectoral level and for programme-based approaches as defined by the Paris Declaration have been implemented. Where budget support and sector programmes exist, they are generally well aligned to national policy frameworks, from PRSPs for GBS, to specific education sector policies in the case of SBS and sector support programmes. Over the course of the evaluation period, both the number of countries where SBS and programme approaches are employed, as well as the overall percentage of support to education that is delivered through these modalities, have substantially increased.

Based on the sum of findings from the desk research and from the field visit, the following picture emerges in terms of the mix of aid modalities in light of divergent country contexts. Although there are exceptions to these trends, it appears that:

- In terms of regional differences, EC support to the education sector in **Asia** has seen a general move towards SBS (*India*) and support to sector programmes (*Bangladesh, Indonesia*), whilst in **ACP** countries, the shift has more frequently gone all the way to **GBS** (*Uganda, Tanzania and Mozambique*).
- In **Latin America**, a move towards SBS can be observed, although this move has mainly happened after the end of the period under evaluation, as, for, instance, confirmed by the video-conference (*Paraguay, Ecuador and El Salvador*).
- In **European Neighbourhood-Mediterranean Basin and Middle-East group of nations (MEDA)** countries, SBS is the favoured modality (*Tunisia, Morocco*).
- The project approach has continued to be highly relevant especially in **fragile/failed states** (*Eritrea, Somalia and Occupied Palestinian Territory*).

1.1.3 I-113: Change in number of project implementation units running parallel to government institutions within the education sector

Neither the analysis of CSPs nor the CSE or ECA reviews provided an extensive array of information related to the number of project implementation units running parallel to government institutions. However, the survey to the EUDs provided useful insights on this point. The following table depicts the respective figures that could be collected by the survey.

Table 2: Results of survey to EUDs: Number of EC-supported project implementation units running parallel to government institutions within the education sector

Country	BOTSWANA	BURKINA FASO	DOMINICAN REPUBLIC	ERITREA	Ghana	SOUTH AFRICA	TANZANIA	Bangladesh	INDIA	INDONESIA	PAKISTAN	VIETNAM	TUNISIA	OCCUPIED PALESTINIAN TERRITORY	ARGENTINA	NICARAGUA
Year																
2002/2003	1	1	0	1	0	4	0		1	0	1	1	0		0	1
2007/2008	0	0	0	1	0	n/a	0	0	0	0	0	1	0	0	0	0

- For the first reference year, one EUD indicated that there were four parallel project implementation units - Project Implementation Unit (PIU) (*South Africa*), 7 out of 14 EUDs indicated one parallel PIU, and 6 out of 14 EUDs indicated that there were no education-related PIUs at all in operation in their country.
- For the second reference year, out of 15 responses only two indicated that there was one parallel PIU and all the other respondents indicated that no parallel PIUs were existing any more. The trend clearly was to phase out parallel PIUs during the course of the evaluation period (e.g. *Nicaragua* has had none since 2005, *Argentina* includes Technical Units implementing EC aid in the MoE, *Tajikistan* is phasing out PIUs in the education sector, whilst *Uganda* mentioned that a PIU was transferred from independent arrangement to being included in the Ministry by the end of 2007).

While the average number of parallel units for the first year was 0.79, it had shrunk to 0.13 units on average for the second reference year (among the 14 EUDs who answered this question).¹⁸ In terms of quantitative responses, this clearly demonstrates the progress of the surveyed EUDs in achieving Paris Declaration indicators, and also underlines the move towards sector approaches, which are no longer in need of PIUs.

The field visits largely confirmed the results of the survey. For example, the Country Notes confirmed the absence of parallel PIUs in *Tunisia* and the *Dominican Republic*. In the case of *Bangladesh*, it was pointed out that efforts were apparently underway to further reduce the number of parallel PIUs among all donors in the education sector. And as for *Niger*, apparently the last parallel PIU was abolished in 2009.

All in all, it appears that the shift from an emphasis on projects, towards more sector support, SBS and GBS, has led to a significant reduction in project implementation units running parallel to government institutions within the education sector. The need for parallel project implementation units disappears with fully fledged SBS being implemented. Within trust funds and sector support programmes without pooled funding and for TA components linked to education sector support programmes, parallel systems sometimes remain, though often cumbersome in terms of their relationship with government structures, as for instance in *Eritrea* and the trust fund between the EC and the Asian Development Bank on component 1 of the Basic Education Sector Capacity Support Program (BE-SCSP) in *Indonesia*.

For project support these structures are now often being co-ordinated. This is the case e.g. in *Bangladesh* for the BRAC Donor Liaison Office supported by the EC. In *India*, the EC Education Project Office (EPO) played a vital role in enhancing dialogue with the Government of India (GoI) related to the DPEP program and its successor Sarva Shiksha Abhiyan. However, the EC EPO did not succeed in making a breakthrough with regard to EPO supported capacity building for DPEP.

1.2 JC12: Degree to which EC education support is harmonised and transparent in supporting PRSP or similar national policy or strategy objectives

100% of the 23 revised CSPs analysed indicate that the EC devotes particular attention to stepping up co-ordination and harmonisation with the partner country and other donors, particularly EU Member States. The various analyses undertaken show that the degree to which EC support to education is harmonised in supporting PRSPs very much depends on the type of support employed in the partner country or region.

1.2.1 I-121: Degree to which joint (government and other development partners) field missions and shared analytical work take place related to education support

The various desk phase tools, as well as the field visits, provide substantial information regarding the degree to which shared analytical work and joint field missions including governments, the EC and other development partners, have taken place and evolved during the evaluation period.

Pertaining to the number of **joint field missions**, which is one of the Paris Declaration indicators, the questionnaire survey to EUDs provides a quantitative impression over the evaluation period. The average number of joint field missions for the first reference year (e.g. 2003) was 1.60 whilst the corresponding figure for the second reference year (e.g. 2007) had increased to 3.17. However, it should be noted that figures for the early years under evaluation are rather limited, as only five EUDs were in

¹⁸ It should be noted that some EUDs indicated that no data was available to EUD staff on the issue of parallel PIUs (e.g. in *Jamaica* and *Tajikistan*).

the position to answer the question, with the highest number of joint missions (namely two) being performed in *India*, *Tunisia* and *Burkina Faso*. For the second reference year the leading lights are *Argentina* and *Occupied Palestinian Territory*¹⁹ with the highest number; namely eight joint missions each. However, the figure for the *Occupied Palestinian Territory* seems to mainly concern tertiary education, where the EC, together with the World Bank, is engaged. But even when not considering this specific high figure, the results still demonstrate that the surveyed EUDs perceive to be making good progress on increasing the numbers of joint missions in the education sector.

Table 3: Results of survey to EUDs: Number of joint field missions regarding support to education (Government, EC and other development partners)

Country	BOTSWANA	BURKINA FASO	Tanzania	Bangladesh	INDIA	PAKISTAN	VIETNAM	TUNISIA	OCCUPIED PALESTINIAN TERRITORY	Tajikistan	ARGENTINA	NICARAGUA
Year												
2002/2003		2			2		1	2				
2007/2008	1	2	1	3	2	2	2	4	8	1	8	3

Furthermore, where sector budget support is being implemented in the education sector there has usually been a fair degree of planned harmonisation (e.g. in *Bangladesh*, *India*, *Tanzania* and *Uganda*) with various forms of field missions, e.g. Joint Review Missions/Monitoring Missions, taking place, and relevant stakeholders being involved, e.g. also CSOs as for instance in Tanzania. However, also countries which focus on a project modality have still been able to carry out joint project-related missions (e.g. *Eritrea* or the *Occupied Palestinian Territory*). All in all, the information collected through the survey to EUDs clearly reveals an increase in the number of joint field missions.

As for **shared analytical work**, a synthesis of survey results indicates the following trends, as illustrated in the table below:

- For the first reference year (2002/03), six out of 16 responding EUDs indicated that shared analytical work is being carried out to a 'limited extent' (*Nicaragua*, *Vietnam*, *Pakistan*, *Bangladesh*, *Burkina Faso* and *Botswana*), two EUDs indicated a 'medium extent' (*Tanzania* and *Tunisia*), and two a 'high extent' (*India* and *Uganda*) of shared analytical work. The remaining six EUDs indicated that no shared analytical work was being carried out or that this question was not applicable. None of the respondents stated that such work had reached a 'very high extent'. When these results are conjoined with available data on the type of modality employed to support education, it appears that where sector approaches had already been implemented during the early period under evaluation, there existed a greater amount of joint analytical work.
- For the second reference year (2007/08), the picture had changed substantially. Now only two out of 16 EUDs indicate a 'limited extent' of shared work (*Eritrea* and *Indonesia* who had previously indicated their response as not applicable), six EUDs indicated 'medium extent' (*Burkina Faso*, *Ghana*, *Vietnam*, *Pakistan*, *Bangladesh* and the *Occupied Palestinian Territory*), five EUDs indicated 'high extent' (*Tunisia*, *Argentina*, *Nicaragua*, *India* and *Botswana*; out of which all but Argentina are recipients of sector budget support) and two EUDs (*Tanzania* and *Uganda*) even indicated to a 'very high extent'. Again this shows, with the exception of Argentina, the direct effect of more "advanced" forms of sector support – namely SBS (*Tanzania*, *Nicaragua*, *Tunisia*, *India*, *Botswana*) – and/or GBS (*Uganda* and *Tanzania*) on the incidence of undertaking analytical work in a shared form. On the other hand, *Burkina Faso*, *Ghana* and *Vietnam* are countries where GBS in various forms has prevailed with less direct influence on what is happening in the education sector; perhaps therefore the scoring is more modest.

¹⁹ The figure for West Bank and Gaza Strip seems to mainly concern tertiary education, where the EC, together with the World Bank, is engaged. This project seems to be entirely managed by the Ministry of Education and Higher Education (MoEHE) with twice-yearly joint missions between the three parties.

Table 4: Results of survey to EUD: Degree to which shared analytical work of support to education is taking place (Government, EC and other development partners)

Country	BOTSWANA	BURKINA FASO	DOMINICAN REPUBLIC	ERITREA	Ghana	SOUTH AFRICA	TANZANIA	Uganda	Bangladesh	INDIA	INDONESIA	PAKISTAN	VIETNAM	TUNISIA	OCCUPIED PALESTINIAN TERRITORY	ARGENTINA	NICARAGUA
Year																	
2002/2003	1	1	0	N/A	N/A	0	2	3	1	3	N/A	1	1	2		N/A	1
2007/2008	4	2	0	N/A	2		4	4	2	3	1	2	2	3	2	3	3

Legend:

N/A= not applicable	2= medium extent
None=0	3= high extent
1= limited extent	4= very high extent

The focus groups, CSEs and other evaluation reports, Results-Oriented Monitoring (ROM) and ECA reports analysed, provide information about joint field missions but are less conclusive about the exact nature and modalities of shared analytical work taking place. Nevertheless, the analysis of these reports helped to underpin the evidence from the survey on both elements. According to available documents, progress has generally been made in carrying out joint field missions and joint analytical work, especially in the framework of preparing for SBS and GBS, and in monitoring progress. In the period under review joint field missions for multi-donor supported education sector programmes are becoming the rule rather than an exception. Interestingly though, compliance missions related to SBS are often not joint because of donor insistence on specific indicators for variable tranche release (hence within SBS, there are, in a way, different programmes guided by different donor procedures).

The desk study offered ample examples of the move towards more joint field missions and analytical work, and have since been complemented by further information gathered during the field visits:

- In *India*, DPEP was monitored twice a year by Joint Review Missions (JRM) which were led, in rotation by the Government of India (GoI), the World Bank, the EC and DfID.
- In *Vietnam*, co-ordination between donors in general has been assured via various co-ordination mechanisms, as well as utilising donor sector working groups for several focal sectors including education. The EC has, by pooling its analysis with that of other donors, and through limited but significant progress in joint missions, exploited synergies and reduced transaction costs for the Government of Vietnam (GoV). Overall, Vietnam has reduced the volume of joint analytical work in general (not just in the education sector) and has co-ordinated analytical work jointly with development partners, thereby eliminating overlap.
- In *Burkina Faso*, according to the ECA report, all major beneficiaries were involved in all stages of EC support (not just for education). The Government, civil society and the private sector were involved at every stage of the design, implementation and Monitoring and Evaluation (M&E) of projects. The ECA report furthermore reveals that joint review missions are used in order to achieve better harmonisation and alignment between the government's strategy and EC support. The EC supports the implementation of the primary education development plan (Plan décennal de développement de l'éducation de base, (PDDEB)), which foresees a precise calendar of coordination and discussion in order to ensure the monitoring of the action plan. The joint review missions and meetings with donors and the GBF are part of the PDDEB. Furthermore, the updating of the PDDEB follows a joint work plan ("programme de travail conjoint concernant l'actualisation du PDDEB") and takes into account the evaluation of the first phase of the PDDEB 2002-2005, as well as the orientations of Education for All-Fast Track Initiative (EfA-FTI).
- In *Niger*, according to the ECA report, the EUD has supported the education sector development plan (Plan décennal de développement de l'éducation, PDDE) since 2003 and has participated in the annual joint sector reviews. They look at the progress reports and assess the relevance, outcomes, effectiveness and impact and formulate recommendations. The field visit confirmed and provided further detail on these joint reviews. Since the FTI endorsement, a yearly joint review is organised for the follow up of the implementation of the PDDE and the planning of the next phase. The first joint review took place in October 2003, the second in September 2004 and the third in September 2005. During the recent years, this joint review is

taking place in the middle of the year (June-July). There are about 15 donors invited to joint reviews, but only a limited number have accepted to participate in the common fund using national procedures. Although the EC is not contributing to the common fund, it is closely associated to the yearly joint reviews, insofar as these reviews examine all donors contributions for supporting the PDDE, and variable tranches of the EC GBS are linked to indicators which are discussed and analysed during the joint reviews. Actually, the disbursement of EC GBS variable tranches requires the same type of information that is required for the common fund. At the time of the mission (June 2010), the joint review was still under preparation, and not yet finalised. It was still unclear whether required documents would be made available on time. If not, there was a danger that some commitments could not ever be disbursed due to regulations on the donor side, according to which some disbursements have to take place before a certain deadline or they will be lost.

- In *Tanzania*, according to the ECA report, annual joint sector reviews (JESR) take place and are attended by high level Government of Tanzania (GoT) officials, DPs and civil society organisations. As part of the review process, the trends in the allocations to education over time are assessed as well as the degree of improvement in the development process. The JESR, which is only one discussion forum between the GoT and the DP, has been made possible through intense policy dialogue. The conclusion of the ECA report states that: *“The overall education policy dialogue structure for DPs and the government is now well established and demonstrates political leadership and ownership by the GoT.”*
- As for *Tunisia*, overall, it seems as if joint (government and other development partners) field missions and shared analytical work did not take place related to various education support initiatives. This might be due to the perception that the country is mature enough to develop its pre-school strategy on its own and no longer needs any active development partners' support in this respect.
- In *Liberia*, the ECA report describes how, in order to assist the GoL in its application for the Catalytic Fund, the EUD, together with other DPs, have brought input in the form of a joint Education Sector Programme (ESP) appraisal (January 2010) and subsequent revisions. The FTI application was to be submitted in March 2010, which means after the period under evaluation.
- In *Pakistan*, the field visit revealed that analytical work is joint to a large extent, based on programme implementation and monitoring of compliance and a common policy/result and performance assessment framework.

Overall, according to the documents analysed and underpinned by the survey results and the video-conferences, progress towards joint field missions and shared analytical work appears to have been made to a certain extent in the sample and field visit countries. No clear regional patterns emerge.

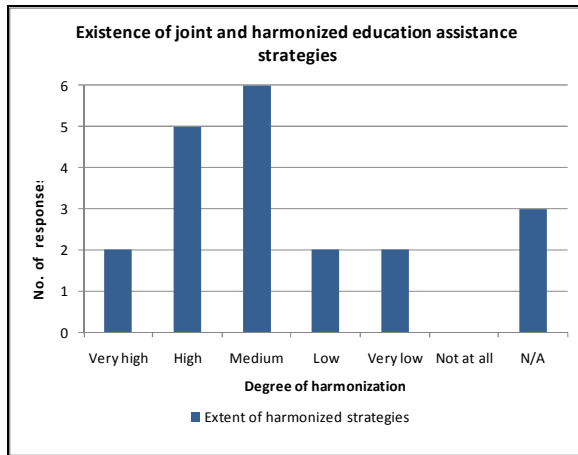
1.2.2 I-122: Joint and harmonised education assistance strategies

This indicator relates very closely to others on cooperation and coordination between DPs, elaborated on in EQ8. However, it was decided to keep this indicator within EQ1, as it is one factor determining the relevance of the EC's education support strategies, and thus contributes towards answering this EQ.

Results from the survey indicate that 20 out of 23 EUDs had recorded their perceptions on how joint and harmonised the education assistance strategies of the donor community are. Results are shown below. The medium category was used mostly, i.e. for six out of 20 responses (*Burkina Faso, Dominican Republic, Vietnam, Occupied Palestinian Territory, Tajikistan and Argentina*). Five EUDs (25%, *Ghana, Tanzania, Uganda, Tunisia, and Nicaragua*) responded that harmonisation of strategies was 'high' whilst only two (10%) indicated that harmonisation was considered as 'very high' (*India and Mozambique*).

From the results it would appear that harmonisation of strategies is at good levels five years after the agreement with the Paris Declaration.

Figure 3: Results of survey to EUDs: Existence of joint and harmonised education assistance strategies



Scoring levels	No. of answers	%
Very high	2	10,0%
High	5	25,0%
Medium	6	30,0%
Low	2	10,0%
Very low	2	10,0%
Not at all	0	0,0%
N/A	3	15,0%
Total	20	100,0%

Source: EUD survey

From the detailed answers related to the scorings, some further trends can be derived:

- The **'very high'** responses for *India* and *Mozambique* seem to reflect considerable efforts that have gone into co-ordination combined with the existence of long-standing co-operation and broad-based discussion fora.
- Detailed answers of those EUDs indicating **'high'** are close to the first category of answers, also indicating that there was a substantial degree of donor co-operation in the education sector, which may have facilitated greater harmonisation, e.g. a working group being in place (*Ghana*) and all projects being jointly monitored in that group, and a functioning sector dialogue being in place (*Tanzania* and *Nicaragua*) in countries receiving sector budget support (and partly GBS).
- At the **'medium'** scale, where most respondents assessed their position (6 out of 20), certain recent efforts at harmonising education assistance strategies were registered (*Dominican Republic*), while despite the fact that no formal co-ordination mechanism is in place in *Argentina*, dialogue with Government and other donors seems to contribute to a certain degree of harmonisation.
- Respondents from EUDs to *Indonesia* and *Pakistan* found there to be a **'low degree of harmonisation'** with a greater focus on information sharing. While the situation seems to have improved in Indonesia after 2007, probably as a consequence of the existence of a donor Education Sector Working Group, Pakistan seems to be a case where patchwork-related efforts on education support still prevail. However, the EUD did note some progress in that regard:
 - o In Sindh, three major donors work in education: the WB, the EC and United States Agency for International Development (USAID). The EUD led the donor round-table in Sindh in 2004 to formulate Sindh's Education Sector Plan and has, since then and according to the EUD, remained a dominant member of the Sindh Education Donors Group. The WB and the EC hold regular consultations through their JRM of the Sindh Education Plan Support Program, whilst co-ordination with USAID rather takes place at the project level (e.g. out of the 23 districts in Sindh, it has been agreed that USAID will upgrade the education management system of 11 districts and EC funds will do the same for the remaining 12).
 - o Moreover, very recently, in the NWFP, all donors including the WB, Australian Government Overseas Aid Program (AusAID), USAID, DfID, the Netherlands, JICA (Japan International Cooperation Agency), and Norway assisted the Government of NWFP (GoNWFP) in finalising a fully costed Education Sector Plan. In addition, all donors have agreed to work together in a SWAp in NWFP and a memorandum of understanding has been prepared in that regard, which seems to have been signed by the majority of donors.
- In terms of **'very low'** ratings, the scoring for *Eritrea* represents a clear case of a government not taking up responsibility for ensuring harmonised support or assessments (nor of providing

relevant budget information that would be required to produce a kind of joint assistance strategy), while the answer from the South African EUD points to the fact that donors supporting education in *South Africa* were still rather working in isolation until 2006, a fact that seems to have changed since, due to efforts of jointly developing the 2007-2013 CSP for the country together with EU member state (MS).

Three EUDs marked the question as 'not applicable', namely *Jamaica* (as they are not involved in the sector and provide aid via GBS); *Botswana*, with very few education sector donors; and *Russia*, who is not an Official Development Assistance (ODA) recipient.

Moreover, the desk review and field visits provide further qualitative information related to the issue of joint and harmonised education assistance strategies. An analysis of all this information suggests several **factors influencing the degree of harmonisation**:

1) **Dominant type of financing modality**

One influencing factor is the dominant type of financing modality employed in the EC's education support:

- In countries where **sector support or SBS** has been employed, donor assistance has become more harmonised through donors using the same financing modality and developing joint positions on key issues. This is the case in *Vietnam*, *Indonesia*, *India* and *Bangladesh* for example, where sector dialogue related to sector support, the move towards SWAPs and common arrangements for co-financing have gone a long way to encouraging extensive harmonisation. However, it is not always the case that the existence of sector approaches and policies necessarily entails a lot of dialogue between various DPs. For example, the ECA analysis points out that in the case of *Namibia*, the ETSIP was prepared primarily by the government and the WB, without input by the other DPs, including the EUD – despite its very active involvement in the education sector in the country. Nevertheless, the EC aligned its further support of the sector with the government's policy, and a compromise was reached with the introduction of a new results framework.
- In the case of *Tanzania*, which enjoyed both large amounts of **GBS** and SBS from the EC, the second CSP/NIP (2008-2013) even speaks of a Joint Assistance Strategy of DPs, which is a national medium-term framework for managing cooperation between the Government of Tanzania and development partners at a country level.²⁰ And similarly, in *Uganda*, the EC is engaged with various donors and the government in the development of a Joint Assessment Framework, which provides the basis for the harmonisation of support. However, in the case of *Niger*, EC support through GBS has meant that from 2003 onwards, the EC has concentrated its support to education through GBS. Even its specific support to FTI has been included in GBS, and not in the education common fund set up by other donors. Thus in this case, it appears that an opportunity for harmonisation through the common fund is being missed.
- Based on the desk research, and corroborated by the field visits, is the fact that where there has been mainly EC support implemented through the **project approach**, the degree of har-

²⁰ See also the website of the Tanzania Development Partners Group (DPG), <http://www.tzdp.org/tz/external/home.html>, which sets out the principles of the Joint Assistance Strategy for Tanzania (JAST): The DPG in Tanzania support the Government's efforts to deliver on the goals and targets of the MKUKUTA and the MKUZA, using the JAST's guiding principles. "The JAST is the national medium-term framework for managing cooperation between the government of Tanzania and development partners at a country level. It is aimed at deepening the impact of the relationship between the government of Tanzania and its development partners by strengthening national ownership of the development process, and harmonising processes and procedures in ways that make aid more effective and simpler to manage. It aims to facilitate effective development partnership outcomes based on mutual trust and respect, frank and open dialogue and mutual accountability under a single partnership framework. The conceptual foundation of the JAST is guided by the accumulated experience and lessons learned from the Tanzania Assistance Strategy (TAS) which served as medium-term framework to deepen the national ownership and Government leadership of the development process. The founding principles of JAST are also in line with the principles of the Monetary Consensus on Financing for Development (2002), the Rome Declaration on Aid Harmonisation (2003), the Marrakech Memorandum Managing for Results (2204) and the Paris Declaration on Aid Effectiveness (2005). Given the high increase in new emerging development and global initiatives on aid effectiveness, the JAST highlights the need to for all aid assistance to be integrated into the Government budget and Exchequer system. The JAST also promotes the 'division of labour' in order to achieve optimal allocation of responsibilities and tasks both within the Government and Development Partners based on the comparative advantage. Since the official signing in December 2006, JAST process has attracted significant resources in support of various programmes and the impact has been felt across key sectors such as health, agriculture and education."

monisation between EC support and national policies and strategies is found to be rather low. This is the case e.g. for *Somalia*, where the 'Evaluation on aid delivery to CSOs' Country Report for Somalia from 2008 found that as a result of its fragile state status, gaps, fragmentation and limited capacities, extensive programme, sector or budget support approaches in the education sector were not feasible for the time being. The example of *Eritrea* showed that due to political difficulties in the country the funding provided by the EC over the evaluation period consisted mostly of project funds.

2) Enabling factors

Apart from the financing modality, a number of other enabling factors emerge, which equally may not so much 'cause' harmonisation, but contribute to a conducive environment in this regard:

- As one may expect, the various analyses show that where there are active **donor co-ordination mechanisms** in place, whether related to the education sector specifically or to co-operation in general, the degree of harmonisation with government policies is usually fairly high and EC support to education is also clearly supporting the country's PRSP or comparable policy. Such co-ordination mechanisms include a broad range of ways-of-doing, from ad hoc co-ordination to formalised donor working groups at the national and sectoral level, as well as specific donor groups that meet to coordinate efforts under a joint programme.
- It appears that, where the **education sector is seen as a priority by the partner government**, the EC has assisted the government in developing sector strategies in the light of which donor assistance has the potential to become much more harmonised. Here, the example of *Tanzania* demonstrates that the EC took a leading role in supporting the development by the Government of sector strategies for key co-operation sectors such as education, agriculture and transport. The EC has been praised for this role in Tanzania and for its substantial contribution to harmonised education strategies. The same applies to several other countries including *India* where the EC played a key role in harmonising procedures leading to pooled funding using common national arrangements for Sarva Shiksha Abhiyan.
- The development or **existence of a sector strategy** has usually led to enhanced donor harmonisation, as donors have a common basis with which they align their own strategies, and actively work on harmonisation via sector working groups or similar. This, according to the CSEs analysed, has been the case in *Vietnam*, for example, where the EC's membership of the Partnerships Group for Aid Effectiveness (PGAE) as well as active participation in sector working groups, especially on education, has led to highly harmonised policies by the major development partners. It is interesting to note that the EC's approach to poverty reduction does not always match partner government strategies. In *Ghana*, the EC, together with the other development partners, helped to re-orientate Ghana's development strategy (still called GPRS – Growth and Poverty Reduction Strategy) to a more pro-poor social orientation. In 2005, the EC was actively involved in 14 sector working groups including education and PFM and the Donor Consultative Group holding quarterly 'mini CG' (Consultative Group) meetings on general co-ordination issues, which is also a major incentive to harmonisation.
- The CSE analysis also highlights that the **transparency of financial affairs** by both sides went a long way towards ensuring harmonised dialogue and thus harmonised education strategies. By way of illustration, development partners in *Vietnam* showed that financial transparency was key to a well-functioning SBS, which was considered to not necessarily have been the case with the GoV and thus led to education SBS being less effective than had been hoped. Likewise, the *Indonesian* CSE found the degree of harmonisation to be lacking up to 2007, due to Indonesia not having met all the Public Finance Management (PFM) requirements. The EC played a catalytic role here in harmonising, leading to an SBS type approach being operational now.

And finally, the desk review gave ample insight into the **role played by the EC in enhancing joint and harmonised education strategies** in becoming operational. A few examples only are:

- In *Uganda*, partnership principles were adopted which, as a guiding principle, has contributed substantially to joint and harmonised education assistance strategies. This is affirmed by the ECA report, which states that the EC has contributed with other budget support donors and the Government of Uganda (GoU) to the establishment of a new Joint Assessment Framework (JAF) for the three years 2008-9, 2009-10 and 2010-2011, which was signed at the time of the ECA mission in October 2009. Moreover, the EC has also taken steps to strengthen its capacity for dialogue on health and education in the context of the new MDG contract by recruiting a contract agent (expatriate economist) with expertise in these areas. All this is reflected in the specific objectives of the CSP NIP 2008-2013, which are "to contribute to the national policy

and strategy's specific goals as laid out in the JAF Part II and III, with particular attention given to targets and policy actions related to the areas of Education, Health and Public Finance Management". Still, there are problems to overcome related to inconsistencies between donor agency procedures.

- In the *Dominican Republic*, the field mission revealed that the overall EC approach to support the Dominican Republic has been guided by an increasing emphasis on harmonisation with other donors. In the identification and formulation of the Programa de Apoyo Presupuestario Sectorial para la Educación (PAPSE II) and of the GBS support (prepared in 2003 and 2006 respectively) the EC made a very concerted effort²¹ to include and involve all other development partners, particularly the EU Member States active in the education field. Best Practices developed in PAPSE I are gradually being mainstreamed into other donors' intervention modalities such as the WB, whose Development Policy Loan (2009)²² has put the disbursement process under the responsibility of GoDR (Ministry of Finance) and adopted a mix of fixed and variable tranches on the basis of indicators much similar to those of EC GBS. Also, the Inter-American Development Bank (IADB) CLIP Loan²³ that has funded the implementation of the 2000-2012 Plan for Education Management by adopting modalities much more related to national procedures than in the past.
- In *Nicaragua*, the Government of Nicaragua (GoN) (with a group of 4 donors including the EC) formulated its own National Plan of harmonisation and alignment of international co-operation which was adopted by the Government and donors in November 2005. The CSE found that the education sector is the most advanced component in relation to harmonisation and co-ordination as well as on alignment with GoN policies.
- As for *Pakistan*, while above the country was cited as an example of relatively low harmonisation, the CSP 2007-2013, in an annex, indicates that the EC is pro-actively encouraging the development of an EU roadmap for donor harmonisation in Pakistan, in close co-operation with the U.K., the Netherlands and Germany. All of these are active members of the established sub-group on donor harmonisation under the Donor Poverty Reduction Working Group. Both groups are co-chaired by the EC which is a sign of the EUD's commitment to playing a leading role in donor alignment and harmonisation.

1.3 JC13: The EC has ensured the overall coherence of its education support

This JC attempts to tackle the following questions:

- Is there coherence between EC political and development responses (particularly conflict prevention strategies in difficult partnerships)? And between the different (financial) instruments available for promoting education (e.g. EDF or budget lines)?
- Are attempts made to ensure coherence with other relevant EU policies?

The only other EU policies of major possible relevance in relation to support to basic and secondary education for third countries are the EC education policy as managed by EC Directorate on Education and Culture (DG EAC), as well as trade policy, possibly affecting child labour and thus impacting on school attendance and enrolment.

1.3.1 I-131: The DGs dealing with education have an operational working relationship in designing education-related strategies and programmes

The relationship between the various DGs, directly related to development within the EC (essentially EC Directorate on Development (DG DEV), EuropeAid Co-operation Office (DG AIDCO) and EC Directorate for External Relations (DG RELEX)) is defined in the Inter-service Agreement of 2001. Programming is not concentrated in one branch; DG DEV does it for ACP countries, while DG RELEX is

²¹ PAPSE II Formulation Document 1000x1000 Hacia escuelas efectivas- Propuesta de proyecto 2009

²² World Bank DPC (Development Policy Loan) on PASS (Performance and Accountability of Social Sector that has adopted four inter-related objectives: a) to enhance the performance of social sectors to promote human capital b) to improve budget management to support the performance of these social sector; c) to support the gradual introduction of Performance Agreements in social sectors; and b) to enhance transparency and accountability to users in social sectors. See: WB/IBRD First Development Policy Loan on Performance And Accountability Of Social Sectors (PASS) – Report 50512/DO 2009

²³ This loan supports the 1000x1000 Plan of Action (see 20) aimed at: a) recover of school time to comply with school calendar and b) support to all education stakeholders to implement actions to promote quality of education. See: IADB Loan Contract 2293/OC/DR Resolución DE-008/10

in charge of all other developing regions with which the EU has co-operation agreements; DG AIDCO is in charge of monitoring implementation, which, in turn, has been deconcentrated to the EUD level since 2003. Furthermore, the oQSG (office Quality Support Group of EuropeAid) may play an active role in the preparation and design of interventions, including as just one example cited during the field visits, the Sindh Education Plan Support Programme.

Interviews and the literature review yield an overall picture of some reasonable level of communication and co-operation between the DGs directly involved in education support to third countries on issues related to design, but also implementation, i.e. between DG DEV and DG RELEX on one side and DG AIDCO on the other. While this holds true for the situation in 2009/10, it is impossible to establish a kind of comprehensive snapshot for earlier years, due to the fact that numerous stakeholders have been replaced. Also in this context, it has to be noted that before 2005, thematic sections had been attached to each Directorate within DG AIDCO (e.g. the education team dealing with ACP countries was staffed with about 10 people), thus certainly allowing for closer follow up of individual countries as this is the case now for the only unit responsible for education (E3), with only five people to cover all regions. At the same time, staff dealing with education in EUDs has been increased.

With regard to EC support to the FTI, the following sharing of work is implemented between DG DEV and DG AIDCO; DG DEV has the policy lead, and is co-ordinating with DG AIDCO C4 (Centralised operations for ACP countries), E3 (Social and human development and migration), and F3 (Investing in People). Participation in FTI steering committees is also shared between these units. DG RELEX seems to be involved only when it comes to questions of FTI support to a country. On the other hand, consultation seems to take place between DG AIDCO and EUDs whenever a Catalytic Fund (CF) proposal is to be dealt with, communication streams being directly established between these two parties, while DG RELEX is rather just being informed of such processes.

In relation to the financing instrument "Investing in People", that only started being implemented after the end of the period under evaluation, DG DEV is responsible for the multi-annual programming while DG AIDCO F3 is in charge of implementation. Inter-service consultation related to the annual programming exercises seems to be made mainly between DG AIDCO on the one hand and DG DEV and DG RELEX on the other, with the EC Humanitarian Aid Department (ECHO) and DG EAC just being consulted.

Co-operation with DG EAC only seems to have started in recent years, DG EAC having created a unit on "international relations". However, co-operation efforts have mainly focused on higher education up until now.

Unfortunately, for the present, it is not yet clear, to what extent the creation of the External Action Service will have an effect on the division of roles between various DGs in relation to education sector support.

1.3.2 I-132: Coherence between the EC political and development responses (e.g. conflict prevention strategies and in difficult partnerships)

The desk review did provide some information with regard to fragile post conflict and conflict states but also some interesting views related to coherence were derived from emerging economies and other countries. Regarding **fragile states**:

- In *Eritrea*, EDF 9 allocations concentrated on post-conflict rehabilitation, peace building and conflict prevention. Following a mid-term review of programmes and a request by GSE to development partners for support to their ESDP, funds were shifted towards more development-oriented activities with a total allocation of € 53 million committed for EC Support to the Education Sector in Eritrea.
- In the *Occupied Palestinian Territory*, the different financial instruments used to promote education seem to be coherent. Since the outbreak of the second Intifada, the EC oriented its assistance towards direct financial support to the PA budget, while at the same time assisting the PA in preparing itself for statehood. ECHO has also been active, responding to short-term humanitarian needs of the Palestinian people through NGO implemented projects. In 2006 and 2007, a large part of EC assistance was channelled through the Temporary International Mechanism (TIM) for direct assistance to the Palestinian people.
- In *Pakistan*, the EC carried out work in Khyber Pakhtunkhwa Province in partnership with others, especially in Swat and Malakand. In spite of risks and insurgencies the emergency support continued. The EC's strategy in Pakistan is now changing from a combination of human development in the education sector and trade development and the promotion of business and institutional links, to rural development and education and especially to addressing the in-

terface between those two sectors; moreover, greater importance is given to capacity building activities.

- In *Somalia*, EC-funded interventions are guided by the EC Strategy for the Implementation of Special Aid to Somalia 2002-2007(SISAS) with the dual objective of contributing to poverty alleviation and promoting a more peaceful, equitable and democratic society. Support is mainly channelled through CSOs.

Interesting approaches towards coherence can be noted in emerging economies in *Asia*, e.g. in *India*, where the CSP 2007-2013 emphasised that, given India's changed status as a rapidly growing emerging economy, the need for development assistance will gradually decrease leading to a dual approach of focusing on making development more inclusive, in line with the MDGs and deepening and widening structural reforms in order to improve the investment climate, boost productivity and accelerate growth.

1.3.3 I-133: Coherence between the different (financial) instruments available for promoting education

Based upon the information from the inventory, it is clear that during the evaluation period, support to the education sector in third countries was primarily provided through geographic budget lines, related to the following instruments:

- During the earlier period of the evaluation: various rounds of the EDF, ALA, MEDA, and Technical Assistance to the Commonwealth of Independent States (TACIS);
- In the later phase through the new instruments of the DCI and European Neighbourhood Policy Instrument (ENPI) in addition to the EDF.

The financial contributions under these geographical budget lines cover approximately 90% of the total amount contracted for the education sector analysed in the inventory. The remaining 10% are from thematic budget lines. And among the thematic budget lines, more than 90% came through the NGO co-financing budget lines (PVD & ED). Other thematic budget lines with minor contributions to education support are those on rehabilitation/refugees, the EIDHR (European Instrument for Democracy and Human Rights), Decentralised co-operation and an older budget line on 'Education', among others. The following table presents the figures in terms of total commitments per budget line, based on inventory data.

Table 5: Total commitments related to education support through various budget lines (2000-2007)

Domain (budget line)	Sum of commitments in € (2000-2007)	Domain (budget line)	Sum of commitments in € (2000-2007)
European Development Fund	766,155,686	Human rights & Democracy	6,059,287
Asia	660,743,360	Education	5,700,000
Mediterranean	411,591,846	Neighbourhood – Mediterranean & Eastern Europe	5,091,667
Latin America	317,911,628	NGO Co-financing (ED)	1,346,291
NGO co-financing (PVD)	127,048,157	Decentralised cooperation	1,006,451
TACIS	68,171,204	Bananas	845,879
South Africa	40,638,230	Health	803,467
Development – Education	26,600,000	Food Security	682,220
Development – Mediterranean	26,480,000	Drugs	176,633
Rehabilitation/Refugees	15,563,357	Development - Other non state actors and local authorities	5,700
Development – Asia	10,859,696		
Grand Total	2,493,480,758		

Source: Inventory database

In addition, substantial support to education-related efforts has been made via ECHO. However, since the activities of ECHO fall outside the scope of the evaluation, they are not discussed here. There surely are several cases in which coherence between emergency support and development aid in the education sector were achieved. One example of this is *Liberia*, as emerged from the ECA analysis; in

recognition of the limitations of emergency programmes²⁴ (no EC funded humanitarian activities aimed at the education sector), the EC concluded the € 12 million ECSEL support in October 2006. ECSEL was built on other EC-led emergency activities carried out in the framework on the United Nations Development Programmes (UNDP) Disarmament, Demobilisation, Reinsertion and Reintegration (DDRR) programme and ECHO's humanitarian aid operations. It was to provide "a bridge for widening the scope of emergency education to all children without exception".

Following the period covered by the inventory, additional thematic budget lines may have been employed to support education, including 'Investing in People'. The focus of the thematic programme is on six different areas of action: health, knowledge and skills, culture, employment and social cohesion, gender equality, youth and children. The area under which support to education falls, is "access to knowledge and skills," in which measures are taken to support national programmes consist mainly in:

- supporting low-income countries for the development of successful education policies;
- promoting reciprocal learning via international exchanges of experience and good practice;
- promoting transnational university cooperation and the mobility of students and researchers at the international level;
- developing a broader framework for monitoring and data assessment;
- promoting schooling for marginalised and vulnerable children.

Since the main instrument employed for education support outside the geographic instruments is that of NGO co-financing, most of the already limited qualitative data gathered on this indicator relates to the coherence between bilateral programming (funded via geographic instruments) and funding to and support through NGOs.

In order to assess coherence between the geographic instruments (as expressed in bilateral and regional programming), the CSP analysis took a special look at the extent and kind of reference to NGO/Non-State Actors (NSA) involvement in education support. Six CSPs relating to the period 2000-2007 indicate the involvement of NSAs in the education sector while the rest of the CSPs remains silent in that regard, or just provide a general indication about their potential involvement without specifying the sector. In general, NSAs and respectively NGOs, seem to be increasingly used in areas where there is a lack of public service provision and where sector support has been combined with project support, such as in *Pakistan, Somalia, Vietnam, Indonesia, India and Argentina* (see also EQs 2-4). The CSP for *Jamaica* relating to the period 2008-2013 recognises the importance of NSAs under the Cotonou Agreement, and the Argentinean CSP also relating to the same period mentions that the involvement by civil society in the education sector would be one of the priorities of EC support in the future, but this intention is not really reflected in the NIP itself.

The lack of emphasis on NSA channelled interventions in the CSPs and NIPs is not surprising, given the fact that such channelling is not part of bilateral co-operation programming, but is usually centrally managed from Brussels. Unfortunately, at times, the gap between bilateral, i.e. devolved management and central management can have negative consequences on the coherence of EC support to education. For example, the field visit to *South Africa* revealed that staff in the EUD were of the view that any coherence of their support to the NGO/NSA sector with that to Government would have been entirely coincidental. Much of the support to NGOs originated from Brussels and they were funded via thematic budget lines, and were not conceptualised in consultation with the EUD. While many of these initiatives seemed worthy in and of themselves, such as the Salesian Youth Capacity Building Project, there certainly was no complementarity with the work of the EUD. However, the EUD made all efforts to learn from these NGO projects, obtaining insights into professional issues and gaining perspectives on implementation conditions on the ground. These insights have provided some information and enriched the overall understanding of the sector and were valuable in deepening the nature of dialogue with partners in Government.

Just as for the CSPs, only in three ECA reports (*Namibia, Burkina Faso and Tanzania*) were NSAs specifically discussed. However, even in these cases, not much is said about coherence with the overall country programme and thus with the geographic instruments. However, in some instances, these projects can be seen as supportive towards enhancing accountability (see also EQ7), for instance in Burkina Faso, where NSAs have been involved in policy dialogue and the implementation of

²⁴ The EC earmarked considerable amounts, according to the ECHO web-site for humanitarian aid some € 96 million since 2003 between 2003-2008 and continues to provide humanitarian aid in Liberia, including food, sanitation and health services (mainly through ECHO).

interventions directly financed by the government. According to the ECA report, NSAs are part of the “cadre de partenariat pour l'éducation”. Through thematic budget lines, the EC finances NGO projects in the education sector, especially in the area of non-formal education. According to the ECA report, this is a complementary source of information for the EUD other than information provided from the government.

However, there are further positive examples of coherence between sector support funded through geographic instruments, and the channelling of support through NGO projects. For example, as the focus group discussion revealed, in *Cambodia* in complementarity to the SBS, the EC has continuously supported NGOs and community-based organisations (CBOs), to fill the gaps in the implementation of governmental policies, especially in remote provinces.

Another way in which the EC can work with NSAs in coherence with larger education sector support programmes or even budget support, is to provide them with assistance to take on a ‘watchdog’ role. For example, in *Ecuador*, the EUD stressed that besides the PFM annual report, which is part of the duties related to budget support, the EUD also financed a civil society surveillance project which seemed to be very successful²⁵. The project had the objective of collecting, commenting on and publishing the achievements made within the education sector programme, with the result that “*the Ministry of Education feels that this action is a part of its own account rendering system.*” Yet, this project was probably not financed through the NGO co-financing budget line, but rather through the relevant geographic instrument.

1.3.4 I-134: Coherence of EC responses to the different actors in the education arena (central and local governments, parliaments, NSAs, others), at both national and regional levels

While the CSE desk review did not provide any information related to this indicator, it can be derived from the CSP analysis that the different responses in terms of the actors involved in the education sector vary from country to country depending on the context. Generally speaking, EC responses specific to the education sector focus on three levels:

1. interventions at central government level linked to national education policies and programmes,
2. interventions at the local government level, and
3. interventions at various sub-national levels (at times regional, or focussed on specific population groups) through the co-financing of NSAs.

The analysis of CSPs shows that for the first level of response (**support for the central government level**) the EC aims at enhancing basic education through the funding of and policy dialogue around national education sector programmes. 100% of the CSPs relating to the period 2000-2007 and onwards show that, whenever possible, EC responses try to incorporate three dimensions (political, administrative and fiscal) at central and local level of national governments to effectively manage their resources. The EC intends to do this through:

- participating in policy dialogue and negotiations on education sector reforms (central level);
- assisting in public finance management and institutional reforms (central level);
- ensuring technical capacity support from de-concentrated services for improved and coordinated service delivery (local level); and
- supporting fiscal decentralisation and capacities to manage own resources at the local level.

For the second level of response (**interventions at the local government level**): four CSPs relating to the period 2008-2013 (*Vietnam, Tanzania, Uganda and Argentina*) provide examples of specific responses through (i) capacity building of the local governments and (ii) improvement of the infrastructure and teacher training. The results of the focus group discussion provide further examples of countries in which the local government level is addressed: *Cambodia, Papua New Guinea* and *Fiji* provided or plan to provide TA at the decentralised levels. The Cambodian approach is worth highlighting in particular. In order to accompany the decentralisation process in the education sector, TA support in the future will be directed towards the sub-national level, in particular towards the provincial and district levels. The aim is to strengthen the capacities of these bodies that are supposed to manage and allocate funds themselves.

²⁵ Project under the decision 19030: “Civil society surveillance programme accompanying the SBS”, € 300.000, covering 83% of the project budget. Awarded on internal EUD Ecuador grant procedures.

For the third level of response (**interventions through the co-financing of NSAs**), the situation is discussed above under indicator 0.

Taking all of the above into account, it is evident that the EC engages at a variety of levels, to varying degrees. One example of a coherent strategy at various levels, may be that of *Papua New Guinea*, as emerged during the focus group discussion, covering TA at several levels of the decentralised system, i.e. from capacity building at the central ministries, all the way down to capacity building in decentralised school management and leadership within the local communities. Twelve CSPs out of the 23 analysed, indicate that EC support is to be provided through the Ministry of Education. Moreover, the MTR for *Vietnam* mentions that Technical Assistance has also been utilised for the Ministry of Finance and the Ministry of Planning aimed at capacity building and the development and implementation of management and planning tools. As for *Nicaragua*, the CSP relating to the period 2007-2013 notes that the involvement of other institutes and administrations would be one of the priorities for the future strategy of the EC in the education sector, but no other details are given.

When considering both the national and regional level interventions, 90% of the CSPs relating to the period 2000-2007 and onwards, show that the EC has tried to achieve coherence with regional programming in developing the response strategy at the national level. Only one CSP (*Ghana*) notes that the EC regional and national strategy links do not appear well-identified and exploited.

The analysis of the CSPs further indicates that the EC bilateral programming can be characterised by balanced policy approaches in various regions, according to the different needs and sector performance of every country. However, EC education support at the **regional level** appears to be focused on promoting higher education, with basic education only playing a very minor role – which seems justified given that basic education policies are defined and implemented at national levels, while for higher education the need to harmonise and co-ordinate approaches across countries might be higher. This is valid for all regions, with varying programmes being implemented related to higher education such as Asia-Link²⁶, Erasmus Mundus External Co-operation Window (EMECW)²⁷, TEMPUS²⁸, ALFA²⁹, ALBAN³⁰ and Mercado Común del Sur (Mercosur).³¹

Overall, related to the question if the EC has ensured the overall coherence of its education support, the following can be summarised; attempts have been made to ensure coherence between the EC's political and developmental responses related to education, especially in **fragile/failed states**. The same applies to responding to different needs at different levels of intervention. Working relationships have been established between most of the parties involved within the EC dealing with education, but the level of their operability may vary.

²⁶ The Asia Link was set up by the European Commission in 2002 to promote regional and multi-lateral networking between higher education institutions in Europe and developing countries in Asia. The programme aimed to develop new and existing partnerships between European and Asian universities.

²⁷ The European Commission is funding the Erasmus Mundus Partnerships (Action 2) programme, formerly known as Erasmus Mundus External Co-operation Window (EMECW). Its main objective is to promote individual mobility of students, professors and researchers, with a view to promoting understanding between people worldwide, as well as contributing to fostering sustainable development and reform in line with the Millennium Goals.

²⁸ Launched in 1990 and still ongoing in its 4th round, TEMPUS is the European Union's programme that supports the modernisation of higher education in the Partner Countries of Eastern Europe, Central Asia, the Western Balkans and the Mediterranean region, mainly through university co-operation projects. TEMPUS is managed by the Education, Audiovisual and Culture Executive Agency (EACEA), while the formal responsibility for supervising the activities of the Tempus Programme lies with two departments of the European Commission EuropeAid Co-Operation Office and Directorate-General for Enlargement.

²⁹ ALFA (América Latina – Formación Académica) is a programme between higher education institutions of the European Union and Latin America. Since 1994, ALFA has aimed to improve the quality, relevance and accessibility of higher education in LA and contributes to the process of regional integration in LA.

³⁰ ALBAN was a programme of the European Union to reinforce the co-operation in the field of higher education between the EU and Latin America. ALBAN ended in December 2006, and a new co-operation programme in the field of higher education scholarships, between the EU and LA has been established within the framework of Erasmus Mundus.

³¹ The EC supports higher education within the framework of regional support to the Mercosur.

2 EQ2-access: To what extent has EC support to education contributed to improving access to basic education?

This EQ highlights the problems faced in many partner countries to ensure access for all and gender equity in basic education, and shows how EC support is assisting these countries in addressing the problems. The study: "Millennium Development Goals at Midpoint: Where do we stand and where do we need to go?"³² notes that progress has been good on gender equity in primary and secondary enrolments in all regions. Yet, Sub-Saharan Africa and fragile states³³ still lag behind considerably. According to the study, not one country in Sub-Saharan Africa is on track to meet the goal at this stage, although access to and participation in primary education has sharply increased since the Dakar Conference in 2000.

The fact remains that millions of children are still out of school. Progression through primary grades and school completion remains an important concern. The Bourguignon (2008) study³⁴ notes that the poorest regions, South Asia and Sub-Saharan Africa, are still seriously off-track in terms of primary completion rates. Focusing on MDG 2 and 3 only, and studying trends to assess what has been achieved, this report substantiates these findings with more in-depth insight into the 23 sample countries.

The question focuses on the degree to which the EC's strong support for the international policy framework has yielded tangible results, in terms of partner countries having made visible progress in achieving Education for All Initiative (EFA) targets 2 and 5 and MDG goals 2 and 3.

EFA

EFA Goal 2: Ensure that by 2015 all children, particularly girls, children in difficult circumstances, and those belonging to ethnic minorities, have access to and are able to complete primary education that is free, compulsory and of good quality.

EFA Goal 5: Eliminating gender disparities in primary and secondary education by 2005, and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to and achievement in basic education of good quality.

MDG

GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION

Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.

GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN

Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015.

Enrolment and completion in primary (formal and non-formal) education, with a strong emphasis on equity, is addressed. The question incorporates traditional dimensions of access, including the overcoming of obstacles to access. The regulatory framework is an important dimension for non-discriminatory provision of basic education for all. In highlighting access, and constraints to access, the question will incorporate legal dimensions, including regulations on compulsory and free primary education. However, it will not cover a full range of pro-poor policies and the financing of and public expenditure issues on education, which will be dealt with in EQ 6 on service delivery and resourcing. In addition, this question is complemented by EQ 3, dealing with transition to secondary level (both lower and upper). In this way, the expanded view of basic education covering primary and lower secondary education is covered, as well as the consequences of higher primary enrolment – in line with MDG 2 – for the progression of students to secondary education.

³² This September 2008 study was written within the framework of the joint initiative "Mobilising European Research for Development Policies for the European Commission", by Bourguignon et al. It is a background document for the European Report on Development.

³³ The study applies an extended World Bank definition of fragile states. This report classifies fragile/failed states in a more restricted way. Hence, among the sample countries, *Eritrea* and *Somalia*, *Pakistan* and *Occupied Palestinian Territory* are classified as fragile/failed states.

³⁴ Bourguignon et al. (2008): Millennium Development Goals at Midpoint: Where do we stand and where do we need to go?

Apart from focusing on EFA and MDG progress, the country sample will compare countries at different stages of economic development in different regions, and will include “least developed” countries and “fragile states”. Strengthening and supporting fragile states has been an emerging priority on the EFA agenda since 2000.

The answer to this EQ is thus built on the following JCs:

- JC21: All children access and complete a full course of primary schooling – (MDG 2 and EFA 2)
- JC22: Gender parity in enrolment to primary, lower secondary and upper secondary education – (MDG 3 and EFA 5)
- JC23: Primary schooling is compulsory and free of costs to all pupils
- JC24: Provisions to enhance access to education by disadvantaged groups

2.1 Some general trends related to MDG 2 and MDG 3

Progress towards universal primary enrolment has accelerated since the Dakar Conference. **Sub-Saharan Africa** has made particularly impressive strides, with many governments increasing the priority attached to basic education. However, the impact of these achievements has been reduced by a continuing high rate of pupils dropping out of primary education, compounded by a low quality of provision. There are also very large disparities linked to disability, location and income. Africa is not on track to achieve MDG 2 (universal primary completion) or MDG3 (gender equality).³⁵

MDG in **Asia** and **Central Asia**³⁶ notes that more than 600 million people, or two-thirds of the world’s poor, live in Asia, and that Asia and Central Asia comprise many Least Developed Countries (LDCs) and low income (LC) countries (e.g. Afghanistan, *Bangladesh*, Burma/Myanmar, Cambodia, Laos, Nepal, Kyrgyzstan and *Tajikistan*). The document indicates the following particular concerns on MDG:

- MDG 2 (primary education):
 - o Primary school completion rates throughout the region, especially in South and South-East Asia. These rates have not yielded improved literacy and sufficient basic education skills (see EQ5). They are mainly caused by poverty, overall poor education quality and drop-outs (see EQ 4)
- MDG 3 (gender equality)
 - o Gender parity in secondary (see EQ3) and tertiary education

There has been impressive progress towards gender parity at primary and secondary levels. Yet many countries failed to achieve the goal of parity by 2005. Countries in South Asia and Sub-Saharan Africa feature strongly in this group. Gender gaps in education are often reinforced by other indicators of disadvantage, such as poverty and ethnicity. However, according to the EFA Global Monitoring Report (GMR) 2009, country experience suggests that parity can be achieved if there is strong national commitment accompanied by policies targeting the main constraints.

A defining feature of the EFA agenda is that it treats the six goals as part of a single comprehensive, integrated framework. In this respect, the Dakar Framework is far broader than the Millennium Development Goal framework, which addresses only UPE and gender parity.³⁷ EFA also is clearer on improving quality of education, so that recognised and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills. The evaluation seeks to address the issue of complementarity between access, completion and learning outcomes (EQ5).

This is in line with the Commission Staff Working Document, “More and Better Education in Developing Countries”³⁸, which emphasises the broader agenda of access linked to quality and skills development as follows: “Supporting basic education means improving quality and developing effective ways to measure and monitor improvements, as well as widening access to basic education to deliver MDGs 2 and 3. But this must not be at the expense of adequate policy and resource engagement with

³⁵ See e.g. EU-Africa Millennium Development Goal (MDG) Partnership ((2009): Priority Action Plan 4: Education, Current State of Education in Africa

³⁶ Delivering as one Asia-Pacific Regional MDG Road map 2008-2015, multi-donor report (2008) <http://www.mdgasiapacific.org/delivering-as-one>

³⁷ Annex IV in Volume II depicts all EFA goals and indicators, and the MDG targets and indicators related to education, attempting to show how they fit together, and overlap.

³⁸ European Commission (2010): Commission Staff Working Document: More and Better Education in Developing Countries. SEC(2010)121 final, Brussels, February 4, 2010.

other subsectors. Joint co-operation and working on a whole sector approach, which starts with early childhood development and embraces lifelong learning and strengthens links between education and the world of work, should be reinforced.”

Another Commission Staff Working Document, “Progress made on the Millennium Development Goals and key challenges for the road ahead” (2010), stresses that MDG 3 on gender equality is a necessary prerequisite for substantially progressing on all MDGs. It also notes solid progress made, as well as strong constraints remaining, and asks for particular attention to be paid to the situation in failed/fragile states.

2.2 JC21: All children access and complete a full course of primary schooling - (MDG 2) and (EFA 2): General trends and trends related to analysed countries

2.2.1 MDG2A: Ensuring that by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling

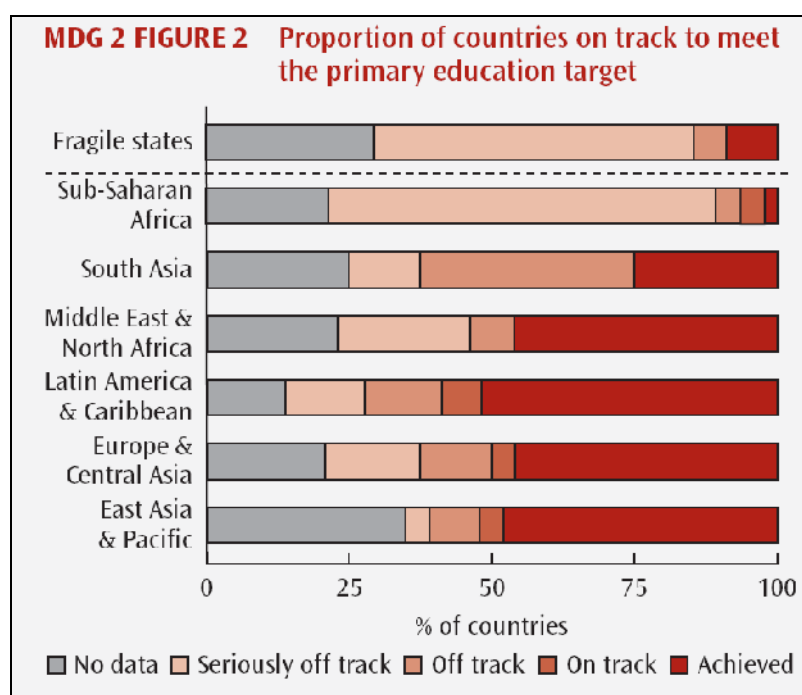
This section presents general trends and identifies trends related to UPE/MDG2A/EFA2 objectives, targets and indicators in the countries analysed in the desk study, in-depth in the field study, through ECA Audits in six African countries, and highlighted in the video conferences.

The following figure depicts progress towards meeting the primary education target of MDG2A. Regional differences become apparent:

- Seventeen of 24 countries in Latin America and the Caribbean, 13 of 18 countries in Europe and Central Asia, and 12 of 14 countries in East Asia and the Pacific (for which data exist) have already met or are on track to meet the target.
- Other regions have shown little progress: three of five countries in South Asia and 33 of 36 countries in Sub-Saharan Africa are not on track. Fragile states also lag behind; only three of 22 countries for which data is available have achieved the target.

It should be emphasised that several developing countries, especially the poorest and most vulnerable, do not report MDG 2 and 3 related data on regular intervals. The United Nations (UN) MDG Report 2010 reveals that although progress has been made, the global financial crisis has had a harsh impact on progress. Without a major push forward, many of the MDG targets are likely to be missed in most regions and in most countries.

Figure 4: Proportion of countries on track to meet the primary education target



Source: World Bank (2009): *Global Monitoring Report 2009*,
http://dx.doi.org/10.1596/978-0-8213-7859-5_F7

The analysis focused on the 23 desk countries, and some Sub-Saharan countries covered by recent ECA reports on education or GBS. It provides the following picture related to MDG 2 - Targets for universal primary education:

1) UPE has been accomplished in: Botswana, Dominican Republic, South Africa, Jordan, Morocco, Tunisia, and Tajikistan (by 2007)

- In *Botswana*, in 2004, the primary Net Enrolment Ratio (NER) (6-12 year olds) was 89.5%, while the NER for 7-13 year olds was 98.5%. The latest figures from the “flash reporting” presented at the homepage of the Ministry of Education and Skills Development show a decline of the NER for 7-13 year olds to 92.9%. In formal education, the high level of enrolment (around 90%) has been maintained, but an annual increase of 1% (as demanded by the SPSP indicator) has not always been achieved.
- In the *Dominican Republic*, according to the Statistic Department of Secretaria de Estado para Educación (SEE -State Secretariat for Education), in 2007-2008 the NER in primary education was 92.3%, compared to 94% in 2002, while the Gross Enrolment Rate (GER) is 119.2%, compared to 104% in 2002³⁹. The difference reflects the high percentage of over-age students enrolled in Dominican basic schools (Source: Country Note).
- According to an Organisation for Economic Co-operation & Development (OECD) study⁴⁰, “*South Africa can be said to be close to achieving universal basic education (96.6 % enrolment for 7-15 year-olds in 2003), with almost all children of school-going age entering school and the majority reaching the end of grade 9. Access to basic education has not been one of the key challenges confronting education in South Africa. Certainly during the period under review in this evaluation, South Africa was able to guarantee school places to all children wishing to access education.*”
- In *Tunisia*, the NER in primary education was already very high before the Dakar Conference. For the six years of primary education, the NER was 96.7% in 1997-1998. It reached 97.3% in 2001-2002, and has been stable since. Access to the first grade of primary is close to 99.2% (Source: Country Note).
- In *Tajikistan*, the poorest country in the Commonwealth of Independent States (CIS) region with the lowest human development index rating (122 out of 177), MDG targets are being achieved. After falling to roughly 80% in 1993, the primary enrolment rate in 2007 is again near universal, with a gender parity index of 0.99.⁴¹

2) UPE partially accomplished in: India, Indonesia, Vietnam, Jamaica, Mozambique and Namibia

- In *Jamaica*, the primary NER decreased between 1999 and 2007, from 89 to 85%.
- Despite the fact that the Government of the Republic of *Namibia* consistently spent close to a quarter of its total expenditure on education, the education outcomes are modest. With regard to MDG 2, Namibia scores well when compared with most other African countries. However, the available overall indicators show mixed results. They demonstrate decreasing trends in enrolment and survival rates since 2005. Although recent data suggest that access to primary education improved in 2008, the reliability of the underlying data is questionable, as stated by ECA. The MDG targets for 2015 will be difficult for Namibia to reach.
- In *Mozambique*, according to Ministry of Education data, the average primary NER was 95.5% in 2007, a considerable increase compared to 2003 (69.4%). The data also shows that, in some provinces, girls outscore boys in school performance.
- In *Tanzania*, according to the CSP 2008-2013, MDG2 on universal primary education has already been achieved. However, according to the ECA audit, this is not the case, and the error was also highlighted by EuropeAid in the inter-service consultation on the CSP/NIP, but was not corrected in the final version of the CSP. The CSP referred to a primary school enrolment rate of 91% in 2006. According to the ECA audit, the fulfilment of MDG 2 is at risk in Tanzania.
- In *Uganda*, according to the Uganda Bureau of Statistics, the NER increased from 84% in 2000 to 93% in 2007, followed by a slight decrease.

³⁹ UNESCO Institute for Statistics

⁴⁰ OECD (2008): Review of National Policies for Education. Paris. The study referred to is “Department of Education (2006): Ministerial Committee on Literacy Final Report, Pretoria”

⁴¹ FTI Catalytic Fund (2009): Tajikistan: Summary Documentation. Rome, Italy, November 2009

- In *India*, access and enrolment nationwide has generally improved for almost all groups, with continued gender, caste and tribal disparities that are only gradually being reduced at a slow rate. Between 1992 and 1998, NER for children aged 5 to 10 increased from 68% to 82% nationally. In addition, the number of out-of-school children aged between 6 and 14 declined from 39 million in 1999 to 25 million in 2003. Enrolment further grew to 90% in 2007.
- *Indonesia* is well on track to meet basic education MDG targets, with key indicators showing that primary NER is 90.9%. However, there still exist substantial regional disparities in performance on these key education indicators⁴²
- In *Cambodia*, the primary NER was 87% in 2001. It has been increasing over the last few years and, given past trends, Cambodia is likely to reach its target of 100% NER by 2010.⁴³

3) UPE not accomplished in: Burkina Faso, Ghana, Niger, Bangladesh, Eritrea, Somalia, Liberia and Pakistan

- The ECA Audit states that, despite the progress achieved, the MDGs and EFA goals are far from being reached in *Burkina Faso*, in view of the financial, material and human resources required. The Government of Burkina Faso indicates that the target of a 100% rate for enrolment and completion in primary education could only be reached in 2020.
- In *Ghana*, NER increased from 60% in 1999 to 73% in 2007.
- *Niger* is one of the countries where schooling and literacy rates are among the lowest in the world. However, the efforts of national authorities, with the support of development partners (including EC), contributed to improving access to primary education. Despite that progress, the education MDGs and EFA goals are far from being achieved. The accelerated development and poverty reduction strategy has emphasised the difficulty for the Government of Niger to ensure the objective of primary education for all by 2015. The targets set by the 9th EDF for performance indicators in basic education have not been reached. The ECA report considers the education system in Niger inefficient, while funding for the education sector is insufficient in view of the financial resources required to achieve the education MDG.
- The Country Note for *Bangladesh* stated the following: Despite constraints of poverty and a sizeable population, Bangladesh has achieved remarkable success in the field of literacy and primary education, even though it is acknowledged that is unlikely to meet its MDGs/EFA goals by 2015. In order to ensure that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities, have access to completely free primary education of good quality, the government of Bangladesh has set targets indicator-wise with GER at 100.3%, NER 83%, dropout rate at 25%, completion rate 75%.
- The CSP 2008-2013 for *Nicaragua* mentions substantial progress towards the MDGs in the education sector, except related to the adult literacy rate. It also notes that there are some components for which the MDG has no indicators, such as the quality and relevance of teaching, but which constitute a serious problem in the country.

4) Failed/fragile states

Failed/fragile states are lagging far behind in meeting MDG targets. The Commission Staff Working Document "More and Better Education in Developing Countries" stresses that according to the "Council Conclusions on an EU Response to Situations of Fragility"⁴⁴, activities within the framework of the forthcoming EU Action Plan on situations of fragility and conflict could be used to design more effective support for education. For the failed/fragile states that are part of the sample countries, progress can be summarised as follows:

- *Eritrea's* MDG Report notes that the achievement of universal primary education by 2015 would be extremely difficult, even if the financial resources were readily available. A DfID Key

⁴² MoNE (2007): EFA Mid-Decade Assessment

⁴³ Millennium Development Goals Report, 2003, Ministry of Planning, Kingdom of Cambodia

⁴⁴ Council of the European Union (2007): Council Conclusions on a EU response to situations of fragility. 2831st External Relations Council meeting Brussels, 19-20 November 2007. http://www.consilium.europa.eu/uedocs/cms_Data/docs/pressdata/en/gena/97177.pdf. See also the plan: European Commission (2010): Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, and the Committee of the Regions. A twelve-point EU action plan in support of the Millennium Development Goals. COM(2010)159 final. http://ec.europa.eu/development/icenter/repository/COMM_COM_2010_0159_MDG_EN.PDF

Fact Sheet on Progress towards Millennium Development Goals states that primary school enrolment rose from 14% in 1991 to 49% in 2002, but has since fallen to 42% in 2007.

- In *Pakistan*, even though much progress has been made in improving MDG2-related indicators, the constraints to achieving UPE are such that the MDG and EFA targets will not be met by 2015. When looking at the figures in the following table, it is clear that the Government of Pakistan is off-track in terms of meeting MDG goals and targets. Survival rate to grade 5 can be seen as a proxy indicator for the Primary Completion Rate (PCR).

Table 6: *Pakistan: MDG 2A related indicators*

Indicator	Pakistan	
	2001-02	2005-06
GER in Primary Education	71	84
NER in Primary Education	57	66
Survival rate to Grade 5	57	72

Source: adapted from EFA Mid-Decade Assessment Report MOE GOP 2008

- In *Somalia*, education indicators remain extremely low – at the bottom of African rankings, and among the worst in the world. The primary GER was only 22% in 2003-04, but when compared to a GER of about 12% in 1988, there are signs of improvement.⁴⁵
- In *Liberia*, emergency support to the education sector has focused primarily on improving access to educational opportunities. According to the 2007 Core Welfare Indicators Questionnaire, the primary NER was estimated at 37%.⁴⁶
- In the *Occupied Palestinian Territory*, the NER decreased sharply following the outbreak of the second Intifada from 1997 in 1999, falling to 73% in 2007.

Apart from fragility and low income levels, specific reference should be made to highly populated countries with huge school-aged populations, and hence additional complexities and enormous resource requirements to meet MDG targets. The sample countries of the evaluation include four out of the nine so-called E-9 countries: *Bangladesh*, *India*, *Indonesia* and *Pakistan*. It was noticed that in all these countries substantial gains were made in getting children into school. Given the sheer size of school-aged populations in these countries, progress made has been gigantic in terms of the reach-out of the school system between 2000 and 2007.

2.2.2 I-211: Apparent/Gross Intake Rate

Apparent Gross intake rate to grade 1	Gross intake rate (GIR) to grade 1 is the number of new entrants (total, male, female) in the first grade of primary education, regardless of age, expressed as a percentage of the population (total, male, female) of theoretical entrance age to primary education. (Data Source: United Nations Educational, Scientific and Cultural Organization (UNESCO) Institute for Statistics)
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The GIR/AIR (Apparent intake rate) is a frequently used indicator for assessing the degree to which new entrants are coming into the primary education system, and hence contribute to the NER increasing, or whether the gaps in enrolment of new entrants indicate that the school system is still not capable of reaching out to school-aged children, and hence an increase in out-of-school youth. A high AIR indicates in general a high degree of access to primary education. As this calculation includes all new entrants to first grade, including over-aged and under-aged children entering primary school for the first time, the AIR can be more than 100%. The GIR/AIR in many countries is being used as one of the key education indicators for variable tranche release in EC-supported GBS.

The number of children entering primary school has climbed sharply since Dakar. In 2006, just over 135 million children stepped through a classroom door for the first time – an increase of about 5 million over the level in 1999. The developing country GIR, which registers the number of new entrants regardless of age, has increased by about 8% over the period, with the Arab States, South and West Asia, and Sub-Saharan Africa registering the biggest increases. Some regions have seen their intake levels stagnate or even decline, as in East Asia and the Pacific, Latin America, and North America and Western Europe. This typically reflects a combination of demographic change and a better match be-

⁴⁵ EU-Norway Somalia Joint Strategy Paper, 2008-2013

⁴⁶ United Nations Development Assistance Framework Liberia 2008-2012: Consolidating Peace and national Recovery for Sustainable Development

tween school starting age and progression through the system in countries that started with high GIRs⁴⁷.

The GIR/AIR is difficult to interpret, and in fact will remain around 100% within countries and regions with well-established systems of free and compulsory basic education with clearly set entry age in first grade primary. Here, pre-primary often being integrated into the basic education system incorporates the so-called under-aged and greatly reduces over-aged children from entering, as they in general (with the exception of very low primary school readiness) enter at primary school age. The AIR trends by region (see also Annex 23) do not yield insightful information as they are based on averages.

- In **Sub-Saharan Africa**, the GIR/AIR increased between 2002 and 2004, from 100 to 110, with an overrepresentation of boys among new entrants. The figures show that, overall, the school system is capable of incorporating the school-aged population. The share of the primary school entry age population in the first grade entrants cannot be distilled. It is clear, though, that the GIR/AIR by country will show marked differences, and that the school systems are still enrolling under-aged and over-aged children.
- In **Latin America and the Caribbean**, the GIR stabilised between 2000 and 2003, at 117 and 115 respectively.
- In **South Asia**, the GIR consolidated at around 130 between 2000 and 2004, with an overrepresentation of boys (136 versus 125).

Pre-primary education is perceived as lowering the threshold to primary education, but also decreasing the GIR because of providing opportunities for schooling to children not having school entry age. When pre-primary education is not part of the formal system and is being in a limited way catered for through private provisions, parents may use the school as a “parking place” for children who are not yet of school age.

Overall, there are marked differences in provision for pre-primary education and their utilisation. In general, LDCs, especially in Sub-Saharan African and fragile states, have low pre-primary GERs, while medium income countries, **European Neighbourhood**, **Latin American** and **Caribbean** countries have more provision, and hence higher pre-primary enrolment rates. For example, there are low pre-primary enrolment rates in *Niger* (2% pre-primary GER) and *Burkina Faso* (16%), but much higher pre-primary enrolment rates in *Ghana* (60%), *Vietnam* (42%) and *Dominican Republic* (33%).

- In *Bangladesh*, there is an informal early childhood education in formal schools. Over the period of 2004-2008, BRAC operated in 24,750 pre-primary schools (with 700,425 students), of which 4,500 schools were EC funded and had an enrolment of about 135,000 students.
- In *Pakistan*, pre-primary or early childhood education (ECE) has informally been in operation for the last few decades in the public school system, in so-called “Kachi” classes, but is not formally recognised. Rising demand for pre-primary schooling from the population has led the Government of Pakistan to recognise ECE as an integral part of the school system, with a curriculum in existence, but with trained teachers and provisions often lacking. In the school year 2006-07, the total enrolment of ECE in all institutions of the country was more than 7.5 million, with more than 1 million in the Sindh province.
- In the *Dominican Republic*, starting from the school year 2007-08, it became law that all five-year-old children, boys and girls alike, must have access to quality pre-primary schooling. According to the Ley General de Educación (General Law of Education), pre-school education in its last year is mandatory and begins at the age of five. To achieve this goal, the government has promoted the creation and implementation of “Jardines de Infancia” (kindergartens) throughout the country. As a consequence, pre-school education (initial level) has increased by almost 40% in the last decade, compared to 1991, when only 16.2% of children were enrolled at this level. Although progress has been made, enrolments are still low compared to other Latin American countries – below the 60% average for 2002, with a gross enrolment rate of 34% for the same year (EdStats - World Bank, 2007).

However, within the Strategic Plan for Dominican Republic Educational Development⁴⁸, five priorities were presented – the first one on equity and democracy (promoting early childhood

⁴⁷ UNESCO (2009): EFA Global Monitoring Report 2009, p. 56

⁴⁸ State Secretariat for Education (SEE) 2002 Plan Estratégico de Desarrollo de la Educación Dominicana 2003-2012.

care and universal access to primary education). The new pre-school enrolment rate for 2007-08 was 35.48%.

- In *South Africa*, the EC provided support to the audit of Early Childhood Development (ECD) provision, the results of which the government and all other stakeholders in the subsector utilised in the development and roll-out of a new national strategy for ECD. ECD falls under the White Paper of 2001, which aims to achieve the full participation of five-year-olds in grade R education by 2010, as well as improve quality, curricula and educator development

The following table shows Gross Intake Rates to grade 1 for the desk study countries.

Table 7: *Gross intake rate to grade 1 (2000 and 2007, sample countries)*

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Asia						
Bangladesh				99	97	98
India	111	129	121	124	132	128
Indonesia	111	119	115	125	131	128
Tajikistan	93	99	96	101	106	104
Vietnam	104	108	106			
Sub-Saharan Africa						
Botswana	114	117	116			
Burkina Faso	39	54	47	78	89	84
Ghana	88	90	89	113	110	111
Mozambique	103	119	111	154	164	159
Niger	36	52	44	58	72	65
South Africa	94	100	97	104	112	108
Tanzania	85	90	87	105	107	106
Uganda	173	173	173	150	149	150
Caribbean						
Dominican Republic	119	130	125	121	128	124
Jamaica	96	96	96	86	90	88
European Neighbourhood countries						
Tunisia	103	103	103	105	104	104
Russian Federation			94			98
Latin America						
Argentina	110	110	110			
Nicaragua	137	145	141	161	173	167
Fragile/failed states						
Eritrea	58	72	65	40	46	43
Somalia						
Pakistan			71	96	112	105
Occupied Palestinian Territory	108	109	109	79	80	79

F= Female; M = Male; T = Total

Source: *World Bank Edstats*

The following regional trends can be observed with regard to the GIR for the desk study countries:

- **Sub-Saharan Africa:** Trends of increasing AIR/GIR (see Annex 23) after 2000 are noticed in most Sub-Saharan African countries. Even though the number of new entrants in primary schools has greatly increased, statistics for Niger (an increase from 44 in 2000 to 65 in 2007) and Burkina Faso (47 to 84) still clearly revealed the non-capture of substantial groups of primary school-aged children among new entrants. The extremely high AIR/GIR prevailing in 2007 in Uganda (150) and Mozambique (159) indicate that large proportions of under-aged and over-aged youth are among new entrants (as well as possible repeaters when the net intake ratio (NIR) is not adjusted for those). An extremely high GIR can be seen as a measure of system low efficiency and the wastage of scarce investments. In Eritrea, the NIR remains extremely low and decreased from 65 in 2000 to 43 in 2007. In other African countries, the GIR stabilises at the 100-110 level, which is quite acceptable in terms of reaching the larger proportion of school-aged children, with the inclusion of only a small proportion of under-aged and over-aged pupils. The ECA Audit Burkina Faso indicated that the GIR almost doubled be-

tween 2001 and 2007, increasing from 46.9% to 85.7%. In 2008, it fell by 80%, partially due to the fact that statistics for 2008 were already based on the General Census of the population in 2006. The decennial plan for the development of basic education (PDDEB⁴⁹) plans to increase the GIR to 88% by 2010 and 100% by 2015. However, according to the ECA audit, these objectives seem unrealistic, given the performance of 2008. Furthermore, they contradict the education policy letter, which plans 100% access to primary education only by 2020.

The ECA Audit for Niger notes large discrepancies between rural and urban areas. In 2007, the GIR for primary school was 58% in rural areas and 98% in urban areas. Taking into account the fact that 83% of the population lives in rural areas, this difference is even more significant. The GIR in the first year of school increased from 49.8% in 2001-2002 to 65% in 2006-2007.

- **Asia:** According to the table above, the GIR decreases and stabilises at 98 in Bangladesh, with girls slightly over-represented (99 versus 97) among new entrants. In Pakistan, the GIR stabilises at 105, with an over-representation of boys (112 versus 96). In both India and Indonesia, the GIR increased to 128 in 2007, indicating that systems are still accommodating substantial numbers of under-aged and over-aged pupils at primary school entry, with boys somewhat over-represented in both countries. Tajikistan has a stable GIR around 100.
- **European Neighbourhood countries:** In Tunisia, the GIR remains stable at around 104, while in the Occupied Palestinian Territory, in line with decreased overall enrolments, the GIR dropped from 109 in 2000 to 79 in 2007. The Russian Federation has stable GIRs of around 100.
- **Latin America:** The pattern in Latin America and the Caribbean is stable, with only Nicaragua having an extremely high GIR (169 in 2007). This indicates a high share of under-aged and over-aged children, and possible repeaters, among the new entrants in primary schools.

2.2.3 I-212: Net Enrolment Ratio in primary education & Gross Enrolment Ratio in primary education

The NER is one of the most robust instruments for measuring how far away a country is from achieving UPE. It captures the share of primary school-aged children officially enrolled in school. Countries that consistently register NERs of around 97% or more have effectively achieved UPE, since it means that all children of the appropriate age are in primary school and are likely to complete the cycle.

The GER indicates a high degree of participation, whether the pupils belong to the official age group or not. A GER value approaching or exceeding 100% indicates that the country is, in principle, able to accommodate all of its primary school-aged population, but it does not indicate the proportion of that population actually enrolled. In order to achieve UPE, the number of under-aged and over-aged pupils would need to decline in order to free places for pupils in the official primary school age group.

The NER or GER or both key indicators are used as a basis for performance measurement related to access and retention in joint reviews and sector assessments. It is a standard education sector indicator for variable tranche releases in the framework of GBS and SBS. Sometimes, partner countries are in favour of using GER, rather than NER, because of perceived lower reliability of NER, given uncertainty about the accuracy of age-specific population projections. The gap between GER and NER has to be clarified in terms of repeaters, and over-aged and under-aged children, especially in cases of high GIR/AIR.

According to the EFA GMR 2009, the following general trends can be observed related to the **NER**:

- As intake rates have risen, so has overall enrolment. **Sub-Saharan Africa** and **South Asia** accounted for the bulk of the increase, with enrolment in the former increasing by 30% and in the latter by 25% between 2000 and 2007. Elsewhere, total enrolment fell slightly, due partly to declining school-age populations.
- During the 1990s, **Sub-Saharan Africa's** NER increased at an average of 0.3% a year, to 56% at the end of the decade. In 2007, it stood at 73% – an average annual increase of around 2%, or six times the rate of the pre-Dakar decade. Several countries in Sub-Saharan Africa have registered some particularly impressive progress. For example, Burkina Faso and Tanzania have moved since 2000 from NERs of between 36% and 54% to 54% and 88% respectively. Starting from an even lower baseline, Niger has doubled its NER, reaching 45%. Ghana

⁴⁹ Plan décennal de développement de l'éducation de base

increased its NER from 63 to 73 in 2007, and Mozambique from 56 to 80 in 2008. NER was sluggish in Eritrea, with a slight increase at a very low level from 38 in 2000 to 43 in 2007. Based on trends in NERs, it can be seen that of the 10 Sub-Saharan African countries covered in the desk study, only *South Africa*, *Botswana* and *Uganda* are making continued and consistent progress to accommodate MDG 2 and 3 targets.

- **South Asia** has also recorded an impressive increase in NER, from 76% to 86%. The sharp rise of enrolment rates, despite rapid population growth, reflects the higher priority being attached to primary education in many countries. These achievements confirm that rapid progress towards UPE is possible, even under difficult circumstances. With high population growth, the school system has to at least cope with age-specific population growth, e.g. 3%, in order to consolidate the NER. However, the NER in Pakistan grew at a slow pace, from 57 in 2001 to 66 in 2007, with a strong persisting gender disparity (73 for males, 59 for girls). In the other two E9 countries, Indonesia and India, the NER increased to 95 and 90 respectively, with good progress having been made towards attaining gender parity, and well on track to meeting the MDG targets.
- *Tunisia* is well on track to meet MDG targets and has managed reaching gender parity. Post-intifadas, the overall NER in the *Occupied Palestinian Territory* has decreased to 73.

The policies behind increases in NER vary by country, but, according to the EFA GMR 2009, some consistent features emerge:

- In several countries across **Sub-Saharan Africa** – including *Ethiopia*, *Kenya*, *Lesotho*, *Tanzania* and *Zambia* – the elimination of school fees has propelled enrolment rates upwards (see box).
- International aid partnerships have played an important role in some of the best performing countries, including *Ethiopia*, *Nepal* and *Tanzania*. Consistent and predictable financial support for nationally-owned strategies has made an important difference.

Box 5: UPE in Tanzania

A strong partnership of government, donors (including the EC) and civil society has been instrumental in the rapid improvement in access to and completion of primary education in the United Republic of Tanzania since Dakar. In 2001, the government abolished primary school fees and launched a programme to simultaneously improve access and quality at the primary level. The main components of the programme were:

- Increased spending on education, with a focus on primary education. Public education spending increased from 3% of Gross Domestic Product (GDP) in 2000 to 4.5% in 2005.
- School construction and rehabilitation through school development grants. Between 2002 and 2004, about 30,000 new classrooms were built.
- Introduction of double shifts. Splitting shifts of pupils made it possible to accommodate the large, rapid enrolment increases after fee abolition.
- Recruitment of teachers and upgrading of current staff. An additional 32,000 primary school teachers were recruited between 2002 and 2004.
- Introduction of school capitation grants. At school level, grants have paid for teaching and learning materials, including textbooks, to help defray school operating expenses and to support teachers' professional development.

Between 1999 and 2006, the number of out-of-school children of primary school age decreased dramatically, from over 3 million to under 150,000. The primary NER went from 50% in 1999, before the programme, to 98% in 2006. Completion rates also improved rapidly, partly due to improved teacher training and increased availability of teaching and learning materials. With the introduction of school capitation grants, non-salary spending at school level increased from just 4% of the primary education budget to 27% in 2004. This significantly improved the availability of teaching and learning materials in schools, although pupil/textbook ratios remain high.

Source: EFA GMR 2009

Table 8: Gross enrolment rate (%) in primary education (2000 and 2007, sample countries)

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Asia						
Bangladesh				97	91	94
India	86	102	94	111	115	113
Indonesia	111	115	113	118	123	121
Tajikistan	95	102	98	98	102	100
Vietnam	104	109	106			

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Sub-Saharan Africa						
Botswana	106	106	106			
Burkina Faso	37	52	45	61	73	67
Ghana	81	86	83	99	100	99
Mozambique	64	85	75	102	118	110
Niger	26	38	32	45	61	53
South Africa	103	109	106	103	106	105
Tanzania	68	69	68	109	110	110
Uganda	124	131	127	118	117	117
Caribbean						
Dominican Republic	109	112	110	105	112	108
Jamaica	96	96	96	89	91	90
European Neighbourhood countries						
Tunisia	112	118	115	106	109	108
Russian Federation	105	107	106	97	97	97
Latin America						
Argentina	114	116	115			
Nicaragua	101	100	101	115	118	116
Fragile/failed states						
Eritrea	52	63	58	52	62	57
Somalia				154	26	21
Pakistan	56	82	69	76	93	85
Occupied Palestinian Territory	108	108	108	80	80	80

F= Female; M = Male; T = Total

Source: World Bank Edstats

F= Female; M = Male; T = Total

Source: World Bank Edstats

Table 9: Net enrolment rate (%) in primary education (2000 and 2007, sample countries)

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Asia						
Bangladesh						
India	72	86	79	88	91	90
Indonesia	93	96	94			95
Tajikistan	92	100	96	95	99	97
Vietnam			95			
Sub-Saharan Africa						
Botswana	84	81	83			
Burkina Faso	30	42	36	49	59	54
Ghana	62	64	63	84	83	84
Mozambique	50	62	56	40	45	43
Niger	22	31	27	72	73	73
South Africa	90	90	90	88	87	87
Tanzania	54	52	53			
Uganda				38	51	45
Caribbean						
Dominican Republic	81	81	81	84	83	84
Jamaica	92	92	92	84	86	85
European Neighbourhood countries						
Tunisia	95	97	96	98	97	98
Russian Federation						
Latin America						
Argentina						
Nicaragua	79	78	79	96	96	96

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Fragile/failed states						
Eritrea	35	41	38	40	45	43
Somalia						
Pakistan	48*	67*	57*	59	73	66
Occupied Palestinian Territory	96	96	96	73	73	73

F= Female; M = Male; T = Total

Source: World Bank Edstats

Except for *:= Govt. of Pakistan, Ministry of Education (2008): Education For II, Mid Decade Assessment Pakistan, Country Report 2008

With reference to the desk country sample (and including the additional countries covered by ECA reports in Africa), the following trends can be observed from the tables, with regard to **GER in relationship to NER**:

- In **Sub-Saharan Africa**, the GER increased from 80% in 2000 to 96% in 2007. However, the discrepancy between GER and NER shows an increase in the same period from 21% to 23%. This would indicate that the system is catering for large amounts of over-aged children and repeaters. Strangely, low enrolment countries such as Niger and Burkina Faso have a low difference between GER and NER.

In *Niger*, according to the ECA Audit, the GER increased from 37% to 54% between 2001 and 2007, which is below the objective of 61% set by the first phase of the PDDE (2003-2007). Progress also remains slow in terms of disparities between urban and rural areas, where the GER rose from 41.7% to 57.1% between 2001-2002 and 2006-2007. In 2005/2006, the global GER was 54% (with a target by 57%), while the GER in rural areas was 52% (with a target set at 54%). The performance was weak concerning primary education, with GER increasing on average by 2% per year between 2004 and 2006. Moreover, disparities between regions are significant. In 2006, there was a 15-point gap between the region scoring the highest GER (58%) and the one with the lowest (43%).

The GER is stabilising in *South Africa* and *Botswana*, and decreasing in *Uganda*, which may indicate a relatively larger share of school-aged population in enrolment.

According to data from the ECA audit of Tanzania, the primary NER increased from 59% in 2000 to 97.3% in 2006-2007 and then decreased slightly to 95.9% in 2008. The high enrolment rates have to be seen in the context of increasing drop-out rates, which, in 2009, almost reached the level of 2003.

In *Namibia*, although the ECA report notes that recent data suggest that access to primary education improved in 2008 (with NER reaching 97.4%, compared to 92.3% the previous year).

In *Uganda*, according to the ECA Audit, the NER (E1) was predicted to increase from the 2004 baseline of 88.7% by 1.6% to a target of 90.3% in 2005, but then by only a further 0.3% to a target of 90.6% in 2006.

In the *Dominican Republic* from 1991-92 to 2001-02, the GER in the first cycle of basic education (grades 1-4) increased from 91% to 138% and the GER for the second cycle (grades 5-8) increased from 42% to 90%. According to the Statistic Department of SEE, in 2007-2008 the NER in primary education was 92.3%, compared to 94% in 2002, while the GER was 119.2%, compared to 104% in 2002⁵⁰. The difference reflects the high percentage of over-aged students enrolled in Dominican basic school.

- In **South Asia**, the GER increased from 90% to 108% between 2000 and 2007, with the difference between GER and NER stabilising at around 22%. Similar to Sub-Saharan Africa, in South Asia as a whole the system still incorporates a large amount of especially over-aged pupils. In *Indonesia*, the GER-NER gap is stabilising, while it is increasing in *Pakistan* and *India*.

In order to ensure that, by 2015, all children – particularly girls, children in difficult circumstances and those belonging to ethnic minorities – have access to free primary education of

⁵⁰ UNESCO Institute for Statistics

good quality, the government of *Bangladesh* has set indicator targets, with GER at 100.3%, NER 83%, dropout rate at 25%, completion rate 75% and quality achievement at 30%. According to the Bangladesh Primary Education annual report 2009, both main participation indicators appear to have increased strongly between 2005 and 2006, modestly between 2006 and 2007, and fell back to 2006 levels in 2008.

In *India*, amid increasing enrolment, the discrepancy between GER and NER remains the same. The GER increased between 2000 and 2007 from 94% to 113%, while the NER increased from 72% to 90%.

In *Indonesia*, the discrepancy between GER and NER is increasing, with a stable NER and an increasing GER.

In *Tajikistan*, with a relatively high NER, the discrepancy with the GER is small.

- As for **Latin America**, in *Nicaragua* there is a big difference of 20% between the GER and the NER, indicating a large share of over-aged pupils. In line with the high GIR/AIR, this discrepancy appears likely to persist.
- In *Tunisia*, the discrepancy between GER and NER is stabilising or slightly decreasing. In Tunisia, the GER was far above 100% from 1999 (116%), and the subsequent decline (108% in 2007) is a consequence of efficiency improvements that took place between 1999 and 2007, due to a reduction of repetition rates. The 2007 NER can be considered as having reached universal access to primary education – namely, 98% for girls and 97% for boys.
- In **fragile states**, patterns of enrolment are strongly influenced by conflict and post-conflict recovery, as well as by major emergencies. This is the case for *Liberia*, *Somalia*, *Eritrea* and *Pakistan*. During a period of civil disturbance or war, schooling may effectively come to a standstill, and during post-conflict periods the GER may skyrocket due to over-aged enrolment. In Liberia, the civil war between 1989 and 2003 depleted education systems and provisions. After 2003, enrolment levels quickly recovered, but enrolment was dominated by over-aged children. The primary GER increased from 25.4% in 1995 to 94.2% in 2006. In contrast, the primary NER decreased between 2000 and 2006 from 66.2% to 39.5%⁵¹

Pakistan, as stated in the Country Note, was hit by two major natural disasters. In 2000, more than a million people were affected by a severe drought in Baluchistan and Sindh, and in October 2005, a severe earthquake hit Azad Kashmir, affecting Gilgit Balistan and the North Western Frontier Province, with a death toll of 79,000 and causing severe damage to infrastructure. About 10,000 schools and educational institutions were totally or partially damaged, 873 teachers died, and many were severely injured. Apart from the effect of these calamities, additional factors influencing school enrolment are the emergence and strengthening of the Pakistani Taliban, the situation across the Afghan border, and the tense border situation with India. However, progress could still be seen in the NER, rising from 57% in 2001 to 66% in 2007, with an increasing discrepancy between GER and NER (GER increasing from 69% to 85%).

In *Eritrea*, the GER consolidated between 2000 and 2007 at 58% and 57%, while the NER increased from 38% to 43%.

2.2.4 I-213: Primary Completion Rate (PCR)

Primary completion rate	Primary completion rate is the total number of students (total, male, female) regardless of age in the last grade of primary school, minus the number of repeaters (total, male, female) in that grade, divided by the (total, male, female) number of children of official graduation age. Note that when repetition rates are high, this indicator is not always a reliable measure of primary completion. (Data Source: UNESCO Institute for Statistics)
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Primary Completion Rate addresses MDG 2 target 3 – “ensure that by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling”. The PCR covers aspects of cohort survival rate. It does not cover graduation rate, but is often used as a reasonable proxy. It should be noted that the PCR can have values above 100%, based on late entry and grade repetition. It also means that, in interpreting low PCRs, these factors should be taken into consideration. When there is a big difference in GER and NER based on a large share of over-aged students enrolled, this will equally inflate the PCR. There is a strong correlation between a low NER and a low PCR, and a low PCR may be partly based on low retention/high drop-out.

⁵¹ Eurotrends (2009): Study on Governance Challenges for Education in fragile Situations; Liberia Country Report, pp.6

According to UNESCO Institute for Statistics (UIS) data for 2002/03, the PCR is below 40% in 10 countries, all in Sub-Saharan Africa, among which *Eritrea*, *Liberia* and *Niger*. The UIS⁵² also states that lower PCRs are observed in Eastern and Southern Africa (59.5%), West and Central Africa (64.8%), the Middle East and North Africa (75.4%), South Asia (81.6%). The study notes that the biggest gender disparity exists in West and Central Africa, where the PCR of boys is 14.6 % above that of girls. Eastern and Southern Africa (7.6%), the Middle East and North Africa (7.5%) and South Asia (7.6%) also have gaps in gender disparity. Latin America and the Caribbean are the only regions where girls are more likely to complete primary education than boys.

PCRs appeared to be rising in most states – apart from fragile states – over the evaluation period, but not as steeply as the enrolment rates. Global patterns show that completion rates are on a slow but steady increase. Worldwide, the PCR went from 82% in the year 2000 up to 88% in 2007⁵³.

It should be noted that progress on completion rates must be viewed together with the results under gender parity for a given country – which are described below.

Table 10: Primary completion rate (2000 and 2007, sample countries)

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Asia						
Bangladesh	61	58	59			
India	64	80	72	92	95	94
Indonesia				107	109	108
Tajikistan	90	100	95	93	97	95
Vietnam	94	98	96			
Sub-Saharan Africa						
Botswana	93	89	91			
Burkina Faso	21	29	25	30	38	34
Ghana				73	82	78
Mozambique	125	197	161	39	53	46
Niger	144	21	179	31	47	39
South Africa	88	86	87	86	86	86
Tanzania				81	84	83
Uganda						
Caribbean						
Dominican Republic	79	72	75	90	86	88
Jamaica	90	85	87	90	88	89
European Neighbourhood countries						
Tunisia	88	89	88	102	103	102
Russian Federation			94			94
Latin America						
Argentina	102	98	100			
Nicaragua	70	62	66	78	71	75
Fragile/failed states						
Eritrea	33	40	36	41	53	47
Somalia						
Pakistan				54	67	60
Occupied Palestinian Territory	104	102	103	83	83	83

F= Female; M = Male; T = Total

Source: World Bank Edstats

With regard to the country sample taken, the following trends in PCR can be observed from the table (the EC's possible contribution to these is discussed later):

⁵² UNESCO Institute for Statistics (UIS) (2005): Global Education Digest 2005, Montreal.

⁵³ No worldwide figures available for 2008.

- **Asia:** In *Bangladesh*, despite rather scarce and limited data, it appears that PCR remained low at 58% in 2006, with girls' completion higher than boys (+5%). On the other hand, *India* has made significant progress – especially during recent years – and PCR stood at 94% in 2007. Also, *Indonesia* has an extremely high primary completion rate of 108%, indicating repetition and over-aged pupils in school population, in line with a high GER.

Although no recent data exists for *Vietnam*, consistently high rates can be observed from 2000, with a GIR to the last grade of primary at 100% in 2007.

In *Tajikistan*, PCR has remained constantly high at 95% in 2007 (the same as 2000).

- **ACP-countries/Sub-Saharan Africa:** *Botswana* is among the countries with an increase in PCR, from 91% in 2000 to 99% in 2006, with girls over-represented in the group completing education (+6%).

Burkina Faso's PCR is low, but increased from 25% in 2000 to 35% in 2007, with boys over-represented by 8% (data from WB Edstats). In this context, the ECA Audit also noted that the PCR in Burkina Faso significantly increased between 1997 and 2007 (from 28% to 42%⁵⁴), but it is still at a low level. In *Mozambique*, according to official statistics, the aggregate first level (Grade 5) PCR increased significantly from 38.7% in 2003 to 72.6% in 2007. Comparing the aggregate completion index between boys (80%) and girls (65.1%), there is a significant gap. However, there has been an effort towards the reduction of gender gaps, despite the differences still prevailing. Comparing results by province, there is a high rate of completion in Maputo City (121.8%) and a low one (60%) in Zambézia Province.

In the *Dominican Republic*, the PCR remains high at 88%, with an over-representation of girls (+4%). The Country Note states that through policy actions following initiatives of the Inter-American Development Bank⁵⁵, and the special World Bank programme for basic education, the Dominican Republic made significant gains in internal efficiency. The report indicates that, according to cohort analysis, of every 100 children who enter formal education, only 75% complete grade 4, 63% complete grade 6, and only 52% complete eight years of basic education. The situation is worse in rural areas, where most education centres do not reach grade 6.⁵⁶ PCRs continue to be low, and children who are not finishing basic education come mostly from poor populations in urban and rural settings. As in other countries in the region, poverty has a direct impact on completion by discouraging enrolment, timely entrance and permanency in schools (World Bank 2005⁵⁷). Some policies and strategies aimed at overcoming these problems and addressing the needs of the poor at primary level have been pushed forward successfully in the Dominican Republic.

In *Ghana*, there is a trend towards increase in PCR (78% in 2007), with girls lagging behind (-9%);

- For *Liberia*, the ECA Audit noticed that a national school census from 2006/07 showed that only 15% of students in the first year of primary school were of the right age (6-7 years old), while half the students were 11-20 years old.
- In *Jamaica*, the PCR remains high (89% in 2007), with girls slightly over-represented.
- For *Mozambique*, as with enrolment data, completion data is poor and difficult to interpret adequately. PCR in 2007 was 46%, with girls lagging far behind (-14%).
- In *Niger*, as referred to in the Country Note, PCR remained persistently low at 39% in 2007, with girls badly lagging behind (-16%). Even though access to education has improved, the ECA Audit notes that a significant proportion of children in Niger do not finish primary school. The primary completion rate increased from 25.6% to 41.7% between 2001-02 and 2006-07, but it still at the lowest level compared to the other countries analysed. With regard to the EC contribution, the PCR has been selected as one of the indicators (E6) of the education component of PPARP (2006-08). The performances remained far below targets, with a PCR of 36% in 2005 compared to an objective of 50% in 2005, and a PCR of 40% in 2006 compared to an objective set at 43%.

⁵⁴ There is a considerable difference in the figures stemming from these two sources.

⁵⁵ Primary level Multi-phase for equity Program- IADB 2005

⁵⁶ Oficina Nacional del Presupuesto (ONAPRES)

⁵⁷ World Bank (2005): Central America Education Strategy. An agenda for Action. World Bank Publications, Washington.

- *South Africa* shows a PCR decreasing from 95% in 2003 to 86% in 2007. The Country Note indicates that the proportion of pupils starting Grade 1 and who reach Grade 7 translates into an indicator termed “survival rate to grade 7”. This rate is high, even though measured at the age of 18 (GER-related). In this instance, completion rate is used as a proxy for survival rate, since a cohort analysis of Grade 1 learners who have reached Grade 7 is not possible, given the data currently available. According to the survey undertaken by the statistical office, 98% of all 18-year-old children had completed Grade 7 and above in 2006. This reflects an increase of close to 2% since 2004.
- In *Tanzania*, data is sparse, but there is still a remarkable increase in PCR – from 55% in 2001 to 83% in 2007. According to ECA audit data, the PCR (Standard VII exam pass rate) increased from 22% in 2000 to 54.2% in 2006, and then decreased to 52.7% in 2007. The ratio between the number of students starting school and those passing Standard VII decreased from 70% in 2000 to 62.4% in 2008.
- In *Uganda*, as in Tanzania, data is sparse and incomplete data, but the PCR appears to have remained low at 55% in 2005, with girls lagging behind (-6%). The ECA Audit notes that the 9th EDF GBS programme included the ‘Completion Rate P7’ as an indicator for education. The Completion Rate (E2) indicator was targeted to rise by only 1% to 63% in 2005, although there had been a 6% rise from 2003 to 2004. A larger increase of 4% was then targeted for 2006. With regard to the first variable tranche, the audit noted that for ‘Completion Rate – P7’, the Ugandan government reported a 63% completion rate, which exactly met the target.

In *Burkina Faso*, it should be noted that social indicators have improved greatly, with a sudden and inexplicable jump in PCR from 34.1% in 2005 to 36.4% in 2007 and then up to an astonishing 51.2% in 2008. Improvements in completion rates are supposed to point towards improvements in school system quality and efficiency, but the CSE questioned this leap in rates. World Bank statistics for Burkina Faso do not paint the same picture for 2008, with figures of only 38%, which could imply that figures in the CSE for 2008 were provisional and needed to be corrected. Burkina Faso does not look likely to meet the MDGs, but there is still a positive trend in the key education statistics.

In *Mozambique*, by contrast, World Bank statistics show that PCR rose from 46% in 2007 to 59% the following year, demonstrating that large increases are possible.

- **European Neighbourhood countries:** *Tunisia*’s records show PCR further increasing from 88% in 2000 to 102% in 2007, with gender parity in PCR. This is in line with the overall achievements in access and retention. For *Russia*, sparse and scattered data did not allow for trends to be identified, but PCR stabilised at 94 in 2007.
- **Latin America:** *Argentina*’s PCR was optimal and steady at a level of 100% between 2000 and 2006, with slight over-representation of girls (+2%). In contrast, the PCR for *Nicaragua* was 75% in 2007 (compared to 96% in Latin America as a whole), rising to 75% in 2007⁵⁸. Nicaragua is, comparatively, an exceptionally worse-off case in Latin America, as education indicators in the country are well below the Latin American average and most organisations are pessimistic about Nicaragua achieving the MDGs on time. The CSE data showed that Nicaragua’s rate improved marginally (from 73% in 2006 to 75% in 2007⁵⁹), while World Bank data showed the level in 2000 to have been 66%, so a considerable degree of progress has been made.
- **Failed/fragile states:** In line with the limited progress in meeting MDG 2 goals, problems related to the proportion of pupils completing primary education are considerable, except for the Occupied Palestinian Territory:
 - o *Eritrea*: Within a very low PCR, there was nevertheless an increase from 33% in 2000 to 47% in 2007. Girls are lagging behind (-12%).
 - o *Occupied Palestinian Territory*: Corresponding with the decreased NER, the PCR decreased from 103% in 2000 to 83% in 2007, with gender parity.
 - o *Pakistan*: PCR remains low at 60%, with 13% more boys completing than girls.

⁵⁸ According to UNESCO statistics.

⁵⁹ UNESCO statistics.

- o *Somalia*: The conflict situation is complicated by more than 60% of the Somali population being nomadic⁶⁰ and rural-based, which also causes problems for the coverage of education services. Approximately 400,000- 700,000 people are internally displaced, and Somalia has some 400,000 refugees. Due to the conflict, no major indicator data for Somalia is available from UNESCO statistics.

It should be emphasised that this study restricted analysis on PCR to nationwide data, which is not so revealing or detailed.

It is important also to note that survival to the last grade is not the same as completion of the last grade. Many children reaching the final grade are unable to negotiate the last hurdle and complete the full primary cycle. And when there is a big difference between the GER and NER, over-aged children in particular may “inflate” completion. PCR merely indicates enrolment in the last grade of primary, even though seen as a proxy for primary graduation, and does not provide insight into the level of numeracy, literacy and life skills mastered by students. In order to get that essential insight, the EQs on quality and basic education skills will have to be taken into consideration.

The relationship between enrolment and completion is not clear cut. In general, increased access ultimately enhances increased completion. In that sense, EC support to access – including construction and rehabilitation of schools and support to pro-poor policies removing barriers to poor children enrolling – has no doubt contributed to completion. However, there are many more intervening variables in support of completion, including grade promotion policies, relevant curricula, and child-friendly approaches and learning environments. Primary school completion with a minimum or adequate package of learning and skills is even more complex to achieve (see EQ 4).

According to the EFA GMR 2009, the rate of progress to UPE is a function of advances – or setbacks – on two fronts: enrolment and completion. To this could be added retention of students versus drop-out due both to economic reasons (fees and charges and opportunity costs) and to lack of relevance of education to adult life and gainful employment. Enrolment is important, but completing a full cycle of primary education is a necessary, though far from sufficient, condition for achieving the level of learning needed to equip children with the skills they need.

Experience since Dakar strongly demonstrates that past trends do not dictate destiny. For example, countries such as Mozambique and Tanzania have moved a long way since 1999, with a dramatically increased primary net enrolment, although with more mixed progress on improving survival to the last grade.

2.2.5 Reliability of data

The most serious obstacle to effective monitoring and evaluation of progress towards MDG targets is the shortage of up-to-date statistics. However, identification of the best performance indicators is essential to ensure that there is a sound basis for using them for disbursement purposes within the framework of, for example, SBS or GBS. In assessing adequate reliability of data, Ministries of Education and their Education Management Information Systems play a role, as well as the national statistics system. Population censuses are often outdated and incomplete, yet are still the main basis for projections of population growth, as well as school-aged population. Nationwide trends seem to be more reliable than disaggregations by region. There may be different rates of population growth across the regions.

In all field study countries, population census data is out of date. (For example, the latest census in *Pakistan* was conducted in 1998). In many cases, integrated household surveys are being organised to complement the demographic data base.

As enrolment rates affect financial allocations, **reliability issues are vital** as enrolment figures may be inflated in order to obtain further funding. Furthermore, enrolment does not necessarily mean attendance. For example, in *India* there was around 90% enrolment in 2007, but attendance was only 72.7%⁶¹.

In *Nicaragua*, it was demonstrated that there can be a margin of error between 10% and 30% in the figures related to total enrolment rate, and the related CSE notes that in such a case it might be a risk to base the release of the variable tranche of GBS on such figures. In *Botswana*, there appeared to be

⁶⁰ Winnefeld, Manfred (2007) SWAps in FS. ACP – Health & Education Workshop, Brussels, Nov. 2007, Sector Wide Approaches in Fragile States? The Case of Somalia. Presentation by EU Delegation Nairobi, Somalia Operations p. 6

⁶¹ Source: CSE India

a loss of 20% of pupils over the course of the primary cycle, so it was determined that better monitoring needed to be employed, and the completion of the primary school cycle was made an indicator for the SBS for the EDF10 funding period.

Also, the ECA Audits referred to several reliability problems related to data and its interpretation:

- *Burkina Faso*: The ECA report notes that indicators on access to primary education might have been inaccurate. Indeed, the 2006 Census showed that the population had grown at a rate of 3.1% per year, and that the actual population in 2006 was at least 600,000 higher (including 460,000 children of school age) than the forecasts. It should also be noted that the number of pupils in schools that are not official and recognised, including madrasas, is only estimated and might create another distortion affecting access indicators.
- *Tanzania*: The CSP 2008-2013 states that Tanzania has already achieved MDG2 on UPE. However, according to the ECA audit, this is not the case. The error was also highlighted by EuropeAid in the inter-service consultation on the CSP/NIP, but was not corrected in the final version of the CSP, which referred to a primary NER of 91% in 2006. According to the ECA audit, the fulfilment of the MDG 2 is at risk in Tanzania. It should be noted that, according to the ECA report, a World Bank-commissioned study found a 20% difference in NERs when comparing household survey and administrative data. The development partners and Government of Tanzania anticipate that a planned annual survey will help to improve the quality of the data.
- *Uganda*: The 9th EDF GBS programme included the Completion Rate P7 as an indicator for education. The Completion Rate (E2) indicator was targeted to rise by only 1% to 63% in 2005, whereas there had been a 6% rise from 2003 to 2004. A larger increase of 4% was then targeted for 2006. With regard to the first variable tranche, the government of Uganda reported a 63% completion rate, which exactly met the target. But the government acknowledged that the figure of 63% had been based on population projections going back to the 1991 census, and that using the more recent 2002 census – which showed that previous population figures were underestimated – would result in completion rate of only 51%. It nevertheless argued that as the target was also based on the 1991 census, the full payment should be made, and the EC accepted this approach. This case illustrates the fragility of performance indicators based on population projections. Concerning the second tranche, the audit states for E2 that a new target rate of 50% introduced by the government, and agreed to by the EUD, which was actually below the reported 51% achieved in 2004-05. Nevertheless, the 2005-06 outcome was still below the new target at 48%. This result is in line with widespread concerns over the quality of primary education in Uganda since the establishment of Universal Primary Education. In this case, the government provided only a very brief commentary on the reasons for not achieving the target. The EUD stated that this issue had been subject to substantial dialogue between it and other development partners and the government of Uganda.
- *Liberia*: ECA auditors noted some apparent discrepancies between data presented in the EFA GMR and data used in the EC's draft MTR – for example, related to the primary NER. The EC's data stems from UNDP's latest MDG progress report, the Ministry of Planning and Economic Affairs' "Liberia's Progress Towards the Millennium Development Goals, 2008", the 2004 MDG Report on Liberia, and the World Development Indicators database. The data from these latter sources suggests that there was a positive trend in primary NERs between 1989 and 2007. But, as mentioned above, the data in the EFA Global Monitoring Report 2010 suggests that there had been a negative trend between 1999 and 2007. Moreover, there are large discrepancies in the actual values presented for 2007 – for example, the primary NER is 31% according to the Global Monitoring Report, but 37.3 % in the most recent UNDP study, which has been used for the draft MTR.

2.2.6 Conclusions on enrolment and completion

By the end of the evaluation, it appeared that access to primary education was no longer the greatest concern, with most countries reviewed having NERs of over 80%, apart from *Ghana*, *Burkina Faso*, *Niger*, *Bangladesh* and the *failed/fragile* states *Eritrea*, *Pakistan*, *Somalia* and the Occupied Palestinian Territory⁶². However, countries that have not succeeded in reaching out to 15% or more of the school-aged population will face big problems in meeting MDG 2.

⁶² See UNESCO Institute for Statistics for 2007 data per country and region: http://stats.uis.unesco.org/unesco/TableViewer/document.aspx?ReportId=198&IF_Language=eng. Occupied Palestinian Territory referred to by UNESCO as Palestinian Autonomous Territories.

The Commission Staff Working Document on MDGs (2010) noted encouraging progress on MDG 2, with enrolment in primary education reaching 88% in 2007– up from 83% in 2000. Major breakthroughs have been achieved in Sub-Saharan Africa, where enrolment increased by 15% from 2000 to 2007, and Southern Asia, where it rose by 11% over the same period, but large gaps still remain in access to education and completion rates.⁶⁴ The Staff Working Document argues for a special focus on fragile countries. Using the Country Policy and Institutional Assessment (CPIA) classification, the last World Bank Global Monitoring Report (2009) also shows clearly that MDG performance has so far been much lower in fragile and conflict-affected countries.⁶⁵

It should be noted that the level of development is positively correlated with MDG 2 achievements. *Ghana* is an exception, but that may relate to demographic and linguistic characteristics.

In terms of the economic development level, the *Botswana* CSE noted that the improvements in enrolment rates were not as high as was hoped for a medium human development. However, it should be noted that, according to the CSEs, all countries that demonstrated good results on enrolment rates – namely, *Botswana, India, Nicaragua, Tanzania, Indonesia* and *Vietnam* – are categorised as of medium human development. It could be argued that LDCs such as *Burkina Faso* and *Niger*, classified as countries of low human development, will probably find it easier to make more progress on enrolment than a country that is nearing 100% enrolment rates, such as *Indonesia* (90.9%), as achieving the last few percentage points can be far harder than further down the scale.

There seem to exist four broad patterns that can be identified using international data. It locates countries on the basis of their NER and survival rates to the last grade of primary school.

1. Low enrolment, low survival: this group has the furthest to travel to arrive at UPE. It comprises 20 countries, with all but three of them in Sub-Saharan Africa.
2. Low enrolment, high survival: only a small group of countries fit into this category. It includes the *Occupied Palestinian Territory*, but in this case political aspects have played a dominant role.
3. High enrolment, low survival: this category covers 21 countries, in *Sub-Saharan Africa*, in *Latin America* and in *East Asia*.
4. High enrolment, high survival: this group includes a diverse range of countries that have achieved or are close to achieving UPE.

Countries in groups 1 and 3 face overlapping but distinctive challenges. For group 1, the twin priorities are to increase enrolment rapidly while improving retention levels. To varying degrees, countries in group 3 have succeeded in raising NER levels, but face problems in survival. For example, *Nicaragua* has achieved NERs of 90% and above, but fewer than half of those who enrol survive to the last grade of primary school.

2.2.7 EC contribution towards achieving MDG2 and EFA2

Data analysis has yielded a great deal of information on improvements in trends towards universal access to primary education. The MDG goal of all children accessing and completing a full course of primary schooling has already been reached in a few countries. Moreover, there are strong discrepancies between the regions, with **Sub-Saharan Africa**, apart from a few countries and **fragile states** still having a long way to go, **Asian countries** apart from *Bangladesh* among the sample countries and *Tunisia* and *Tajikistan* are well on track to achieving universal primary education (UPE) in terms of net enrolment rates (UNESCO classifies UPE at 95% net enrolment rate).

In its examination of EC support for the building of schools, the evaluation team found strong evidence that this has had a direct impact on getting more children into schools.

From the desk analysis, underpinned by the field visits to six selected countries, the analysis of ECA reports and the EUD survey, it appears that EC support during the period under evaluation has helped partner countries to progress towards MDG2. This has been through a **variety of means**, with varied efforts and successes in the countries supported:

- The EC has played a major role in contributing – often in close co-operation with development partners – to partner country programmes in support of their commitment to achieving MDG2

⁶³ Among the video conference countries, these countries are: Ethiopia, Madagascar, Papua New Guinea.

⁶⁴ Commission Staff Working Document; Progress made on the Millennium Development Goals and key challenges for the road ahead. SEC (2010)418 final, pp.5,6

⁶⁵ Commission Staff Working Document (2010) *ibid.* pp.7-8

and EFA2 targets. Without EC support, especially least developed countries would not have made this progress towards achieving MDG 2. Reference can be made to *Niger* and *Burkina Faso* but also to fragile states like *Eritrea* and *Somalia*.

- EC support has helped to plug gaps in enrolment, through strengthening the capacity of education systems to enrol and retain students, including the construction and rehabilitation of schools and classrooms, thus contributing to partner country governments' efforts embodied in PRSPs, MDG plans and education sector strategic plans to provide access to primary education to all school-aged children. Substantial EC support was given to most partner governments through financing education system engineering, school construction and rehabilitation, and improving monitoring and supervision systems, including *South Africa*, *Tanzania*, *Uganda*, *Bangladesh* and the *Dominican Republic*. In fragile states, EC support combined physical infrastructure development and rehabilitation with system reengineering.
- EC support to physical infrastructure development in low coverage areas, usually by means of project support, has, in a number of cases, been very helpful and successful - for example, in *Eritrea* and Northern *Pakistan*, by arranging for school construction and rehabilitation in areas where insufficient schools were available, or in Chitral, by establishing the first higher secondary school for girls.
- At present, through sector support, SBS and, indirectly, GBS, EC support is contributing to improving access to basic education⁶⁶. This is substantiated by improved and sustained access-related indicators in the programmes being analysed. However, the reliability of these indicators is sometimes questionable because of unreliable demographic data - including on school-aged populations - that is based on sometimes outdated and unreliable population censuses and extrapolations based on assumptions about population growth.
- The EC provided education support to countries in post-emergency and post-conflict periods through physical infrastructure development and rehabilitation and education system re-engineering. This type of assistance was provided in *Liberia*, *Somalia*, *Eritrea* and *Pakistan*.
- Apart from the shift towards budget support, education sector support increasingly mobilises Multi-Donor Trust Funds, especially where large civil work components are involved.

This perception is complemented by the results of the EUD survey (see Annex 3): Overall, the answers from the EUDs reflect a perception of EC support as having been **helpful to enhancing access to basic education, and, in the majority of cases, having been cost-effective, with an impact in line with the size of the EC contribution**.⁶⁷ Some examples of how EC support succeeded to address access to basic education, and underpinning the statements made, are outlined below.

2.2.7.1 Asian countries

Bangladesh has seen greatly improved access, assisted by EC support to both non-formal and formal education. The NGO BRAC supported by the EC in a donor consortium co-ordinated through EC funding (Donor Liaison Office) succeeded in reaching out to more than 1 million children, (66% females) through the NFPE. The EC is also supporting the Government of Bangladesh's main objectives in attaining Education for All and ensuring quality education to all eligible children through improving and supporting equitable access to beneficiaries - including vulnerable groups and children with special needs - through P II, the second Primary Education Development Programme. The following box provides a snapshot of the EC's support and role in helping to increase access to basic education in Bangladesh.

⁶⁶ As the emphasis has been moving towards partnership and government ownership of reforms, it becomes more difficult to attribute these improvements directly to EC support.

⁶⁷ The majority of the EUD responses related to the EC's contribution to improving access to basic education, which was scored as "to a medium extent" by six out of 18 respondents. The second largest group of respondents (five) scored it as "to a low extent", and the third largest group (four) scored it as "to a high extent. The "mediums" were *Ghana*, *Mozambique* (GBS countries), *Tunisia* (SBS country), *Tajikistan*, *Occupied Palestinian Territory* and *Argentina*. The "highs" were all countries with SBS or other forms of sector support (*Bangladesh*, *India*, *Nicaragua* and *Tanzania*), plus partly also GBS, while the "lows" included fragile states such as *Pakistan* (SBS) and *Eritrea*, as well as *Botswana* (SBS), *South Africa* and *Vietnam* (GBS). No progress observed was indicated by *Indonesia*, probably due to the fact that support only substantially started in 2007.

Box 6: *Bangladesh: EC support and role towards increasing access to basic education*

Second Primary Education Development Programme (PEDP II)

EC contribution: € 105 million

Duration: 14.05.2004 to 31.12.2009 (extended up to 30.6.2011)

Status: completed and ongoing

PEDP II has been undertaken as a subsector programme approach (as against project approach) covering the whole of formal primary education in the country. Its coverage includes all government primary schools, registered non-government primary schools and community schools – a total of about 65,000 schools. The programme aims at assisting the government to (i) improve the quality of teaching-learning, and raise student achievement; (ii) increase access to schooling for the disadvantaged; and (iii) strengthen planning and management of primary education, including establishing a national monitoring and evaluation system for primary education.

The EC provides support to PEDP II to achieve Bangladesh's development goals of Universal Primary Education and the "Vision 2021 Eradication of Adult Literacy", towards a national basic education framework, targeted at socially disadvantaged children and their parents and guardians. EC specific support aims at providing grant funding in order to assist the Government of Bangladesh in the effective implementation of the subsector-wide PEDP II in all the districts of the country, and to assist the efforts of the government to improve the quality of primary education.

Results Achieved

The November 2009 PEDP II Rapid Assessment and Stock Taking Report states that primary education enrolment rates are likely to be met – although enrolment rates from the poorest sectors of the population are still very low. However, universal completion of primary education will probably not be achieved by 2015.

Programme 2: Non-Formal Primary Education Programme

Project Implementers: BRAC

Duration: December 2006 to December 2012 (EC support: € 28.3 million)

Programme Objectives

The overall objective of the Non-Formal Primary Education Programme (NFPE III - 2000 to 2004) was to contribute to poverty alleviation through access to non-formal primary education for those children traditionally outside formal schooling. The project purpose was therefore the provision of an improved full range primary curriculum via the operation of 34,000 BRAC schools throughout the country, covering more than one million children.

Results Achieved

The BRAC Education Programme (BEP) has reached more than 1 million children, of whom 66% are girls. Other products of the project, such as libraries and adolescents' reading centres, are regularly frequented and contribute to a new culture of self-organised learning. There has been improved development of the human resource base through training of female teachers, many of whom would not have had other job opportunities or had access to formal or informal training. Training courses for secondary teachers have significantly increased their knowledge and skills, but this will need to be passed on in the classroom to produce better results by students at secondary level.

Source: Country Note Bangladesh

In *Cambodia*, EC support in the form of SBS was focused on the Ministry of Education. As indicated during the video-conference, the support was directed in particular towards the design and implementation of its policies – for example, the Education Sector Strategic Plan. Another specific target of the 2007 SBS was the extension of non-formal education, which is a topic especially important in remote and rural areas in which indigenous people live. Overall, according to the EUD, EC support in Cambodia has contributed to improving access and quality, but the overall quality must still be described as poor.

India made significant progress in access and enrolment nationwide for almost all groups through a strategy aimed at providing access for all children to primary education or its equivalent non-formal education. This Government of India challenge was supported by the EC as follows: support within the framework of a donor consortium with the Netherlands Government, DfID and World Bank, the DPEP 1994-2002 and its successor the Sector Policy Support Programme "Sarva Shiksha Abhiyan", India "National Programme for Universal Elementary Education" (2001-2008) applying pooled funding with DfID and International Development Association (IDA) aiming to ensure that all children complete eight years of elementary schooling by 2010. DPEP may have been instrumental in substantially reducing dropout rates among students and in improving completion rates.⁶⁸

⁶⁸ Jyotsa Jalan and Jelena Glinskaya (2003): Improving primary school education in India: An impact assessment of DPEP-Phase 1

Box 7: *India: EC support and role to primary and elementary and non-formal education*⁶⁹

When examining enrolment in DPEP states and districts, it should be noted that some 52 million children were enrolled (2001) in DPEP schools, with 1.1 million teachers.

DPEP I was expected to create 470,000 student places. Some of these places stemmed from the rebuilding of dilapidated classrooms and schools, accounting for about 4% of the enrolment at project commencement. The other half was meant for increases in enrolment that would reduce disparities with regard to gender and caste. Student places created through the construction of additional classrooms and schools in project districts were about 400,000, close to the target level. Total enrolment in DPEP I states has increased by about 285,000 or about 6%. Based on the Education Management Information System (EMIS) data collected from 1996, overall enrolment has increased for all categories of students. Growth rate of girls' enrolment was 7%. Substantial gains are represented in the index of gender equity (proportion of girls enrolled relative to the population) and the share of girls enrolled compared to boys. About 95% of the districts have reached the DPEP goal of 95% index of gender equity, and the proportion of girls to boys increased from 45.6% to 47.8% over the project period. Scheduled Casts' enrolment increased by 6% and Scheduled Tribes' by 26%. When enrolment in the DPEP I states over the project period is considered, there seems to have been an increase until mid-project, and then a slight decrease towards the end of the project in some states.

Sarva Shiksha Abhiyan also puts a substantial focus on enrolment, and recent reports suggest that the enrolment drive has been accelerated in recent years, with nearly universal enrolment in terms of children being in school and there being schools in every habitation. Expansion of access for children of all groups and habitations has been achieved primarily through building new schools, expanding existing schools by adding classrooms, and by spreading the net of Education Guarantee Schemes (EGS) and alternative school centres. PESLE 1998-2007 through the Aga Khan Foundation, focuses on drawing in marginalised groups and keeping them in the system. PESLE's partner NGOs reached more than one million children through a total of 68 core project schools (run by the NGOs) and 1,621 government schools.

Sources: World Bank Completion Report of DPEP 1

Indonesia has made substantial improvements on all education indicators, but regional disparities still exist. With over 56 million students enrolled and around 3.3 million teachers in more than 316,000 schools, Indonesia's education system is the fourth largest in the world. EC support in the period under evaluation concerned only two components of a Basic Education Sector Capacity Support Programme, one implemented by ADB and the second implemented by UNICEF on Mainstreaming Good Practices, which just had started. Hence, EC supporting access at national level cannot be expected. However, looking at the end of the period under evaluation, in the latest CSP, the EC strategy for basic education focuses on assisting the Government of Indonesia in enhancing conditions for programmed, co-ordinated approaches to education sector support, including assisting in the creation of adequate conditions for decentralised basic education delivery. BE-SCSP1, component 1, incorporates at activity level the review of existing sector partnerships. The same project was to assess the feasibility of SWAP and prepare an indicative road map for SWAP readiness, including capacity development and financing. This has been successful, given recently signed Education Sector Support Programme (ESSP) that will support key policies and strategies in the government's new Renstra 2010-2014 (the country's Strategic Plan for education) to ensure nationwide access to, quality of, and good governance in basic education services. The EC sector budget support, with an initial contribution of € 180 million over 2010-12, will be complemented by an AusAID targeted programme.

2.2.7.2 ACP-countries/Sub-Saharan Africa

Botswana has almost achieved universal primary education, with education being a focal area in all EDFs (from EDF 7) under the heading of Human Resources Development. Sectoral budget support under the EDF9 "Education and Training Sector Policy Support Programme" (E&T SPSP, € 42.3 million) fosters a more holistic approach to the development of human resources in Botswana, and expanding equitable access to quality education and training, with special – though not exclusive – emphasis on primary and secondary levels.

In *Niger* and *Burkina Faso*, the EC approach is comparable: the GBS includes an education pillar related to FTI.

- *Burkina Faso*: The EC is providing support to the government in implementing a Ten-year Basic Education Development Plan (PDDEB) since 2002, aiming generally at achieving, by 2010, a gross enrolment rate of 70% and literacy rate of 40%. This support is modest compared to indirect funding through GBS, insofar as € 314 million has been allocated, part of which has

⁶⁹ See World Bank Completion Report of DPEP 1; IDA making education work

an education focus. It is not clear, though, how indirect funding supported the government in its enrolment drive.

The ECA Audit refers to the final evaluation report of Basic Sector Education Support Programme (PASEB), which, with regard to EC contribution to enrolment, signals a positive evolution of the GIR in the intervention area of the programme during its duration (1999-2004). The report indicates that this evolution is above national average. It also refers to a positive evolution of the GER in the intervention area of the programme during its duration (1999-2004). The PCR was an indicator of the ABRP (Budget Support for Poverty Reduction) 2005-2008 under the 9th EDF. Data shows that the performance is higher than objectives: the PCR increased from 32% in 2004 (compared to an objective set at 28.8%) to 36.4% in 2006 (compared to a target of 35%).

- *Niger*: EC support to Niger related to MDG2 has been modest; the realisation of a national school map for primary education and support to an NGO, Handicap International, for promoting access to school for physically handicapped children in the Niamey area. It was intended to favour the enrolment of about 2,500 handicapped children in the capital's regular schools. Education is not a focal sector for EC support. Before the FTI programme in 2003, which linked to the EC in a co-ordinated intervention with other donors, EC education support was oriented towards specific objectives, sometimes not included in the national education policy document of the government. However, General Budget Support has contributed, through education access and enrolment indicators, to improvements in these indicators, as shown in the following box based on the Country Note and the ECA Audit.

Box 8: *Niger: EC support to basic education through GBS and project support*

During the first phase of the PDDE programme (2003-07), it was expected to increase the GER in primary from 41.7% in 2002-03 to 57% in 2006-07 and to 61% in 2007-08. According to the ECA audit, the results of the first phase of PDDE are satisfactory in terms of access to basic education, thanks to massive recruitment of contract teachers. As a matter of fact, the pace of increase has been slower, and the 2007-08 GER was only 57%, not 61%. In addition, the rural GER was lower than expected (52% instead of 54%), and regional disparities have remained at a relatively high level (ranging from 43% in the least efficient region to 58% in the most effective one – a 15% difference).

Between 2000 and 2008, the number of primary pupils increased from 656,589 to 1,554,270 (+137%), and the number of primary teachers from 15,682 to 34,339 (+119%)⁷⁰. The funding of such a rapid increase of primary education would not have been possible with domestic fiscal resources only, and GBS has been a major tool for effectively supporting education expansion. The EC is a key contributor to GBS, by far the most active among donors in Niger

With the PDDE, the major challenge for Niger was the recruitment of large contingents of new teachers, generating additional recurrent costs every year, which implied a yearly growth of the education budget higher than that of domestic fiscal revenues. In this context, GBS can be seen as a powerful tool for assisting the government to implement the expansion of school supply to accommodate the needs of the school-age population.

There is not a consensus on the solutions to be introduced for enhancing parents' willingness to enrol their children. In the ECA report, it is argued that a school more in line with pupils' rural environment would be more appropriate to fit parents' expectations. This is precisely what the Programme de Soutien à l'Éducation de Base (SOUTEBA) project was experimenting with (utilisation of national languages and introduction of productive activities close to local traditions), but this view is disputed. According to the ECA audit, the SOUTEBA programme had a positive impact on access level and the GER increased by 34% on average between 2004 and 2008 (compared to a target set at 30%).

Two variable tranches of € 4 million and € 5.5 million were dependent on six education indicators: two budget-related ones (the level of execution of the budget, and the level of budget allocation to education); and four indicators linked to education performances (GER in primary, GER for girls, GER in total areas, and PCR). For each of the indicators, there is an associated amount determining the level of the variable tranche; for instance, if the expected GER in primary is reached, then € 1 million will be disbursed. For budget execution, it was not included in the first variable tranche of € 4 million, but has been introduced in the second one of € 5.5 million for a specific contribution of € 0.75 million.

Source: Country Note Niger

South Africa: Providing access to basic schooling was not regarded as a key priority for either the government or for donors and development partners. EC support in the years under review was mainly targeted at assisting the government with addressing the vast backlogs and gaps /disparities in educational provision. This emphasis on infrastructure development to accommodate imbalances in provisions in South Africa is shown in EC support described in the following box. Successes, however, have rather been limited: both the School Infrastructure Support Programme (SISP) and the school

⁷⁰ Banque Mondiale (2009): Niger RESEN, 2009, version provisoire.

infrastructure component in the ESSP (€ 27 million from 1998 to 2003) would have made some contribution to addressing these backlogs, however minimally. The earlier school infrastructure component in the Eastern Cape (under ESSP) appears to have been relatively successful, apart from some administrative issues arising from the changes in the list of selected schools. As a result of mid-stream modality changes and complexities of procurement, the larger SISP was significantly less successful, with € 40 million of the initial € 66 million eventually de-committed. This resulted in only 27 of the targeted 150 schools being completed, and only 18,000 learners benefiting, instead of the 100,000 envisaged.

Box 5: South Africa: EC support and role towards increasing access to basic education

The School Infrastructure Support Programme

Budget: € 66 million; later, € 40 million was de-committed

Financing Agreement: EC: December 2003, and by GoSA in March 2004

Duration: March 2004 to February 2009

Status: Completed

Objectives:

- To contribute towards the reduction in the backlog in school infrastructure in specific school districts in the Eastern Cape, KwaZulu Natal and Limpopo Provinces.
- To extend, renovate and refurbish facilities at 150 schools, with additional facilities to cater for the needs of the community and vulnerable learners.
- Build considerable capacity to enable schools and their management structures to maintain the facilities.
- To develop infrastructural management systems at national and provincial levels.

Results

By the end of the programme in February 2009, the SISP had improved 27 schools through the construction of new facilities, renovation of existing facilities, provision of furniture and other moveable assets, through social facilitation to building community ownership, and through training for staff and SGB in maintenance. The programme has also provided advisory support, with respect to capacity building and systems development, to the National Department of Education, and Provincial Departments of Education (in Limpopo, KwaZulu Natal and Eastern Cape). A 2009 evaluation revealed that efficiency, effectiveness and impact has been severely compromised by the de-commitment of € 40 million. Instead of benefiting 100,000 learners, the SISP improved facilities at 27 schools and impacted positively on the lives of about 18,000 learners.

Education Sector Support Programme

Budget: € 28 million,

Financing Agreement: Signed in 1998

Duration: 1998 to 2002

Status: Completed

Despite its name, this project is not to be confused with the Primary Education Sector Policy Support programme, which was launched in 2009. The ESSP had three distinct components: 1) education capacity building; 2) financial support to tertiary education; 3) education infrastructure. The support took the form of resources to fund additional priority elements of the public education budget that the government and the provinces would otherwise have to forego, due to overall budgetary restrictions. The programme assisted the Department of Education (DoE) in capacity building (support for the implementation of the SA Schools Act – Finance and Governance), financial support to tertiary education (bursaries administered through TEFSA – Tertiary Education Fund of SA) and the **upgrading of identified primary and secondary educational facilities in the Eastern Cape**. These support initiatives were proposed because of their priority in the education sector. They are given special emphasis in the various existing education policy documents and the Reconstruction and Development (RDP) White Paper.

The duration of the ESSP was scheduled to be 15 months from January 1998; the Financing Agreement was signed on 26 May, 1998. This meant that implementation could only be scheduled to be 15 months after 26 May, 1998. An extension to the implementation period was granted until 31 December, 2000, and extended again by a further 22 months to 31 December, 2002. A specific monitoring and reporting system based on detailed work plans was foreseen in the Financing Agreement. The EC contribution to the ESSP was grant financing, initially to the amount of €23 million. After the mid-term review, an increase of € 4.6 million was granted to finance the rehabilitation of 94 schools damaged by tornadoes. The implementing agency of the ESSP was the National Department of Education, in collaboration with the Department of State Expenditure and the relevant Provincial Departments of Education.

The programme was both evaluated and audited in 2003, highlighting the following issues:

- Project preparation was defective in a number of ways, particularly in terms of the mix of diverse projects under one programme, the unrealistic nature of the time frames specified in the Financial Agreement, and certain elements of inflexibility in the project design. This is also a recurrent theme in most other EC projects in the country.
- The programme intervention was highly relevant to the policy challenges in South African education. General efficiency in systems and procedures was acceptable, with important exceptions. Communi-

cation and approval procedures were slow, and communication and reporting protocols were, in some instances, not followed. Efficiency in the school building component was poor, with significant deviations from agreements.

- In terms of the various purposes of the three discrete interventions that constituted the ESSP, the programme was, on the whole, effective.
- The impact of the support provided to National Student Financial Aid Scheme (NSFAS) is very positively assessed. It is more difficult to assess the impact of the support for the implementation of South African Schools Act (SASA) because project monitoring was weak at the district and school levels. However, the national Norms and Standards for School Funding (NSSF) were implemented in all provinces, with greater or lesser degrees of success. As key data on school-related outcomes was not obtained in the course of the school building intervention, the impact of this component of the ESSP is assessed indirectly, based on local and international literature, which shows that learning outcomes are positively affected by the condition of school buildings. It may be reasonably assumed that the intervention in the Eastern Cape is no exception in this regard.
- Financial management and monitoring of the ESSP proved to be an additional burden on government capacity. Overall efficiency in financial management and monitoring was compromised by the breakdown of the key oversight structure. Nevertheless, the close administrative and financial monitoring by the DOE of the SASA intervention, and financial management of the support for NSFAS, were exemplary.
- The freezing of ESSP funds as a result of deviations from the agreements in the Eastern Cape school building programme affected the programme as a whole. The audit (Deloitte and Touche) of the ESSP found no serious financial irregularities.
- The NSFAS was a highly sustainable and replicable programme. The intervention in support of the implementation of SASA was sustainable and replicable, as evidenced even today (2010).

In sum, the ESSP had very successful elements (NSFAS and the NSSF) that were piloted / scaled up, enabled by EC funding, and these programmes are still used in 2010. However, it also had serious challenges arising from, for example, the school building programme, which was financed as a form of sector budget support to Eastern Cape. Due to changed priorities in the selection of schools, the EC chose to freeze payments, and the experience may have made the EC reluctant to promote the sector budget support. Hence, the next time the EC provided support to school building (under SISF), the modality was a hybrid between project and budget support – but, unfortunately, again with damaging consequences in terms of implementation efficiency and effectiveness.

Source: Country Note South Africa

Tanzania: The education system is characterised by low retention rates and large regional disparities, as well as late school entries. EC support has been provided to the first operational subsector programme, ESDP. The programme under the 8th EDF intended to support the Government of Tanzania in its objectives of expanding enrolment, increasing the capacity of the primary education system to absorb an increased number of pupils and simultaneously provide better quality education (project purpose), and support in its access component aimed at contributing to the decentralised implementation of the programme through the construction of classrooms. The PEDP review of 2004 noticed that much had been achieved between 2001 and 2004. Schools were much better places to study in. PEDP has been successful in ensuring that funding has reached school level, in increasing numbers of classrooms constructed, textbooks procured and teachers trained. The MoEC publication on Basic Statistics in Education for 2004 indicates that both gross and net enrolments have expanded substantially – between 2001 and 2004, the GER rose from 85.4% to 106.3%.

Uganda: From 2000-01, EC support was through earmarked sector budget support (Support to Universal Primary Education – SUPE 2001-05), while a stronger focus on education was given in EC's Poverty Alleviation Budget Support programmes PABS 4 (2001-03) and PABS (2005-10) in EDF 8 and 9. The Government of Uganda, with concerted and co-ordinated donor support, has sustainably organised a system that accommodated 7.2 million pupils, involving 127,000 teachers in 85,000 classrooms, and all on an equitable basis.⁷¹ SUPE arranged for 23,541 classrooms (+ 39%) to be built

During EDF 10, Uganda qualified as one of nine countries for an MDG contract. This contract was proposed by the EC to Uganda because of its good track record in reducing the number of poor among its population, from more than half in 1992 to less than a third in 2006. The ECA Audit referred to the 9th EDF GBS programme with education indicators; 'Net Enrolment Ratio and completion Rate in primary education'. Overall, the picture related to the EC's contribution is considered as mixed. Most certainly, according to the report and confirmed by the EUD survey⁷², the EC – through its support to

⁷¹ Ex-post ROM Report, SUPE, April 2007

⁷² The sole respondent of all EUDs indicating "to a very high extent" to the question on "EC's contribution to improving access" was the EUD *Uganda*. The EUD noted the fact that the EC was the lead donor for education between 2000 and 2001 and that the EC represented "the face" of other donors in relation to policy dialogue and appeared to play the role of the most important education donor during the evaluation period.

Education Sector Investment Plan (ESIP), education sector Medium-Term Expenditure Framework (MTEF) and strengthening the capacity of the government for pro-poor policy development and implementation, including education service delivery – has helped the government to maintain the momentum related to primary enrolment, which had started with the launch of UPE in 1997. It also assisted in keeping costs for all pupils as low as possible – through, for example, school capitation grants. While the achievements related to improved access – even though consolidating rather than growing – are positive, the picture is far from positive with regard to completion.

Ghana: The EC has supported various GBS (total: € 182 million), currently through the MDBS. According to the Overseas Development Institute – Ghana Center for Democratic Development (ODI-CDD⁷³) MDBS evaluation of 2007, access to education services in Ghana has improved significantly over the lifetime of the MDBS. A key factor in the expanded utilisation of primary education services, in particular in the more disadvantaged areas, has been the implementation of the Capitation Grants Scheme and the abolition of levies. Effectively, it has now made public primary schooling free for all and has been a major boost to enrolment rates. Alongside the improvements in enrolments, the report also highlights that there is evidence that disparities across regions and between genders have reduced. Improvements do not cover all indicators, but nevertheless show strongly favourable trends: In the period 2003/04–2005/06, there was a significant narrowing of the disparity in primary Gross Enrolment Ratios between the 40 most deprived districts and other districts. It has been suggested that “top-ups” should be provided to the scheme so as to give higher per pupil allocations to schools with lower numbers (where unit costs are necessarily higher), to schools where girls are significantly under-represented, and to schools in disadvantaged districts, with a view to addressing disparities in education provision more effectively. The overall scheme seems to have proved its efficiency as a mechanism for transferring resources directly to schools, so such adjustments ought to be relatively easy to institute, subject to the availability of budgetary resources. Moreover, the School Feeding Programme has also had an impact on improving access for poorer learners. Originally targeted at one school in each region (10 schools overall), then at one school in each district (138 schools), in 2007 it had expanded to five schools in each district and was strictly targeted towards primary schools in the most deprived areas.

In addition to the more detailed information and analysis above, some issues raised by the participants in the video conferences highlight interesting aspects related to EC support aimed at enhancing access to basic education:

- In *Madagascar*, although EC financial support to the education sector was only indirect through GBS, the EUD emphasised that the support has contributed to increased access to basic education, but had to neglect quality aspects in order to tackle the most problematic issue – access to education for all, due to a significant increase in school-aged children. This underpins our analysis regarding GBS access indicators triggering access – for example, for *Ghana*, *Burkina Faso* and *Niger*.
- On the other hand, during the period under evaluation, project support was the only modality being applied in *Fiji* and *Papua New Guinea*, with an emphasis on access. The EUD Fiji indicated that EC support mainly upgraded existing school facilities (for example, through the provision of solar lighting) and helped provide better access to **remote schools** (through the provision of boats and vehicles to district officers). These are examples of where the project modality is used for enhancing access, as was frequently the case prior to 2000.

In the *Dominican Republic*, as confirmed by the Country Note, EC support has helped by increasing budgetary resources available for innovation and investments, and in the specific case of reconstruction of schools in the Eastern Region, by providing school access to highly disadvantaged children. Moreover, Sector Budget Support provided by the EC and the Technical Assistance (TA) provided with the implementation of PAPSE have contributed to increasing access by substantially increasing financial resources invested in education and allowing for the provision of added value to national investments. In fact, the resources mobilised by the EC have been invested 100% in innovation and the upgrading of the education system. No evaluation is currently available, but goals measured by indicators appear to have been substantially attained.

The following boxes provide snapshots regarding EC support towards increasing access to basic education in the Dominican Republic.

⁷³ ODI (2007): Joint Evaluation of Multi-Donor Budget Support to Ghana, London 2007.

Box 5: Dominican Republic: EC support towards increasing access to basic education - projects

Project 1: Schools Reconstruction Programme

Budget: € 7.2 million

Financing Agreement: signed 20 January, 2000. Commission; GoDR 4 April, 2000

Duration: 1 January, 2000 planned to 17 October 2001; actual to 1 June, 2005

Status: Completed

The Reconstruction of Schools for basic education was designed to contribute to the social development of the Dominican Republic, by means of supporting the government's efforts to restore – in a sustainable manner – the functioning of basic education in the sub-regions of San Pedro de Macoris and Higuey.

Access-related project objectives:

The rebuilding of 220 classrooms, able to serve better as shelters in case of emergencies;

The educational equipment and materials of 513 classrooms that was lost during the disaster.

Reconstruction of Schools in the Eastern Region (Phase II).

Budget € 1,960,000

Financing Agreement: signed 20th January 2000 by EC; GoDR 4th April 2000

Duration: 1st Jan 2000 planned 17th Oct 2001, actual to 1st Jun 2005

The Project was designed and is being implemented to contribute to the social development of the Dominican Republic in the field of education, with the aim of reducing the existing gap in basic education facilities among rural and urban communities in marginalised rural and semi-urban areas, thus contributing to poverty reduction.

Project objectives:

The expected project results are the completion of civil works and handing over to the Government of 30 school buildings that could not be finalised under the previous Project of Reconstruction of Schools for Basic Education and Increase of Disaster Preparedness in the Regions of San Pedro de Macoris and Higuey (eastern part of the Dominican Republic) (8 ACP DO 013)

Activities were directly linked with construction works related to completion of the buildings.

Results achieved by the projects:

In the field of reconstruction, it cannot be said that EC support has worked properly. In fact, the school reconstruction projects, both in the first phase (8 ACP 13 DO) and in the second phase (9 ACP DO), can be characterised by several problems related to low quality of project design, incorrect technical decisions, and, for the latter, by problems related to the aid modality (project support) that has produced a duplication in structures and several delays in implementation. However, some 100 schools have been built under the two projects.⁷⁴

Source: Country Note

Box 6: Dominican Republic: EC support towards increasing access to basic education - SBS

SBS Support PAPSE Support Programme to Sector Policy in Education 2007-2010 (Sector Budget Support)

Budget € 48.2 million, plus € 15.3 million from FLEX utility

Financing Agreement: signed March 2003

Duration: 1 January 2007 planned 31 December, 2009; actual to 31 December, 2010

Status: ongoing (last year)

Objectives:

The main objective of this programme is to improve the access of all to a basic education of recognised and sustainable quality, while developing the efficiency and effectiveness of the sector conceived as a multi-institutional system closely related to the national efforts of social and economic development.

The programme was aimed at achieving notable improvements in the basic education schooling level achieved by cohorts of the corresponding age groups.

Among the EC support objectives and approach are eight results, one of which is directly related to access: Result I: Progress towards the achievement of 2015 goal (MDG) on improved net completion rate of basic education for the corresponding class of age (children from 6 to 14 years old) and improved associated repetition, drop out and pupil/teacher ratios. The implementation modalities are those of Sector Budget Support Policy-centralised management. The management of the SBS is based on untargeted Sector Budget Support modalities. The disbursements take place every year over the duration of the implementation period.

Source: Country Note

⁷⁴ This is in sharp contrast to the Multiphase Programme for Equality in Basic Education funded by the IDB. It is based on rural education, access and equality in marginal areas, improvement of the education management, and a fund for innovations in education. Under this programme, 136 schools have been built, most of them in rural and isolated areas and in marginalised communities where schooling opportunities were previously very scarce.

2.2.7.3 European Neighbourhood countries

Tunisia has an excellent track record on primary education. The GER was far above 100% from 1999 (116%), and the subsequent decline (108% in 2007) is a consequence of efficiency improvements that took place between 1999 and 2007, leading to a reduction of repetition rates. The 2007 net enrolment rate can be considered as having reached universal access to primary education – namely, 98% for girls and 97% for boys. The EC supported the reform for basic education, but that concentrated on quality rather than access, given the high performance in terms of access.

The basic objectives of access to basic education were achieved in Tunisia before the Dakar conference. The basic education support of the EC (SBS) was mostly oriented towards quality improvements. However, as highlighted by the country note, some specific components of the support were dedicated to vulnerable children, whose access and retention has improved during the course of the support – namely, children living in remote rural areas, pupils from low socio-economic background, and children with physical handicaps.

Some important issues related to access were highlighted by the EUDs *Morocco* and *Jordan* during the video conferences:

- *Morocco*: The EC support to the education sector contributed very significantly only in those regions in which the support was focused, while it contributed only to a small proportion of the overall sector budget. It can therefore not be classified as significant. In this context, it is interesting to note that, in some focus regions, the EC programmes have been particular significant and were taken as an example for the 2008 emergency education plan of the Moroccan government.
- *Jordan*: The EC support has improved the quality in the education sector (primary and secondary education), as access is (apart from a few exceptions) not a problem and coverage rate is almost universal.

2.2.7.4 Latin America

Nicaragua has experienced slow but steady progress on enrolment rates and, according to official statistics, is achieving MDG2 goals. Figures show that the GER is very high, indicating over-aged children in the system, and there is doubt about the reliability of population age data used as a basis for calculating NER and GER. At Central American level, Porta and Laguna (2006) identify Nicaragua as the country of the region with the second greatest educational inequality. EC support to education in the early period under review is characterised by the project approach, among which was mainly support in the aftermath of Hurricane Mitch. From 2004, SBS in support of PAPSE (Programa de Apoyo a las Políticas del Sector Educativo y Descentralización – Education Sector Policy Programme and its Decentralisation) was given. The main objective of this support was to provide technical and financial assistance to the government in order to support an education policy with more equity, and improved quality standards to help eradicate one of the main problems that causes poverty and prevents the development of the country. The emphasis was on policy development and quality, given that access had been reasonably achieved.

From the video conference, the following additional insights were obtained on EC support to access and enrolment in *Ecuador* and *Paraguay*:

- *Paraguay*: The main focus in the education sector during the three years of GBS⁷⁵ was to improve the enrolment of the third cycle of basic education in 66 districts with the **highest level of poverty**. Actions financed were, for example, the renovation of schools and school facilities. For the Sector Budget Support Programme of 2009⁷⁶, the emphasis has shifted towards quality issues.
- *Ecuador*: The SBS that started after 2007⁷⁷ was mainly focused on access and coverage issues. It was “an informed decision to focus more according to the needs on access and coverage in the 1st phase of the SBS to the education sector”.

2.2.7.5 Fragile States

Eritrea has persistent low enrolment figures. EC support to basic education concentrated in EDF 7, 8 and 9 on construction and rehabilitation of schools through projects and assistance to NGOs. The EC

⁷⁵ ‘Programa de apoyo presupuestario a la lucha contra la pobreza focalizada’, ALA/2006/018-053

⁷⁶ € 54 million, SBS to Paraguay, 2008

⁷⁷ i.e. after the period under evaluation.

education sector horizon significantly changed in 2006, when a large commitment of € 53 million was made to support the ESDP. The largest component focuses on improved access to education by constructing and equipping educational infrastructures.

In *Somalia*, the GER in primary education is very low, according to UNICEF, with figures for 2005-06 reaching 30%, and with a significant difference between boys (36%) and girls (24%). Education is currently a key sector for the EC. Historically, the EC, UNICEF and UNESCO have been supporting the education sector since the outbreak of the civil war in Somalia. EC Somalia has been funding international NGOs to assist local communities through the rehabilitation of their schools, as well as with the overall management and operation of the schools. EC support to basic education is linked to plans from 2008 onwards to expand the educational system in all three zones, focusing on access and equity. The EC plans to commit € 30 million for the sector-wide approach for Somalia. The proposed intervention has three major results, focusing on: (i) capacity building; (ii) access and relevance; (iii) pedagogical skills of teachers.

Pakistan can be seen as a good example of an appropriate EC response to conditions of political instability, insecurity and natural disasters. The CSPs and NIPs strongly advocate assistance to the government in its efforts to accommodate MDG2 targets through ensuring access and quality primary education for all, especially girls and those living in remote rural and disadvantaged areas. All EC education interventions include components related to access and equity, as well as indicators that include physical infrastructure development/rehabilitation. Monitoring and evaluation reports provide clear indications that EC support has resulted in tangible impacts on access and enrolment. The following box provides a snapshot regarding the EC's support and role towards increasing access to basic education in Pakistan.

Box 9: Pakistan: Overview of EC support and achievements related to access to education

Sindh Education Plan Support Programme (SEPSP)

Education Plan Support Programme

Budget: € 33 million. Remainder (June 2009): € 23.5 million (€ 9.5 million - first year tranche release paid September 2008)

Financing Agreement: signed 12/12/06 by EC; 22/12/06 by Government of Pakistan (GoP)

Duration: 22 December, 2006 to 31 December, 2011

Status: Ongoing

The overall objective of the SEPSP is poverty alleviation in Sindh Province through accelerating progress and reforms in achieving EFA goals. The purpose of the SEPSP is improved capacity at school, district and provincial level to deliver quality elementary education services in an equitable way.

There are four pillars of the reform:

- Pillar 1 – Improving fiscal sustainability and effectiveness of public expenditure
- Pillar 2 – Improving education sector management.
- Pillar 3 – Improving access to quality schooling.
- Pillar 4 – Improving the quality of teaching and student learning, Northern Pakistan Education Programme (NPEP)

Results:

In its first year of operation, the EC SEPSP faced delays in approving the first tranche release, but nevertheless assisted in establishing conditions for improving access and retention in general and to rural girls in particular. This has happened through its access and retention related DLIs/sub-programmes: district TOP; improving efficiency and quality of school rehabilitation; stipends for girls in public schools; public-private partnership in education; and leveraging the private sector to extend service delivery to underserved areas.

The sub-programmes in their totality aim at creating an environment conducive to the achievement of outcome indicators: NER primary, primary school completion rate, and female-male ratio in rural Sindh. Targets for 2008-09 up to 2011-12 have been established and their achievement is being monitored through the WB/EC's JRM's.

Northern Pakistan Education Programme (NPEP)

Budget: € 19.306 million

Financing Agreement: March 2003 (by Aga Khan Foundation) and February 2003 (by EuropeAid)

Duration: May 2003 to May 2008

Status: Closed

Objectives:

To improve the access, quality and sustainability of education for in-school and out-of-school children and females, with increased gender equity and the participation of communities in Northern Areas and Chitral, and to contribute, through these activities, to the socio-economic development of the region.

Results:

The TA Monitoring final report gave a solid overview of programme results related to major indicators and result areas.

Major indicators:

Enrolment is up by 27.2% in the Northern Areas and by 36.2% in Chitral over the project period. This is higher than the Logframe target of 25%. The increase added about 2% to the net enrolment rate in the areas covered by the project.

Earthquake Emergency Assistance Project (EEAP)

Budget: € 30 million (EC contribution makes up 46.77% approx. of estimated total of € 64.140 million)

Financing Agreement: Signed in December 2006

Implementing Agency: ADB

Duration: January 2007 to December 2009

Status: Closed

Objectives:

The education sector component (ESC) under the EEAP of ADB has the objective of re-establishing the social infrastructures and related facilities to facilitate early recovery and rehabilitation of the affected population in AJK by providing for their most needed primary and middle education requirements.

Results achieved:

The results were fairly poor in the end, with only nine out of 309 schools having been handed over (by November 2009), and the preparatory process of community mobilisation has only been completed in 165 School Management Committees (SMCs).

Pakistan Education Programme in the Earthquake-Affected districts of NWFP and AJK

Budget: € 10 million (EC contribution makes up 21.45% approx. of estimated total of € 46.618 million)

Financing Agreement: Signed in August 2006

Implementing Agency: UNICEF

Duration: August 2006 to August 2009

Status: Running. Project extended for one year

Objectives:

Re-establishing delivery of existing basic services and strengthening and enhancing that delivery in ways that extend the reach of services to marginalised and vulnerable groups/communities in affected districts, especially to girls.

Expected Results:

400,000 primary and middle school children in school before the earthquake have been re-enrolled in school. Approximately 30% of the children not enrolled before the earthquake are enrolled, including from marginalised groups.

Results achieved:

By August 2009, in relation to Component 1, only 95 of the planned 500 permanent schools had been completed, 100 were under construction, and a further 45 were in various stages of site identification, tendering and contract award. Also, 169 pre-fabricated schools had been completed and handed over to the beneficiaries. The original target had been revised to build 240 permanent schools and 285 transitional schools, taking the overall number of schools to be reconstructed to 525.

Source: Pakistan Country Note

2.3 JC22: Gender parity in enrolment to primary, lower secondary and upper secondary education - (MDG 3) and (EFA 5)

Gender parity index (GPI), gross enrolment ratio in primary and secondary education	GPI, gross enrolment ratio in primary and secondary education is the ratio of the female-to-male values of the gross enrolment ratio in primary and secondary education. A GPI of 1 indicates parity between sexes. (Data Source: UNESCO Institute of Statistics)
GPI, gross enrolment ratio in primary education	GPI, gross enrolment in primary education is the ratio of the female-to-male values of the gross enrolment ratio in primary education. A GPI of 1 indicates parity between sexes. (Data Source: UNESCO Institute of Statistics)
GPI, gross enrolment ratio in secondary education	GPI, gross enrolment in secondary education is the ratio of the female-to-male values of the gross enrolment ratio in secondary education. A GPI of 1 indicates parity between sexes. (Data Source: UNESCO Institute of Statistics)

This JC complements JC21 in the sense that it looks in more detail at the issue of gender parity for most of the aforementioned indicators. It tries to capture the GPI for primary education and lower secondary education separately, and also considers information regarding upper secondary, as and when data is available.

MDG 3-Gender Equality

Target 3.A: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015.

Gender parity in education is so central to achievement of all MDGs that it was the only area for which an earlier target date was set. UNICEF Progress for Children (2005) stresses that eliminating gender

disparity is clearly a stepping stone towards the broader goal of education for all. This is reconfirmed by the Commission Staff Working Document (2010), Progress Made on the Millennium Development Goals and Key Challenges for the Road Ahead, stressing that “increased emphasis on equity and social justice is linked to MDG progress”, and adding: “Addressing gender equality and women’s empowerment and marginalised groups by adopting a human rights-based approach to the MDGs also addresses the social and structural barriers to progress on the MDGs. National capacities should be built for disaggregated data collection.”

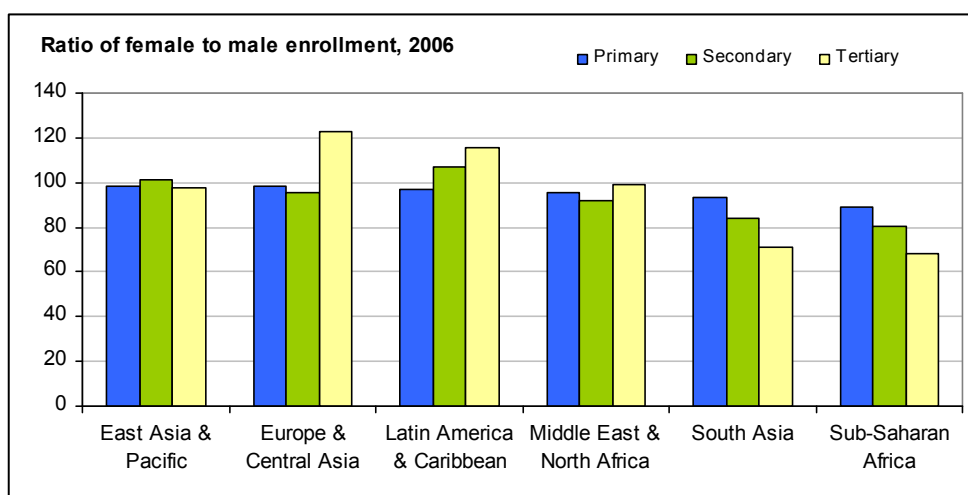
It noted that girls’ education has been expanding over the last decade. The Commission Staff Working Document (2010, p.19) reveals that the gender gap is slowly closing in school enrolment in the developing world: “*The NER for girls in primary school (as a proportion of boys’ NER) improved from a global average of 88% in 1991 to 97% in 2006. However, completion rates are lower. In Sub-Saharan Africa, school completion rates were as low as 55% for girls and 65% for boys in 2006.*” This pattern is confirmed by data analysed within the framework of this evaluation and originating from World Bank EdStats, ECA reports, and data collected in the field visit countries.

According to the World Bank’s Global Monitoring Report 2009, the goal of gender parity in primary and secondary education has seen relatively good progress and is expected to be achieved at the global level⁷⁸. Almost two-thirds of developing countries reached gender parity at primary school level by 2005, and the MDG 3 target of achieving gender parity in primary and secondary education can be met by 2015. However, Sub-Saharan Africa is likely to fall short, even though it is making notable progress⁷⁹.

The following figure depicts the ratio of female-to-male enrolment for 2006, at primary, secondary and tertiary levels. At a more specific level, and according to the WB’s GMR 2009:

- Overall, most progress in achieving gender parity has been made at the primary level.
- *East Asia, the Pacific, Europe and Central Asia, Latin America and the Caribbean* have made fairly good progress at all education levels.
- *East Asia, the Pacific and Europe and Central Asia* are close to reaching the gender parity target for all education levels.
- The *Latin America and Caribbean* region is well on track to achieve the target at the primary level, but gender bias against boys is apparent at the secondary (and tertiary levels).
- Regions with higher primary and secondary gender parity ratios have exhibited better performance at the tertiary level. *South Asia and Sub-Saharan Africa* lag behind at all levels for this target, particularly at the tertiary level.

Figure 5: Ratio of female-to-male enrolment for 2006



Source: World Bank (2009): Global Monitoring Report 2009, http://dx.doi.org/10.1596/978-0-8213-7859-5_F11

Looking into regional trends towards achieving MDG3, the following table again clearly shows that almost half of the Sub-Saharan African countries are off track, or even seriously off track. It should be

⁷⁸ World Bank (2009): Global Monitoring Report 2009, p. 3

⁷⁹ World Bank (2009): Global Monitoring Report 2009, p. 19

noted that combining primary and secondary education for some countries masks gender bias at either the primary or secondary level of education. This progress assessment also does not take into account the gender bias for boys, but male under-enrolment is a concern in many countries, especially at secondary level.

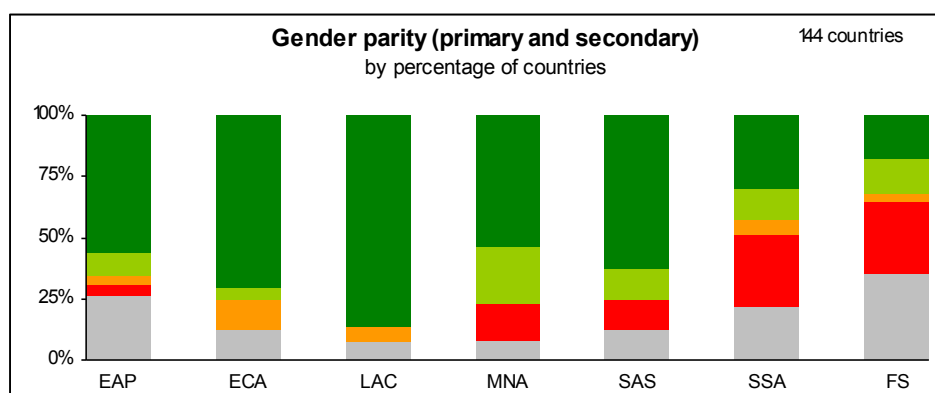
Table 11: MDG3: Proportion of countries on track to achieve gender parity in education (primary and secondary)

	EAP	ECA	LAC	MNA	SAS	SSA	FS
Achieved	13	17	25	7	5	14	6
On track	2	1	0	3	1	6	5
Off track	1	3	2	0	0	3	1
Seriously off track	1	0	0	2	1	14	10
No data	6	3	2	1	1	10	12

Source: World Bank (2009): Global Monitoring Report 2009, http://dx.doi.org/10.1596/978-0-8213-7859-5_F12

EAP East Asia & Pacific MNA Middle East & North Africa
 ECA Europe & Central Asia SAS South Asia
 LAC Latin America & Caribbean SSA Sub-Saharan Africa

Figure 6: Gender parity, primary and secondary, by percentage of countries



Source: World Bank (2009): Global Monitoring Report 2009, http://dx.doi.org/10.1596/978-0-8213-7859-5_F12

Under JC 21, trends in enrolment and primary completion have been presented both aggregated and disaggregated for males and females. For all desk study countries, progress towards gender parity was described.

For those countries where the MDG had not met the targets in 2005 (Ghana, Mozambique, Bangladesh, India, Pakistan), the CSPs for the period 2008-13 of Mozambique, Bangladesh and Pakistan reconfirm that MDG goals 2 and 3 will be very difficult to achieve unless extra efforts are made and/or there is a drastic change in the government's approach to social development. For India, the CSP 2008-13 confirms that the national government has already launched the Sarva Shiksha Abhiyan (Education for All) programme, which provides a comprehensive policy and budgetary framework for achieving these goals. Sarva Shiksha Abhiyan is supported by the EC, DfID and the World Bank, and takes important steps towards accommodating the MDG targets, giving rise to substantial improvements in moving towards accommodating MDG3. In Mozambique, according to Ministry of Education (MEC) data, there was, still in 2007, a slight variation between boys (97.1%) and girls (93, 1%) in primary enrolment. Ghana is now judged to be on track to achieving MDG3 targets in primary enrolment by 2015.

Failed/fragile states are lagging far behind in meeting MDG3 targets. For those failed/fragile states among the desk study countries, progress can be summarised as follows:

- *Eritrea*: A DfID Key Fact Sheet on Progress towards Millennium Development Goals notes that, since 1999, the gender parity index in education has remained stable at around 0.8, meaning that a higher proportion of school-aged boys are in primary school than school-aged girls. This is below the Sub-Saharan African average, and the inequality is greater at the secondary level.

- *Liberia*: The gender gap in education is showing progress in the early grades, but the gap increases at successive levels, especially at lower secondary.⁸⁰
- *Pakistan*: Great difficulties will be faced in meeting MDG3 unless there is a significant reduction in gender gaps, with policy measures established specifically addressing gender inequalities.⁸¹
- *Somalia*: The GER in primary education is very low, according to UNICEF, with figures for 2005-066 reaching 30%, and with a significant variation between boys (36%) and girls (24%).

2.3.1 I-221: Ratio of girls to boys in primary and secondary education / GPI

The following table shows the GPI for primary and secondary education for the desk study countries.

Table 12: Gender Parity Index in primary and secondary education (2000 and 2007, desk study countries)

	YR2000		YR2007	
	Primary	Secondary	Primary	Secondary
Asia				
Bangladesh		1.02	1.07	1.05
India	0.84	0.71	0.97	0.86
Indonesia	0.97	0.95	0.96	1.00
Tajikistan	0.93	0.86	0.96	0.84
Vietnam	0.95	0.91		
Sub-Saharan Africa				
Botswana	1.00	1.05	0.98*	1.06*
Burkina Faso	0.71	0.66	0.84	0.73
Ghana	0.93	0.82	0.99	0.88
Mozambique	0.75	0.63	0.87	0.73
Niger	0.69	0.60	0.74	0.61
South Africa	0.95		0.96	1.05
Tanzania	0.99		0.98	
Uganda	0.94	0.77	1.01	0.83
Latin America				
Argentina	0.98	1.05	0.98*	1.12*
Nicaragua	1.01	1.17	0.98	1.13
Caribbean				
Dominican Republic	0.97	1.23	0.94	1.20
Jamaica	1.00		0.97	1.04
European Neighbourhood countries				
Tunisia	0.95	1.06	0.97	1.10*
Russian Federation	0.99		1.00	0.98
Fragile States				
Eritrea	0.82	0.69	0.83	0.71
Somalia			0.59	
Pakistan	0.68		0.82	0.76
Occupied Palestinian Territory	1.00		1.00	1.06

Source: World Bank Edstats

Note: When 2007 data was not available, 2006 data was used, indicated with an asterisk

With regard to the issue of gender parity, and based on statistics and information originating from education country profiles (see, for example, Country Notes), the following complements what has already been said above: There is an overall trend towards gender parity in primary education, but there are still large gaps to overcome in terms of gender parity in secondary education. Most countries in the sample have reached gender parity in primary education, with the exception of *Burkina Faso*, *Niger* and possibly *Mozambique*. All **fragile states** are lagging behind in terms of primary schooling gender parity, apart from the *Occupied Palestinian Territory*.

⁸⁰ United Nations Development Assistance Framework Liberia 2008-2012

⁸¹ Memorandum to the DCI Committee Annual Action Programme covering the programming documents CSP and MIP for Development Co-operation Instrument for Pakistan for 2007.

Even though improvements have been made with relation to gender parity in secondary education, within much lower gross enrolment rates, the gender parity pattern looks bleak in most **Sub-Saharan African** countries, apart from *Botswana* and *South Africa*. Despite obvious improvements, data analysed also shows that girls are still disadvantaged and are over-represented in the group of out-of-school children and in those dropping out.

In **Asia**, there is overall progress in both primary and secondary GPI, with *Indonesia* and *Bangladesh* nearing or having achieved gender parity in primary and secondary education. Bangladesh, according to the PRSP, has successfully achieved gender parity in primary and secondary education. In the formal primary sector, government has a high success in achieving gender parity, with increasing enrolment of girls in primary schools.

India has made strong progress. The IDA report, Making Elementary Education Work, claims that throughout Sub-Saharan Africa, universal access was almost achieved in 2008, with more than 98% of children having a primary school within reach of home, and many states either approaching the level of universal primary enrolment or having already achieved it.

On the other hand, *Vietnam* has problems in reaching out to the 10% of girls not enrolled, and *Tajikistan* is showing a slight decrease in GPI for secondary education. Especially girls from the lowest quintile and in remote poor areas do not enrol; girls make up about 70% of primary school dropouts and non-attendants (see CSE Vietnam).

In **Sub-Saharan Africa**, gender parity is following patterns corresponding to the scale of socio-economic development, with medium development economies *Botswana* and *South Africa* having achieved gender parity in primary and secondary education. In 2001, South Africa had a GPI of 1.00, ranging from 0.95 for primary and 1.10 for secondary schooling, indicating that boys constitute the majority of those dropping out in the higher grades. By 2007, the situation had not changed much, with a GPI at 1.01, ranging from 0.98 for primary and 1.10 for secondary. It should be noted that the Government of South Africa has established a programme directed at girls, the Girls Education Movement (GEM), which aims to enhance the experience of girls in schools and ensure sustained access and retention of girls in schools.⁸²

Ghana has made solid progress and has achieved gender parity in primary education. This is also the case in *Uganda* and *Tanzania*, although there are still backlogs in secondary education parity. The PEDP review report (2004) underscores the importance of widening access to primary education to increase overall gross and net enrolment of girls and boys.

The low human development status of *Burkina Faso* and *Niger* is reflected in low gender parity scores both in primary and secondary education, even though much progress has been made. A comparable pattern applies to *Mozambique*, which shows huge gender disparities in access to education, with 43% of pupils being female in 2003 for the first level of primary education and 40% for the second level.

Latin America and Caribbean countries have reached gender parity in secondary and virtually also in primary education. According to the County Note, the gender structure of enrolment in the *Dominican Republic* favours boys over girls, regardless of the geographical region they inhabit. For the year 2008-09, the school attendance rate of the population of children aged 6-17 reached 85% for girls and 89.2% for boys, with gender parity at 0.94 – that is, for every 100 boys in the age range 6-17 attending school, there were 94 girls.

As for **European Neighbourhood countries**, both in *Tunisia* and the *Russian Federation* gender parity is being achieved. In Tunisia, not only has gender parity been achieved at primary level (which was already the case at the beginning of the millennium), but also girls' participation at the subsequent levels is higher than that of boys, with 66% of girls having access to secondary education (64% for boys), and 25% having access to higher education (21% for boys). In this respect, Tunisia has a gender composition close to that of many European countries, where girls show a higher level of cognitive performances.

Even though progress is noted, the gender parity pattern for **fragile states** looks bleak:

- Countries with high inequality levels due to social or political unrest and low human development status, such as *Eritrea* (62% for males and 52% for females in 2007), still demonstrate a fairly high discrepancy between female and male enrolment levels
- In *Liberia*, the gender gap in education is narrowing in the early grades, but the gap increases at successive levels, especially at lower secondary, when more girls than boys drop out. Fe-

⁸² South Africa Country Note

male teachers constitute 12% of those teaching in primary education and 4.7% of teachers in lower secondary education⁸³.

- In *Somalia*, gender parity rates are weak, with enrolment gender parity rates for primary/secondary schools at only 0.55⁸⁴. Girls often have to leave school before completing, due to marriage or financial reasons. Gender parity will be a major challenge for Somalia, especially in view of the large nomadic population.
- *Pakistan* still has a long way to go to achieve gender parity in primary and lower secondary education, even though, in comparison with 2000, substantial progress has been made. In 2005-06, the share of female participation in primary education stood at 43% and in secondary education at 58%. At the national level, gender parity in female teachers was not achieved (36.25% female teachers in primary schools).

From the analysis made⁸⁵, the issue of **discrepancies between urban and rural and between in-country regions in terms of gender parity** appeared to emerge as one of the most decisive issues for most countries. For example:

- **Asia:**
 - In *Vietnam*, problems were identified in the Northern Uplands, and so special projects were launched to address the minorities and disadvantaged groups living in these regions (see JC24 for more on disadvantaged groups);
 - In *Indonesia*, gender parity has been reached in Java and urban areas, but the country faces constraints in backward regions in the Eastern areas. At junior secondary level, the net enrolment rate in the poorest poverty quintile in 2005 was around 50%, compared to 70% in the richest quintile;
 - In *India*, amid robust achievements related to enhancing access, strong regional discrepancies are noted, and sometimes coincide with discrepancies between districts within states and blocks within districts, with regard to enrolment of girls, scheduled castes (SC) and minority tribes (ST).
- **Sub-Saharan Africa:**
 - In *Botswana*, there is generally good parity across all levels, but rural areas appear to be faring less well than urban or semi-urban areas.
 - In *Ghana*, girls' enrolment is still an important issue in the three regions of the north – particularly in the Northern Region, where junior secondary schools are few and far between – but girls' enrolment and gender parity show more significant improvement in these areas, compared with the national average.
 - In *Mozambique*, official government statistics on education show an important reduction, compared to 2003, in the gender gaps among the provinces. However, completion rates vary considerably, with a high rate of completion in Maputo City (121.8%) and a much lower one (60%) in Zambézia Province⁸⁶.
- In **Latin America**, there is evidence in *Nicaragua* of disparities in access to education in terms of the area of residence (to the detriment of rural areas), and even more so according to the socio-economic standing of families.
- In **fragile/failed states**, at the education district level in *Liberia* the enrolment of girls is alarmingly low in Central Kpanyan (Sinoe County), with only 51 girls enrolled for every 100 boys. On the other hand, in the Greater Monrovia education district, there are 105 girls enrolled for every 100 boys. In general, the enrolment rate of girls in many of the education districts is worrying.

⁸³ Government of Liberia, Ministry of Education (2009): A system in transition. The 2007/08 National School Census Report

⁸⁴ Eurotrends (2009), Country Report for Somalia, 'Study on Governance Challenges for Education in Fragile Situations', p. 10.

⁸⁵ Especially from the analysis of EC CSEs and from the country notes

⁸⁶ See: <http://mz.one.un.org/eng/What-we-do/MDG-2-Achieve-Universal-Education>

2.3.2 I-222: Gross Enrolment Ratio (GER) in primary and secondary education

GER in primary and secondary education is presented in the following two tables. When interpreting GER for secondary education, it should be stressed that the data relates to secondary education as a whole, with no distinction made between lower and upper secondary education.

Table 13: Gross enrolment rate (%) in primary education (2000 and 2007, sample countries)

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
World	95	103	99	104	108	106
Europe & Central Asia	99	103	101	97	99	98
Middle East & North Africa	93	104	98	104	107	106
Sub-Saharan Africa	74	87	80	92	101	96
South Asia	82	98	90	105	110	108
East Asia & Pacific				111	110	111
Latin America & Caribbean	119	123	121	115	119	117
Asia						
Bangladesh				97	91	94
India	86	102	94	111	115	113
Indonesia	111	115	113	118	123	121
Tajikistan	95	102	98	98	102	100
Vietnam	104	109	106			
Sub-Saharan Africa						
Botswana	106	106	106			
Burkina Faso	37	52	45	61	73	67
Ghana	81	86	83	99	100	99
Mozambique	64	85	75	102	118	110
Niger	26	38	32	45	61	53
Somalia				154	26	21
South Africa	103	109	106	103	106	105
Tanzania	68	69	68	109	110	110
Uganda	124	131	127	118	117	117
Caribbean						
Dominican Republic	109	112	110	105	112	108
Jamaica	96	96	96	89	91	90
Latin America						
Argentina	114	116	115			
Nicaragua	101	100	101	115	118	116
European Neighbourhood countries						
Tunisia	112	118	115	106	109	108
Russian Federation	105	107	106	97	97	97
Fragile/failed states						
Eritrea	52	63	58	52	62	57
Somalia				154	26	21
Pakistan	56	82	69	76	93	85
Occupied Palestinian Territory	108	108	108	80	80	80

F= Female; M = Male; T = Total

Source: World Bank Edstats

Table 14: Gross Enrolment Rate in lower secondary education by gender 2000 and 2007 (sample countries)

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
ASIA						
Bangladesh	44	44	44	45	43	44
India	38	54	46	52	61	57
Indonesia	55	58	56	76	76	76
Tajikistan	68	80	74	76	91	84
Vietnam	62	68	65			
Sub-Saharan Africa						
Botswana	78	74	76	82*	78*	80*
Burkina Faso	8	13	10	13	18	16
Ghana	36	44	40	49	56	53
Mozambique	5	8	6	15	21	18
Niger	5	8	7	8	13	11
South Africa	90	81	86	97	93	95
Tanzania						
Uganda	14	18	16	21	25	23
Latin America						
Argentina	90	86	88	90*	80*	85*
Nicaragua	57	49	53	73	65	69
Caribbean						
Dominican Republic	64	52	58	83	69	76
Jamaica	88	86	87	92	88	90
European Neighbourhood countries						
Tunisia	78	74	76	91*	83*	90
Russian Federation				83	85	84
Fragile States						
Eritrea	20	29	25	28	40	34
Somalia						
Pakistan				28	37	32
Occupied Palestinian Territory	85	80	82	95	90	92

Source: World Bank Edstats

Note: 60 was taken as the threshold. No data available for countries where no figures are depicted.

The following trends can be observed:

- In **Asia**, large progress has been made overall in the primary GER of all countries, but much effort is still required to universalise secondary education for girls. Secondary education GER for women in Bangladesh stagnates in 2007 – in comparison to 2000 – at the low level of 45. The rate increases strongly in Indonesia to 76 for boys and girls, while in India and Tajikistan discrepancies remain in enrolment between boys and girls.
 - In *Bangladesh*, the Sixth Five-Year Plan (2003-08) includes the target of increasing participation of girls, through stipend programmes, in all levels of secondary education. The introduction of free education for girls up to Grade 10 and the provision of financial assistance for girls in rural areas have accelerated enrolment and improved the completion rate of girls, both at primary and secondary levels of education. Girls' enrolment consistently increased between 1985 and 2000, from 37% to over 50%. Since 2001, the gender gap has been closing. In 2005, the number of enrolled girls stood at 8.1 million out of the total of 16.2 million (Directorate of Primary Education (DPE) Baseline data of 2005). The survival rate of girls (56.1%) was higher than for boys (51.7%). (see Country Note);
 - In *India* in particular, access to education for girls and rural children has been improved, albeit from a very low starting point. A decreasing gender gap in enrolment

can be observed, with NER for girls in 2007 at 88 – only 3 per cent lower than for boys;

- o In *Indonesia*, the ESR⁸⁷ confirmed that enrolment expansion closed the gap between male and female students and across income groups at the primary level. Income equity and gender gaps remain an issue at junior and senior secondary levels.
- In **Sub-Saharan Africa**, primary GER for girls is above 100 – consolidating in South Africa and Botswana, and high and increasing in *Ghana*. It is increasing strongly at solid levels in *Mozambique* and *Tanzania*. In *Burkina Faso* and *Niger*, it is also strongly increasing, but still remains at an unacceptably low level. It is, however, declining from relatively high levels in *Uganda*. GER secondary for girls has shown much less progress in most Sub-Saharan Africa countries. Only in *South Africa* and *Botswana* has GER for both girls and boys increased, from the already high levels in 2000 – leading in 2007 to proportionally more girls than boys being enrolled in both countries. *Ghana* increased its GER from 40% in 2000 to 53% in 2007, with girls being under-represented (49). In all other countries, the extended view of basic education has not materialised in general, and certainly not for girls, with *Uganda* having a girls' GER of 21 at secondary level and *Niger* having a rate of only 8.

The following box illustrates the magnitude of the problem, and some of its reasons, for two Sub-Saharan African countries that are considerably lagging behind with regard to GER in secondary education.

Box 10: Developments related to GER in secondary education in Burkina Faso and Niger

In **Burkina Faso**, according to the PDDEB data, the gaps between the GIR, as well as the GER for girls, compared to the global rates have decreased from 6.6% in 2001 to 2.7% in 2008 for the GIR and from 6.5% to 3.6% for the GER over the same period. However, these gaps have increased in the PDDEB's 20 priority provinces, from 11.7% in 2001 to 17.8% in 2008 for the GIR and from 15.2% to 16.6% for the GER. Disparities between boys and girls are more significant in terms of drop-out/completion rates of primary education than in the rate of access to primary education. This is particularly the case in rural areas, where drop-out rates from primary education are significantly higher for girls than boys, although the primary completion rate for girls was only 12% in 2007. According to UIS, the GER for girls in primary education increased from 36% to 68% between 1999 and 2008. The GER for girls in secondary education increased from 7% to 16% over the same period. The final evaluation report of PASEB states that the girls' GER is far below national average.

In **Niger**, the GER for girls increased from 33.3% to 51.1% between 2001-002 and 2007-08, compared to a global increase from 41.7% to 62.8% over the same period. However, GER disparities between girls and boys are strong. In 2005-06, the GER was 44% for girls and 63% for boys. A constant 19-point gender gap has been noted over the entire period. The first phase of PDDE (2003-07) targeted an increase in the proportion of girls enrolled in basic cycle 1, from 39.8% in 2002 to 43% in 2007, as well as the GER for girls from 33.3% in 2002 to 56% in 2007. In this first phase, only € 81,000 was actually spent for the promotion of girls' enrolment, which represents 7% of the planned budget. This situation shows the difficulty of introducing gender components into educational policies in Niger, both for the Government and DPs. The resources initially planned for this component, even if they had been consumed, would certainly not have produced a significant impact, because they were insufficient to affect the various constraints to girls' access to education. According to UIS, the GER for girls in primary education increased from 24% to 51% between 1999 and 2008. The GER for girls in secondary education increased from 5% to 8% over the same period.

There are many institutional constraints to overcome in order to achieve equal opportunity for girls to go to school and receive an education of quality. According to the ECA report, in addition to the economic causes (the opportunity cost of girls' work), girls' under-enrolment is mainly explained by **socio-cultural causes**, including:

- the promotion of women's reproductive role and early marriage;
- strong inequalities in the division of labour, and gender stereotypes at family level;
- the bad perception communities have of schools (uprooting, acculturation, etc);
- a low representation of women in decision-making bodies, because of their social status.

Some other **institutional factors** have also a negative impact on girls' enrolment, such as:

- the co-existence of several types of rights, with the pre-eminence of customary and Muslim laws on constitutional law, which limits the effects of the principle of equality in national legislation and in international texts ratified by Niger;
- lack of structures in high school – e.g. boarding schools for girls from rural areas;
- the low number or even absence of female teachers in rural areas;
- the weak knowledge, within national capacity, about the tools related to gender and the need to take them into account in policy formulation.

Source: *Country Note Niger, ECA Burkina Faso, 2010*

⁸⁷ MONE (2004): Education in Indonesia; Managing the Transition to Decentralisation, Education Sector Review, Jakarta.

- o In *Ghana*, junior secondary school (JSS) enrolment growth increased by 8.60% between 2001-02 and 2003-04. JSS enrolment growth for girl students has been positive, with increases of 4.39% in 2003-04 and 9.67% over the period 2001-02 to 2003-04. However, these increases failed to match an increase in male enrolment of 9.99% over the two-year period. As a result, the JSS Gender Parity Indicator fell marginally from 0.886 to 0.883.
- o In *Tanzania*, at secondary level, where enrolment had been very low, a major improvement has taken place, with rates doubling. GER for 2000 was 7.1%, but by 2006 had risen to 14.8%. There is close to parity of female teachers in primary, while in secondary there was an improvement from 28.2% to 34.9%.
- In **Latin America** and the **Caribbean**, the female GER for primary and secondary is increasing, but decreasing for boys, leading in *Argentina, Nicaragua, Dominican Republic* and *Jamaica* to an over-representation of girls in secondary education. In the Dominican Republic, according to the Country Note, enrolment favours boys over girls, regardless of the geographical region they inhabit. For the year 2008-09, the school attendance rate of the population of 6-17 year olds reached 85.0% for girls and 89.2% for boys, with gender parity is 0.94 – that is, for every 100 boys in that age range 6-17 attending school, there are 94 girls. In general, no significant differences were found between educational regions, since they have more or less homogeneous layers of population and this makes the net attendance rates in primary school similar.
- o As for **European Neighbourhood countries**, *Tunisia* and the *Russian Federation* have achieved education for all and gender parity in primary education. In secondary education, Tunisia can boast of remarkable achievements, with a total secondary GER of 90%, and girls slightly over-represented. The Russian Federation has an overall GER secondary of 84%, with boys being slightly over-represented. According to the Country Note for Tunisia, the ratios of girls to boys in primary and secondary education reached the parity objective at the beginning of the new millennium. As girls perform better in the course of lower secondary, they are significantly more represented than boys in upper secondary.
- All **fragile states** have made progress in providing access to primary education for all children in general, and for girls in particular. The situation in *Somalia* and *Eritrea* is alarming, with extremely low levels of enrolment in primary education. *Pakistan* and *Liberia* have better track records with regard to access of girls to primary education, even though girls are lagging behind compared with boys. Girls' access to secondary education is extremely low in all fragile states covered in this evaluation, and within these low GERs there is a strong over-representation of boys.

According to the Country Note, *Pakistan* has made good progress in terms of increasing primary and secondary GER, as well as progress towards achieving gender parity in primary education. According to the figures, females are over-represented in secondary education (58% in 2005-06), although the participation rate in secondary education is still very low, and girls are under-represented in primary education (43%)⁸⁸. In *Liberia*, the gender gap in secondary school attendance is particularly high in rural areas, with a low 6% net attendance ratio for females and 13% for males. In urban areas, this gap is much smaller (29% and 32% respectively).⁸⁹

2.3.3 EC Contribution

From the desk analysis, underpinned by the field visits to six selected countries and the analysis of ECA reports, it appears that the EC has played a catalytic role and sometimes has provided direct support in contributing – often in close co-operation with development partners – to partner country programmes in support of their commitment to achieving MDG3 targets.

Given the fact that EC education policies and strategies can be labelled pro-poor and gender-sensitive, EC support has assisted partner country governments in strengthening strategies and resource allocation mechanisms in gender-fair ways. That is the case where existing gender equality policies are considered to be high (*Botswana*) and where the EC has assisted in strengthening strategies contributing to better gender parity in enrolment. Where there was limited consideration of gender

⁸⁸ Adapted from tables of the EFA Mid-Decade Assessment Report MOE GOP 2008

⁸⁹ Presentation by the Hon Minister Jerolinmek Piah, Ministry of Gender and Development, Govt. of Liberia, January 26, 2009

issues in education policy, the EC has contributed, through policy dialogue, to an enhanced mainstreaming of gender issues in primary education (*Tanzania*). In most countries, access indicators in variable tranches for budget support are systematically disaggregated by gender.

In countries where higher inequality levels exist, such as India, Bangladesh and Vietnam, especially among the poor due to caste/ethnicity issues, EC support has targeted improving the situation for women and the poorest segments in society. All of the aforementioned Asian countries analysed have integrated gender as a cross-cutting issue into programme design and implementation, and also produce gender disaggregated data. Moreover, they targeted the increase of girls in primary education.

Where there are cultural constraints, sometimes as a result of ethnic or religious beliefs or prejudices, EC support has tried to remove these barriers by mobilising NGO resources – in *India*, through the Aga Khan Foundation (PESLE) in *Pakistan*, through the Northern Pakistan Education Project; and through BRAC in the Non-Formal Education Programme in *Bangladesh*. Also, in *Somalia*, NGOs were used as a vehicle to enhance equity considerations in basic education.

The mobilisation of NGOs for targeted support was also highlighted in the survey by the EUDs in *India* and *Bangladesh* (the results of which were later mainstreamed in Sarva Shiksha Abhiyan), including major education programmes targeting excluded castes. The *Nicaragua* EUD mentioned the use of gender disaggregated data to monitor social improvement under sector budget support, encouraged by the budget support group of donors from 2005.

Enhancing training and deployment of female teachers is benefiting from EC support through the PROMOTE project in *Bangladesh*, but efforts were also made within the framework of the budget support to the government of Sindh province in *Pakistan*.

Examples are outlined or further elaborated below:

2.3.3.1 Asian countries

The *Bangladesh* CSE (2003), which covers only an early part of the period under evaluation, already showed that non-formal primary education support funded by the EC had increased girls' enrolment rates. EC support to projects implemented by NGOs was focused on efforts to assist areas of low enrolment. A BRAC report states that with the “*support of donors, education has been provided to the most marginalised and the hardest-to-reach segments of society*” (BRAC 2004-2009). BRAC alone helped 1.3 million children to graduate during 2004-09, of which 66% were girls. Moreover, in the formal primary sector, the government has a high success rate in achieving gender parity, with increasing enrolment of girls in primary schools.

The EC contribution through BRAC (2001-04) contributed significantly towards achieving gender parity in the recruitment of female teachers. PRIME⁹⁰ (Primary Initiative in Mainstreaming Education) was initiated by BRAC during 2001-04 with the additional funding of EC support, and with the objectives of developing the capacity of primary school teachers in the formal system, mobilising communities and operating pre-schools. This support contributed to sensitising government to the need establish government-NGO partnerships for school capacity building, thereby facilitating access to education. This is a real contribution in establishing a strong linkage with government. It also suggests that the government has recognised the significance of NGOs' role in the effective provision of education for the disadvantaged group.

Another example of how EC support in *Bangladesh* helped to address gender-related issues is PROMOTE, a project with an EC contribution of € 28.82 million, implemented between July 1996 and December 2005. The main objective of PROMOTE was to motivate, train and employ female teachers in rural secondary education. About 5,000 female secondary teachers were trained and employed, while 11 resource centres and 162 hostels for female secondary teachers were set up. When the project ended in 2005, the EC continued, up to 2009, the support to teachers for permanent posts with salary subventions up to 2009. The aim of PROMOTE was to facilitate a more gender-sensitive, equitable society by promoting girl-friendly secondary schools (See *Bangladesh* Country Note).

In *India*, the main support mechanisms in education over the evaluation period have been the DPEP and the Sarva Shiksha Abhiyan Programme, and both were strong mechanisms for enhancing gender equity in primary and elementary education. The DPEP was designed to help achieve the objective of Universal Elementary Education (UEE), outlined within the policy framework of the revised National Policy on Education 1986 (as updated in 1992) and the Programme of Action 1992. The purpose of

⁹⁰ PRIME (Primary Initiative in Mainstreaming Education) was launched to improve NFPE's relationship and co-operation with government in primary education; 16,000 pre-primary schools were opened under this component in order to facilitate enrolment in government primary schools.

the Sarva Shiksha Abhiyan programme is an improved and sustainable UEE system with adequate facilities for eight years of elementary schooling of satisfactory quality, the provision of alternative schooling facilities in unserved habitations, effective pedagogical interventions to make school “attractive”, and the provision of adequate and context-specific initiatives to promote equity by targeting the most deprived children. Sarva Shiksha Abhiyan’s MDG3-related aims were to bridge all gender and social category gaps at primary stage by 2007, and at elementary level by 2010.

The CSE India emphasised that DPEP support had produced barely any changes in gender inequality levels in EC-supported districts, with Jyotsa Jalan and Jelena Glinskaya⁹¹ (2003) claiming a virtual absence of any programme impact on female children. However, substantial progress towards gender parity has been made under Sarva Shiksha Abhiyan. This is also confirmed by the Commission Staff Working Document (2010, pp.21): *“Two specialised schemes for girls, concentrating on educationally disadvantaged ‘blocks’, have helped to accelerate girls’ enrolment and participation. As a result, the gender parity index rose from 0.90 in 2003-04 to 0.94 in 2008-09 at primary level and from 0.82 and 0.91 at upper primary level over the same period. The percentage of girls out of school has declined from 7.9% (2005) to 4.6 % (2009). Particularly noteworthy is the progress made by some of the more challenging states. Rajasthan, for example, reduced the gender gap from 17% in 2001 to 10% in 2008-09. The policy of moving towards a 50% share of female teachers has now ensured that 74% of all schools have at least one female teacher. Over 53% of all schools now have separate toilets for girls.”*

Apart from the two major programmes, the Programme for the Enrichment of School Level Education (PESLE), implemented between 1999 and 2007 through the Aga Khan Foundation with an EC budget of € 11 million, aimed to expand educational opportunities to girls through a number of actions – for example, community awareness and programmes for adolescent girls, the Mother Teachers, and gender-sensitive staff. From a PESLE ROM analysis, it appears that, despite the enrolment of over 50% female children in the PESLE sub-projects, there is still work to be done in making communities aware of the importance of women’s participation.

While EC support to both Bangladesh and India had strong components related to MDG3, in EC support in *Indonesia* did not specifically focus on this aspect.

Overall in **Asia**, two out of four sample countries benefited specifically from EC support to assist partner governments to accommodate MDG3. Bangladesh and India are benefiting from major EC support to education, partly with a focus also on enhancing gender equality. EC support through major sector support programmes – in India through DPEP, proceeding into the SBS to Sarva Shiksha Abhiyan, and in Bangladesh through PEDP – combined with major support to NGOs reaching out to hard-to-reach groups with many out-of-school girls, has assisted in partly removing barriers to girls’ enrolment in primary and secondary education in these countries. Through PROMOTE, EC support has helped to increase female enrolment and retention in secondary education through training and salary support to female teachers.

2.3.3.2 ACP Countries

Sub-Saharan Africa

In *South Africa*, access and gender equity has not been a major educational challenge in the evaluation period, and the EC – according to the findings of the field visit – has correctly not made any substantial efforts in this area.

The *Botswana* CSE (2009) indicates that, in the area of gender parity, EC support has helped maintain and improve the already high degree of gender equality at all levels of the education and training system. Moreover, it emphasises that equity issues in formal schooling are regularly discussed in policy dialogue, and some indicators of the SBS have been changed accordingly. According to the report, the EC helps to identify problem areas and to develop strategies to overcome these problems – for example, in vocational training or in female senior secondary school drop-out. On gender equality, the CSE notes that EC support has helped maintain and improve the already high degree levels in the education and training system. However, problems of equity seem to exist in the geographical sense, with remote areas disadvantaged in relation to urban and semi-urban areas.

Mozambique has benefited from GBS along the lines of the Action Plan for the Reduction of Absolute Poverty (PARPA) (poverty reduction strategy). The EC supports a result-oriented budget support strat-

⁹¹ Jyotsa Jalan and Jelena Glinskaya (2003): Improving primary school education in India: An impact assessment of DPEP-Phase 1

egy – in particular, in health, education and public finance management (i.e. variable tranches) – and now Mozambique is benefiting from an MDG contract. Education is not a focal sector, but the EC, within the social sector, concentrates on health. PARPA's main objectives in the education sector are to expand access, to improve quality and efficiency, and to reduce costs.

Education-related result indicators relate to the adult literacy rate, rural women literacy rate, and GER in primary and junior secondary. The GER result indicator is not disaggregated by sex.⁹² From the data available, it is not possible to identify the effect of PARPA on gender equality in primary education.

In *Tanzania*, EC support to education covered:

- € 25 million, under EDF8, to the Primary Education Development Plan, from 2002 to 2006, PEDP being the first subsector programme of the ESDP;
- under EDF9, untargeted sector budget support amounting to € 42 million, and Poverty Reduction Budget Support (PRSB) from 2002 to 2006 amounting to € 114 million, and to € 57 million from 2006 to 2008;
- under EDF10 and MDG contract.

According to the ECA Audit, equal access for girls and boys has almost been achieved in Tanzania. The girl/boy ratio in secondary education was an indicator of the Poverty Reduction Budget Support Programme 2006-2008 (PRBS03) (9th EDF). The data available for 2006-07 shows a performance (87.8%) slightly below the target (90%). It should be noted that the EC contributed an amount of € 0.88 million to the Project "Civil Society Action for Girls' Education in Tanzania" with Camfed (200810). This small-scale project might have an impact at local level. However, according to the ECA audit, no detailed analysis has been done as the project is only at the beginning of its second year of implementation.

The comparison between expected and achieved results of the Support to Education Sector Reform Programme 2006-10 (9th EDF) shows that the indicator for gender equity in primary education – the "percentage of girls passing Primary School Leavers exam" – did not meet the target in 2008-09, with a performance of 45% compared to an objective of 65%. A review of monitoring and evaluation material in the CSE of 2005 shows that equity issues were generally not covered. For instance, the evaluation of PEDP does not address the issue, although available data indicates that less favoured regions may have suffered more than others from decreasing quality. On gender issues, Tanzania suffers from high drop-out rates for girls. Gender issues were thus given priority attention, and actively mainstreamed in the case of pooled support to primary education.

EC support of the education sector in Tanzania under EDF8 covered support to PEDP. The overall objective of the 8th EDF was to support government efforts in implementing ESDP and PEDP in particular. The support aimed at improving equitable access to quality basic education for all, and subsequently reducing poverty. The PEDP review report (2004) underlines the importance of widening access to primary education to increase overall gross and net enrolment of girls and boys. The government report (by the MoEC) on Basic Statistics in Education for 2004 indicates that gross and net enrolments both have expanded substantially during the last five years – that is, under the implementation period of PEDP. The ratio shows a significant upward trend both for girls and boys.

As the key objective of EC support is "Increased gender-balanced equitable access to higher quality basic education" (see CSP/NIP p 32), and the majority of the objectives contained within the PRSP and PEDP are focused on equality by gender and poverty status, then it is fair to say that gender equality is high on the education agenda of both the EC support and the Government of Tanzania objectives. It is difficult to attribute the impact of PEDP and untargeted budget support directly to the EC, given the partnership principle involved in such an endeavour, but it is obvious that the EC support – in its co-ordination, dialogue and implementation role – has significantly influenced the agenda of the government with regard to gender equity and in removing discrepancies and barriers.

In *Burkina Faso*, support to education is basically based on two instruments: support for sector programmes (75%) and support to projects (25%) The total amount for the 2000-07 period is about € 13 million – less than € 2 million per year. In fact, the main aid modality via which the EC has supported education development during the period is GBS, insofar as € 314 million has been allocated, of which a significant share is utilised by the Ministry of Education. If one makes a conservative assumption that 20% of GBS goes to education, this represents € 63 million, which is four times the combined size of other modalities.

⁹² CSP Mozambique 2001-2007

According to the PDDEB data, the gaps between the GIR and the GER for girls, compared to the global rates, have decreased from 6.6% in 2001 to 2.7% in 2008 for the GIR and from 6.5% to 3.6% for the GER during the same period. However, these gaps have increased in the PDDEB's 20 priority provinces, from 11.7% in 2001 to 17.8% in 2008 for the GIR and from 15.2% to 16.6% for the GER. Disparities between boys and girls are even more significant in terms of drop-out/completion rates of primary education than in the rate of access to primary education. This is particularly the case in rural areas, where drop-out rates from primary education are significantly higher for girls than boys, although the primary completion rate for girls was only 12% in 2007. According to UIS, the GER for girls in primary education increased from 36% to 68% between 1999 and 2008. The GER for girls in secondary education increased from 7% to 16% during the same period. The final evaluation report of PASEB states that the girls' GER is far below national average.

Given these trends, the assumption of GBS having contributed to improving indicators in the education sector (through variable tranche disbursements) is not substantiated, as the GER and GIR are worsening in the priority provinces. It is also not specified in the ECA report, even though, based on the PDDEB data, full disbursement does not seem likely.

In *Niger*, education is not a focal sector. Papas V, the fifth structural adjustment programme of EC support, covered two education indicators – an increase of access to primary education, and an improved gender parity index. Both education indicators were associated with the disbursement of € 3.3 million (out of a total of € 13.2 million for the whole variable tranche). The two subsequent GBS Multi-Annual Programmes of Support to Poverty alleviation (PPARP) covered four variable tranche-related indicators, including one linked to MDG3 GER for girls. The other indicators are not gender-disaggregated.

Gender parity used to be a serious issue in Niger. As specified in the Country Note, there are still far fewer girls than boys in education, with a ratio way below 1 in all levels of the education system. However, there are some encouraging changes. Data provided in Rapport d'Etat sur le Système Educatif National (RESEN), and reproduced in the table below, indicates that access to grade 1 is improving, from 0.78 in 2004 to 0.87 in 2008, although girls' retention rate in primary education has declined slightly compared with that of boys (from 0.86 to 0.84), meaning that parents' perception of school benefits for girls is still questionable. The "opportunity costs" of girls' education are higher than that of boys, and, as can be seen for secondary education, these costs increase in line with the age of girls: transition to lower secondary has deteriorated (from 0.97 to 0.90), as has retention (from 0.95 to 0.88). It is even worse in upper secondary, where the GPI has declined from 0.54 to 0.43. The higher the grade, the larger the gap between girls and boys. And the situation is not improving – with the noticeable and encouraging exceptions of access to grade 1 and PCR in primary. These two indicators have improved because the capacity of the system to accommodate more children has been enhanced by a higher level of public resources generated by donors, who have been active in GBS for covering rapidly increasing recurrent costs. EC GBS is clearly one of the key instruments for successfully implementing this policy. However, the effect of EC support (through variable tranches being disbursed) on improving the GPI is not absolutely clear, although it can be assumed.

Moreover, the SOUTEBA project also had a positive impact on the GER (even though below target). The girls' enrolment rate in the intervention area remained at about 41% between 2004-2005 and 2008-2009. The project targeted an increase of 5% over this period (2004-2009). This performance is lower than national average.

In *Namibia*, according to the ECA report⁹³, available indicators demonstrate significant achievements in the reduction of gender disparities in education. Still it is noted that, following the ECA's preliminary findings, equitable access to education is seen within the government primarily in relation to secondary and higher education. However, the 10th EDF preparation phase seems to have promoted government acceptance of the need to embark on the development of equitable systems, such as school profiling.

The EC support through dialogues has placed equity issues higher on the agenda and has brought a refocus on MDGs 2 and 3 by shifting emphasis towards pre-primary and primary education.

In *Uganda*, the EC support (SBS) to Universal Primary Education (2001-05) contributed to the improvement in the quality of, and equitable access to, primary education within the policy framework of Universal Primary Education and decentralisation, as articulated in the ESIP. Moreover, PABS 4 and 5 was initiated to support the objectives of the Poverty Eradication Action Plan (PEAP) and its related reform programme. GBS programmes had fixed and variable tranche releases based on the achieve-

⁹³ European Court of Auditors (2009): Audit of EC development assistance for education, Mission to Namibia 12 - 26 September 2009; Statement of preliminary findings.

ment of performance targets for selected indicators in the education and health sectors. The PABS 5 indicators are all gender disaggregated and cover NER primary, PCR and GER secondary.

The EC GBS impact related to MDG3 would be measurable if the performance-related variable tranche disbursement reached the Ministry of Education. If this was the case, then the ministry would channel this amount through to ESSP, trying to accommodate the remaining constraints related to access by focusing on increasing and improving equitable access to quality primary education through improving equity in the participation of girls. In this context, however, the ECA Audit Uganda noted: "The programme was divided 50% to 50% between fixed and variable tranches, and € 1.9 million was to be paid for the achievement of the annual target set for each of the 11 performance indicators. There is no analysis in the financing documentation of how far this amount would be likely to have an incentive effect on the national authorities and no analysis of how the payment amount for each target compared with the increased budgetary resources needed to achieve that target. It is open to question how far there was an incentive effect for the health and education ministries since there was no direct link between the variable tranche disbursements and the budget allocations of these ministries."

Overall, when looking at **ACP Sub-Saharan African** countries, EC support to education, focusing on gender issues, has been tangible and significant in Tanzania, in terms of shaping gender issues in dialogue with partner governments and development partners, as reflected in this key priority in all countries where education is a focal country. Influence on the policy agenda related to gender and equity issues is strongly apparent in *Botswana* and *Namibia*. While there is a trend away from sector programmes to General Budget Support, culminating, beyond the scope of this evaluation, in the MDG Contract, evidence is scarce for gender-disaggregated variable tranche release indicators yielding disbursements to education ministries in support of accommodating MDG3. It is not a general practice that access-related education indicators for variable tranche release are disaggregated, which makes it even more difficult to follow the chain of performance, disbursement and implications in terms of better performance.

Caribbean

In the *Dominican Republic*, EC support in the evaluation period covered project support and both SBS and GBS. According to the findings of the Country Note, the increase in resources, along with the technical support for better management of the system, has contributed to increasing school access, in synergy with the support provided by other development partners – mainly IADB for school construction. This is supposed to have had an effect on the improvement of the GPI for girls, but no EC support has been specifically earmarked for such. As in the GBS, there are no clear access education indicators linked to variable tranche disbursement, so there is no base by which to measure any effect of GBS on factors enhancing and sustaining MDG3.

Latin America

In *Nicaragua*, the PAPSE Financing Agreement was signed in 2004, having been prepared following the Sectoral Policy Support Program framework of the EC and with a view to having an effect on poverty reduction through investment in human capital. The main objective of this support is to provide technical and financial assistance to the Government of Nicaragua in order to support an education policy with more equity and improved quality standards to help eradicate one of the main problems that causes poverty and prevents the development of the country. On gender parity issues in enrolment, the Nicaragua CSE finds that there are no noticeable differences in levels of female and male adult literacy, nor in women's access to education.

2.3.3.3 European Neighbourhood countries

In *Tunisia*, EC support has not specifically targeted girls, but, following the analysis made by the Country Note, has contributed to the increase of the transition rates (TR) to lower secondary and upper secondary by supporting the government policy of reducing repetition and drop-out rates in primary education, within the framework of its SBS support to basic education.

2.3.3.4 Fragile States

In *Eritrea*, equity and gender parity issues have been adequately taken into consideration during project design of EC support to education in Eritrea, linked to ESDP. In order to reduce disparities, the Ministry of Education fulfils a co-ordinating role for all donors, prioritising new construction works in such a way that more equal opportunities can be achieved.

In *Somalia*, the EC has allocated more than € 20 million to projects in the education and training sector under the 8th and 9th EDF. The overarching strategic orientation has been to make a substantial contribution to the fight against poverty by improving participation levels, particularly of girls/women in

primary and basic education, while addressing quality challenges and direct impacts through pre-service and on-the-job teacher training. According to the video conference discussions, the specific focus of EC support has been on gender balance – for example, on the improvement of female teacher rates. However, gender parity rates are weak, with enrolment GPIs for primary/secondary schools only 0.55⁹⁴. Girls often have to leave school before completing, due to marriage or financial reasons. It is clear that gender parity will be a major challenge for Somalia, especially in view of the country's large nomadic population.

In *Liberia*, the ECA report indicates a negative trend between 1999 and 2007 related to gender parity. However, it should be noted that this contradicts a conclusion drawn in the Global Monitoring Report 2010⁹⁵, where Liberia is presented as a country that has improved gender parity, but where participation deteriorated between 1999 and 2007. The ECA audit noted that “few of the observed changes in education outcomes can be attributed (even partially) to ECSEL⁹⁶.”

In *Pakistan*, it should be noted that all EC interventions have a focus on eliminating gender disparities, and that programming documents deal adequately with this issue. The following box provides a snapshot of the EC's support and role towards increasing gender parity in Pakistan.

Box 3: *Pakistan: EC contribution towards increasing gender parity*

The **Northern Pakistan Education Programme** focused on increasing gender equality and community participation in the Northern Areas. The programme succeeded in arranging for girls to constitute 64% of overall enrolment, and in ensuring a strong progression rate of girls to secondary education through Community High Schools in areas where no girls' secondary schools previously existed. In its teacher training programme, preference was given to female candidates, leading to 52% of the trained teachers being female.

This is in marked contrast to the share of female teachers in **Sindh** province.⁹⁷ While females constitute only 31.5% of the total of 138,007 teachers, they constitute a large majority among teachers in Karachi (68.3% of the total of 27,742 teachers). Urban-rural discrepancies in gender parity among teachers are striking; for example, the Kashmore district has a female teacher share of only 14.1%. Preference is given by the Government of Sindh to females in teacher recruitment within the framework of the Merit and Need-Based Teacher Recruitment Scheme, part of EC Budget support. However, deployment in certain areas is highly complex and remains cumbersome.

The Sindh Budget Support (BS) plan enabled the government of Sindh to launch two girls-stipend schemes, reaching out to 260,000 girls receiving stipends of Rs 1,000 per year, as well as a differential stipends programme in 15 low-transition Talukas⁹⁸ (Rs 2,400).⁹⁹

Source: *Pakistan Country Note*

Overall, EC support to **fragile states** has been strongly demand-driven, and one of these demands has been to assist partner governments in increasing access to primary and secondary education for girls. This was especially the case in *Pakistan*, where – via a Multi-Donor Trust Fund (MDTF) through SBS, in close association with a World Bank investment programme, and through the involvement of Aga Khan in a girl-focused project in highly traditional societies in the Northern region – progress related to gender parity issues has been achieved or is in the process of being achieved. In fragile states, although sometimes under rather difficult circumstances, it appears that a variety of modalities and channels can still be used successfully, including SBS if conditions allow.

2.4 JC23: Primary schooling is compulsory and free of costs to all pupils

Primary schooling and gender equality are basic human rights. Hence, partner governments and their development partners make efforts to secure primary education for all school-aged children, both boys and girls. These rights need to be protected through legislation, provisions for accessible schools, and sanctions for not sending children to schools. This is the pattern in the industrialised world, yet even though the right of children to education is almost universally accepted, it is still one of the human rights most violated. The overriding cause of this violation stems not from parents, but from governments not providing education opportunities everywhere, at no cost or at affordable cost, to all children, including very poor ones.

⁹⁴ Eurotrends (2009), Country Report for Somalia, ‘Study on Governance Challenges for Education in Fragile Situations’, p. 10.

⁹⁵ Global Monitoring Report 2010, p. 66

⁹⁶ In Liberia, the main EC interventions supporting the Education Sector are: i) EC Support to Education in Liberia (ECSEL), which is a Project (2006 –2010) under the 9th EDF amounting € 12 million; ii) the Budget Support for Macroeconomic Stabilisation (BSMS) (2009-2011), which is a General Budget Support of € 20.2 million under the 10th EDF.

⁹⁷ Source: SEMIS Census 2007-2008

⁹⁸ Sub-districts

⁹⁹ In 2009-10, the stipends were increased to 2,400 and 3,600 respectively.

All the sample countries in this evaluation – plus *Namibia* and *Liberia*, which have been the subject of a recent ECA audit – have made provisions for compulsory primary schooling or beyond. However, this does not mean that compulsory education is free of costs to parents. Apart from fees, the costs of textbooks, contributions to school development and additional tuition, uniforms, food, and opportunity costs for children not participating in gainful activities make education of their children unaffordable for poor parents. In many countries, the problem occurs of illegal fees being charged. This is sometimes revealed by Public Expenditure Tracking Surveys (PETS). However, by applying a rights-based approach, at least parents are now becoming more aware of their rights – and hence of the illegal nature of these fees.¹⁰⁰

The Commission Staff Working Document (2010, p.18) stressed that more needs to be done to remove the barriers to access and to make education more inclusive. Within countries, children from the richest households are up to five times more likely to be enrolled in school than those from the poorest.¹⁰¹ Hence, non-enrolment is linked to poverty, while education is seen as the best investment in development both at micro level (individuals and families) and macro level (societies).

As indicated in EQ1, EC support is generally linked to partner country PRSPs or comparable mechanisms, and usually also includes issues of ensuring a pro-poor emphasis on access to basic education, through assisting partner governments by removing barriers to enrolment and retention for poorer segments of the population. In general, the EC has supported pro-poor education system reform strategies, which may include focus on enhancing enrolment of the lowest quintile, free text book provisions, support to the operational budget of primary schools, stipends for girls, and enhancing the establishment and operation of SMCs and Parent Teacher Associations (PTAs). The outcomes of these combined measures should be manifested in higher enrolment, retention and completion rates (JC 21), gender parity (JC 22), and increased provisions for enhancing access by disadvantaged groups (JC24). LDCs are not capable of affording compulsory education that is free of costs to parents. Hence, budgetary provisions have to be made with increased allocations for non-salary costs of teachers (EQ6).

The following table provides an overview on the years of compulsory education in the sample desk study countries. Usually, compulsory education is stipulated in national documents such as Constitutions (*Burkina Faso, Indonesia, Pakistan*) and Education Acts (*Ghana, Jamaica*), usually having been in force for more than 10 years. As can be seen, the duration of compulsory schooling varies considerably between the countries, ranging from five to 11 years, with the countries that are ranked relatively high on the Human Development Index (HDI) usually being those with higher duration of 10 years or more.

Table 15: *Duration of compulsory education in the desk study countries*

Country Name	YR 2000	YR 2001	YR 2002	YR 2003	YR 2004	YR 2005	YR 2006	YR 2007	YR 2008
Bangladesh	5	5	5	5	5	5	5	5	5
India	9	9	9	9	9	9	9	9	9
Indonesia	9	9	9	9	9	9	9	9	..
Tajikistan	9	9	9	9	9	9	9	9	..
Vietnam	9	9	9	9	9	9	9	9	9
Botswana	10	10	10	10	10	10	10	10	..
Burkina Faso	10	10	10	10	10	10	10	11	11
Ghana	9	9	9	9	9	9	9	9	9
Mozambique	7	7	..	7	7	7	7	7	7
Niger	6	6	6	6	6	6	6	6	..
South Africa	9	9	9	9	9	9	9	9	..
Tanzania	7	7	7	7	7	7	7	7	7
Uganda	7	7	7	7	7	7	7	7	..
Argentina	10	10	10	10	10	10	10	10	..
Nicaragua	6	6	6	6	6	6	6	6	..
Dominican Republic	9	9	9	9	9	9	9	9	9
Jamaica	6	6	6	6	6	6	6	6	..

¹⁰⁰ EQ 7 deals with issues related to increasing accountability at the school and community level, such as School Management Committees (SMCs) and Parent Teacher Associations (PTAs).

¹⁰¹ EFA Global Monitoring report, 2010, UNESCO, www.efareport.unesco.org

Country Name	YR 2000	YR 2001	YR 2002	YR 2003	YR 2004	YR 2005	YR 2006	YR 2007	YR 2008
Tunisia	11	11	11	11	11	11	11	11	..
Russian Federation	10	10	10	10	10	10	10	10	..
Eritrea	8	8	8	8	8	8	8	8	..
Somalia	8	8	8	8	8	8	8	8	..
Pakistan	5	5	5	5	5	5	5	5	5
Occupied Palestinian Territory	10	10	10	10	10	10	10	10	..

Source: World Bank Edstats

In general, investments in education are based on requirements for more qualified and employable graduates – for which good basic and secondary education establishes a foundation – as the basis for broad-based, high-productive economic growth. In principle, as highlighted in the EC’s intervention logic, arranging for compulsory and free basic education for all should, combined with increased pro-poor funding, lead to more qualified graduates, which will help to fuel economic growth. However, while LDCs may stipulate compulsory and sometimes free primary education for all, they do not have the means to arrange for the necessary infrastructure and trained teachers, and cannot afford resource allocations in line with education sector requirements (see EQ 6).

In several countries, policies have been enacted to abolish school fees, and this seems to have had a big impact on enrolment and retention rates, especially in Sub-Saharan African countries.¹⁰² However, as referred to below, this has often led to dramatic increases in class sizes and unacceptable quality compromises, which can only be addressed if they are part of a sustainable national education strategy/plan – as is the case in EFA-FTI, under which education plans are being prepared.

2.4.1 I-231: Compulsory (and free) primary education enacted

Most governments today are committed to providing universal access to basic education, which includes lower secondary as well as primary education. It follows, therefore, that universal basic education requires completion of primary school and a successful transition to lower secondary. Enforcement of compulsory schooling laws and elimination of primary school leaving examinations are just two of the measures being taken to improve transition rates. All developed countries, some countries in transition and most countries in *Latin America* and the *Caribbean*, and in *East Asia* and the *Pacific*, consider primary and lower secondary education part of compulsory schooling (EFA GMR 2009). Prolonging compulsory schooling has increased access to, and participation in, secondary education.

The Commission Staff Working Document (2010, p.18) notes that measures to increase access by abolishing primary school fees have rapidly increased the numbers of children in school. *Malawi* (1994), *Uganda* (1997), *Tanzania* (2001) and *Kenya* (2003) have taken this step, enabling more than one million extra children in each country to enrol in primary school. However, governments have found that they cannot sustain such high levels of enrolment and at the same time provide education of sufficient quality. Enrolment levels in general have thus subsequently fallen (for example, *Uganda* 84% in 1997 to 76% in 2000; Malawi 98% in 1999 to 91% 2006¹⁰³). However, the example of Botswana demonstrates that even if primary education is not compulsory and free, high enrolment rates can still be achieved¹⁰⁴.

In a fragile state, and in a post-war situation, the Government of Liberia introduced free and compulsory primary education nationwide. For the 2007-08 academic year, the Ministry of Education provided instructional materials and free uniforms to primary school students in two of the country’s most remote and disadvantaged counties. In those regions, schools were overburdened by the number of students – many of those registered being over-aged students who had fallen behind in their education due to the war.

2.4.2 I-232: School fees and other charges abolished

In many Sub-Saharan African countries, governments have shown strong political commitment and made universal primary education an absolute priority, most notably by abolishing school fees and other charges. The following table provides an overview of countries with charges in primary schools.

¹⁰² See also World Bank, UNICEF (2009): Abolishing School Fees in Africa. Lessons from Ethiopia, Ghana, Kenya, Malawi and Mozambique.

¹⁰³ See also World Bank, UNICEF (2009): Abolishing School Fees in Africa. Lessons from Ethiopia, Ghana, Kenya, Malawi, and Mozambique.

¹⁰⁴ See CSE Botswana 2009.

Table 16: Sample countries with charges in primary school by region (2006)

Sub-Saharan Africa	Eastern Europe and Central Asia	Asia	Middle East and North Africa	Latin America
Burkina Faso Eritrea Ghana Mozambique Niger Governments rolling back charges: South Africa Tanzania Uganda	Russia Tajikistan	Indonesia Pakistan Vietnam Governments rolling back charges: Bangladesh India	Tunisia Externally-funded education: Palestine	Dominican Republic Nicaragua

Source: Tomasevski, Katarina (2006): *The State of the Right to Education Worldwide. Free or Fee: 2006 Global Report*

Among the sample of countries selected for this evaluation, some are in the process of rolling-back charges in primary school (e.g. **Tanzania**). Public funding, which is needed to offset these charges, is the key bottleneck and most countries have moved gradually, often by investing a part of debt relief into making education freer. Such public funds have routinely exceeded all previous estimates because huge numbers of children have shown up at school once an announcement has been made that education would be free. The enrolment explosions triggered by announcements of free education have shown how big a barrier the fees, charges and other financial contributions are for poor children, who are the vast majority in all African countries.

- Compulsory primary education is fully within the realm of partner government responsibility. EC support to partner countries linked to this domain is within sectoral support, SBS and, indirectly, through GBS promoting pro-poor policies and strategies within PRSPs, with resource allocations. This is visible through costed measures within MTEFs aimed at decreasing costs so that poor families can enrol their children in primary and secondary education. School capitation grants and stipends are among the measures within EC programmes of support to the primary and secondary education sector (especially in *Pakistan, Tanzania and Bangladesh*).
- However, in general, and apart from the abolishment of fees with EC support in Tanzania and India stipulated in the FAs for PEDP (*Tanzania*) and Sarva Shiksha Abhiyan (*India*), it is complex to monitor impacts on enrolment and retention of pro-poor measures aimed at enrolling those who are not reached because of high costs and opportunity costs of schooling their children. First, the target group is invisible in statistics, hence the spill-over effect to those not really belonging to the target group may be high; second, there is a need for a comprehensive set of measures, which may include filling the gaps in school provision or provisions for girls' schools, as well as measures aimed at making the education system inclusive (see JC 24). Donors cannot specifically identify the items they fund within the programme they support – hence the achievements made under EC-supported programmes should be considered as impacts of joint efforts between the government and the development partners in the education sector. Therefore, the impact of EC support can be assessed only in the general and specific context of the impacts of such programmes. Moreover, as the impact of pro-poor measures – especially on the lowest quintile – is difficult to assess, this also applies to EC support. Nevertheless, EC support has contributed to bringing out-of-school children (back) into school – for example, through support to non-formal education (*India, Pakistan, Bangladesh*), through assisting in removing poverty-linked barriers by such measures as girls' stipends (Pakistan), or, most importantly, through GBS providing resources to governments allowing fiscal space to cater for education in rural areas, such as in *Niger*.

From the analysis made, including analysis of CSPs, the results of the field visits and the ECA Audits, the following examples give some indication of how EC support has contributed to enhancing compulsory and free primary and basic education in the countries in country sample of this evaluation for which the issue was relevant during the period under evaluation:

Asia

- In *Bangladesh*, primary education is, officially, free and compulsory as the Compulsory Primary Education Act 1990 is still in force. However, “compulsory” provision has not been enforced and is not “fully free” as students have to bear costs other than that of textbooks and tuition. After the enactment of the Primary Education (Compulsory) Act 1990, the government created the Compulsory Primary Education Implementation Monitoring Unit in 1991, headed by a Director-General with the responsibility of monitoring the compulsory primary education pro-

gramme at the field level and conducting a survey to collect information on the number of primary school-aged children in the population and the number of children actually attending school. The government also provides stipend to students, special stipends to poor female students, costs towards uniforms for poor students, and educational materials. The fact that primary education is not free and available everywhere to poor children is exemplified by the large target population of sometimes ultra-poor children – often children reached through the EC-supported BRAC NFE programme.

- In *India*, ensuring compulsory and free education – even with the constitutional commitment – is extremely complex, given state responsibility for primary/elementary education and some 160 million pupils enrolled. The National Policy of Education (1986) states: “It shall be ensured that free and compulsory education of satisfactory quality is provided to all children up to 14 years of age before we enter the 20th century.” Clearly, this was not achieved. The Right of Children to Free and Compulsory Education Act passed into law on April 1st 2010, having been preceded by The Right to Education Act, which was passed in 2009.¹⁰⁵ Both pieces of legislation were enacted during the lifetime of the Sarva Shiksha Abhiyan programme, co-funded by the EC, in support of the government’s aims of reducing the number of out-of-school children by at least 9 million, with an increase in enrolment as part of the process of universalising elementary education. The 2010 Act stipulates that every child in the age range of 6-14 will be provided with eight years of education in an age-appropriate classroom in the vicinity of his/her neighbourhood. Any costs that prevent a child from accessing school will be borne by the state, which shall have the responsibility of enrolling the child, as well as ensuring attendance and completion of eight years of schooling. All private schools shall be required to enrol children from weaker segments of the population and from disadvantaged communities in their incoming classes to the extent of 25% of their enrollment, subsidised by the state at the rate of the average per learner costs in government schools. The National Commission for Protection of Child Rights (NCPR) has been mandated to monitor the implementation of this historic right.

Sub-Saharan Africa

- In *Namibia*, according to the ECA Audit, while free schooling is guaranteed by the Constitution, parents are required to contribute to the School Development Funds (SDF), which cover small expenditure¹⁰⁶. The schools are financially dependent on the SDFs for such basic provision as textbooks, materials, renovation, and even teachers, due to insufficient public funding. School maintenance, which is primarily the responsibility of the Ministry of Works, is also suffering from insufficient funding. In addition to this, students have to pay for uniforms and examinations. All this seriously affects the poor areas, where the number of students whose parents cannot afford to contribute to the SDF is high. These issues were not addressed in the financing agreement for the ESP under the 9th EDF, but have been raised in the course of the formulation process and in the financing proposal for the Education Sector Policy Support Programme (ESPSP) under the 10th EDF. Moreover, the ESPSP report states: “*Currently [i.e. in 2009], the EUD is trying to enhance its dialogue with the GRN [the Government of the Republic of Namibia] in the framework of the ESPSP formulation under the 10th EDF by seeking ways for ETSIP to better align with EFA and MDG2 goals, and focusing more on equity issues and primary education. One of the main challenges for the Delegation is to convince the GRN to focus more on equity aspects (e.g. to provide true free schooling).*”
- In *Niger*, as confirmed by both the Country Note and the ECA Audit, difficulty is faced in making primary schooling free of costs and in terms of the problem that schooling for children in rural areas represents with regard to opportunity cost. Even though a school is said to be free, an enrolled child meets expenditures. The enrolment of girls is particularly problematic. The following box presents some details about the issue of parents’ “willingness to pay”, and also highlights that EC support via GBS may have been a relevant approach to help reduce cost of schooling.

¹⁰⁵ Right to Education Act 2009 and Right of Children to Free and Compulsory Education Act 2010. Information issued by the Council for Secondary Education, ICBSE. See also TAP Sarva Shiksha Abhiyan.

¹⁰⁶ In the schools visited by the audit team, the fee/contribution varied between 50 NAD in a primary school and 250 NAD in a secondary school.

Box 11: Niger: Difficulties faced in implementing primary schooling free of costs

Compulsory and free education is not yet feasible in Niger. The amount and distribution of schools is still not adequate as the present capacity can accommodate only two-thirds of the school-age population. In addition, many parents are reluctant to send their children – particularly girls – to school due to the perceived high opportunity costs of school attendance.

Private expenditure for education is low by international standards. The vast majority of pupils are enrolled in public schools, while about 3% are in private schools, which is one of the lowest percentages in Sub-Saharan Africa. A survey carried out in 2005 on Niger households' expenditure showed that education expenditure represents 0.6% of families' income – six times less than the regional average of 3.8%. This survey has described the nature of education expenditure per pupil at different levels. For primary education, the average private expenditure per year, including uniforms and school supplies, is only 2,707 CFA franc (CFAF) (€ 4), as the following table indicates.

Households' expenditure per pupil per year (2006, in CFAF)

Variable	Category	Average expenditure
Gender	Boy	1,492
	Girl	4,586
Type of school	Public	1,474
	Private	34,984
Geographical setting	Rural	1,32
	Urban	8,427
Family income category	40% lower income	1,594
	40% intermediate income	3,944
	20% higher income	8,705
Average		2,707
<i>Source: RESEN, (2010 draft version World Bank)</i>		

The level of private expenditure is quite low in public schools (about € 2) and rural schools (also about €-2). There are significant differences by categories of income, the highest quintile spending 4-5 times more than the lowest ones. That may explain partly why families are spending more for girls, as high income families are more likely to send their girls to school than low income families.

It should also be mentioned that most families in rural areas, where 85% of the school-age population is located, perceive the opportunity cost of education as being too high. This is the reason why the school year finishes early – during the first half of June, when the rainy season starts – to allow children to participate in agricultural work. The following school year starts quite late, more or less four months later, when the cropping season has ended. This long “summer” interruption is also a reason for the low performances of the school system.

One of the best ways of reducing parents' resistance to school enrolment is to limit, as much as possible, the direct costs of education, through a free public supply, whereby fees are eliminated, private tutoring unnecessary, and school supplies are, as much as possible, provided by the school.

GBS provided by the EC may have enabled the government to cover these costs, and has therefore been a pertinent approach.

Source: Country Note Niger

- In *Tanzania*, the abolition of school fees in 2002 caused primary school enrolment to jump from 1.4 million to 3 million in 2004. The EC-supported PEDP has included the introduction of free primary school education for all through the abolishment of school fees, alongside legislation that prevents a school from turning away any pupil who is unable to cover the additional (hidden) costs, such as school uniforms. The CSP states that this was being surrounded by dialogue around a sector strategy for basic education, which was co-financed by the EC the ESDP. According to Woods (2007)¹⁰⁷, since 2000 there has been a massive 72% increase in enrolment (some 2.2 million additional learners between 2001 and 2004), largely due to the introduction of free primary education. This has enabled the government to achieve its target of universal access.

Latin America

- In *Nicaragua*, the CSE notes the negative consequences of school fees, which, together with the indirect costs of schooling (such uniform, materials, shoes, lunch, etc.), have a damaging effect on schoolchildren from poor backgrounds. In 2007, the government banned school fees.

European Neighbourhood countries

¹⁰⁷ Woods, Eric (2007): Tanzania country case study. Country profile prepared for the Education for All Global Monitoring Report 2008. Education for All by 2015: Will we make it? (2008/ED/EFA/MRT/PI/79)

- In *Tunisia*, education from the age of 6 to 16 is free of charge, by law. Textbooks are bought by parents, but the prices of textbooks in Tunisia are reasonably low, so the majority of families are able to meet the cost. For the few families unable to afford the textbooks, there are support mechanisms, organised by parents' associations, to provide free textbooks to needy families. In rural areas, where the distance to school is too far to enable children to go back home for lunch, there are canteens supported by the government and free of charge to parents. The EC has actively supported the EPE policy (*Ecoles à priorité éducative*), which distributes additional resources to disadvantaged schools, in particular the free canteens (Country Note Tunisia).

Fragile/failed states

- In *Liberia*, according to the ECA Audit, despite the introduction of free and compulsory primary education, the Core Welfare Indicators Questionnaire (CWIQ) data of 2007 suggested that parents are still paying considerable amounts of money for various fees and other "socially mandatory" expenses – including primary school fees (23.9% of respondents) and uniforms (18.6%). Given that the CWIQ also covered private schools, this is not surprising, but it reflects how socio-economic disparities continue to have an impact on access to primary education. The Government of Liberia has spearheaded policy known as FACPEL (Free and Compulsory Primary Education in Liberia). A paper was drafted outlining the means by which this policy could be implemented, and the government adopted the policy in 2005. As a result, the government introduced a school grants scheme in 2006-07 aimed at offsetting parental contributions to fees. Reported coverage of the grants scheme in 2008-09 was around 750,000 students in 2,870 schools, compared to 540,000 students in 2,122 schools reported in the 2007-08 school census.
- In *Pakistan*, according to the Constitution (1973), primary education is compulsory and free. However, given the large number of out-of-school children, the relatively low NER, the uneven distribution of resources, physical infrastructure and teachers, as well as the influence of poverty on access and retention, in practice it can be stated that education is neither compulsory nor free of costs in Pakistan. Through providing free textbooks and differential programmes of stipends, the government is trying to decrease the poverty barrier to access and retention. The EC's SBS in Sindh province provides for stipends for girls to enhance enrolment and retention, of especially rural girls in secondary education. The stipend is sent by post directly to the student and covers costs that families would have found difficult to pay as an investment in the future. A higher stipend is provided to girl students from particularly backward districts. Free textbooks are also provided, and SMCs and PTAs are established and launched to ensure proper school management and guard against illegal practices, including fee charging. Low-cost private schooling in rural areas is a sub-programme of SEPSP to decrease the distance between house and school, and hence the costs of schooling (see Country Note Pakistan).

In contrast to what is said above, the case of South Africa illustrates what might be possible in terms of ensuring free education for all, at least in a middle income country. The EC did not play any significant role in the promotion of free and compulsory primary schooling, and the developments and commitments in this area are derived from the Government's own pro-poor agenda. According to the Country Note, the question of providing support aimed at improved quality and equity in the provision of primary schooling only arose prominently in the process leading up to the identification and formulation of the SBS for primary schooling – that is, at the end of the period under evaluation.

Box 12: South Africa: Efforts to ensure free education

Basic education, interpreted as the first nine years of schooling, has been compulsory since the promulgation of the SAsA in 1996. According to SAsA, school attendance is compulsory for all children between the ages of 7 and 15 (Grades 1 – 9). The earlier section of this goal referred to children aged 7–13, as an appropriate age for primary school attendance. Here, we broaden the scope to examine school attendance of those aged 7–15 years. However, education beyond primary school is becoming essential in a modern economy, and thus it is important also to take into account children aged 13–15. Disadvantaged groups benefit from this policy, and the majority of learners can be said to belong to these groups. Ethnic minorities, therefore, generally outperform the ethnic majority.

The Constitution and SAsA do not, however, declare basic education to be free, but require the government to make provision free of charge progressively, as fiscal resources permit. In practice, this meant that schools could levy fees in accordance with the affordability levels of the communities they serviced. Schools in very poor communities were able to levy only nominal fees, while those servicing wealthy communities levied significant levels of fees, enabling them to further widen the gap in the input levels and quality of provision.

The South African government has undertaken a number of measures to improve access to primary education. These include:

- A major drive to improve access of five-year-old children;
- The adoption of a policy on no-fee schools, which makes it possible for over 40% of learners (5m) in 14,000 schools to attend without paying fees.
- The provision of free transport to learners who live far from schools. At present, more than 200,000 learners in the country benefit from this service. Budgets of provincial education departments indicate an upward trend in allocations for the provision of transport for pupils. The government is in the process of developing a policy on “Learner Transport”, which aims to promote equity in the provision of transport for pupils across all provinces
- The Primary School Nutrition Programme, provides one meal a day to primary school learners. In addition to improving the health of learners, the nutrition programme encourages school attendance. In 2006, about 6m learners (approximately 50%) benefited from the school nutrition programme.

With the introduction of the policy of no-fee schools, the government has been progressively abolishing fees for those schools serving the poorest communities. Currently, all schools serving the poorest 60% of learners have been declared no-fee schools, with the government making up the shortfall with preferential financing to these institutions.

Source: Country Note South Africa

2.5 JC24: Provisions to enhance access to education by disadvantaged groups

2.5.1 Global trends related to out-of-school children

According to the EFA GMR 2009, the UN MDG Report 2009 and the Commission Staff Working Document on Progress made on the Millennium Development Goals and key challenges for the road ahead (2010), large gaps still remain in access to education and completion rates. Significant inequalities are based on gender, ethnicity, income, language or disabilities¹⁰⁸, and 72 million children of primary school age were not in school in 2007. Seven out of 10 such children out of school live in Sub-Saharan Africa or South and West Asia. In Sub-Saharan Africa, two-thirds of them will probably never enrol. A similar situation exists in Western Asia, where 64% of the 3 million children out of school are girls. In 2007, girls accounted for 54% of the global out-of-school population. The issue of out-of-school children, therefore, remains a major concern that is a long way from being resolved. The Commission Staff Working Document, *More and Better Education in Developing Countries*, notes: “*Children out of school tend to be poor, from rural areas, and live in the most disadvantaged regions of their country. Many of them are from minority ethnic groups, and those with disabilities are disproportionately affected. Half of all children out of school live in countries affected by conflict.*”

However, viewed against the backdrop of the 1990s, when out of school numbers were rising in some regions, progress has been solid:

- In Sub-Saharan Africa, the number of primary school-age children not in school has fallen by 10 million since 1999, even though the population in that age bracket has increased by 17 million.
- Over the same period, South Asia has almost halved its out-of school population, from 37 million to 18 million.

¹⁰⁸ See also Staff Working Document (2010), pp.36

More than four out of five out-of school children live in rural areas, mostly in **South Asia**, and **Sub-Saharan Africa**. The vast majority are poor, and many are the victims of a cross-generational transfer of deprivation. Having a mother with no education doubles the probability of a child being out of school. Measured in terms of its scale and impact on life chances, the problem of out-of-school children represents a crucial human development challenge. Moreover, it represents an indictment of national and international policy failures. In an increasingly knowledge-based global economy, where national and individual prosperity is linked more and more to education, 12% of the developing world's primary school-age population are not in school. In Sub-Saharan Africa, the share is almost one in three (see EFA GMR 2009).

Partner countries are faced with the problem of keeping pace with the need to accommodate new enrolments as a result of demographic factors, and have to face even more complex challenges of reaching out to marginalised groups characterised by: disability, non-mainstream language; culture and ethnicity; low status assigned by mainstream society, such as scheduled castes and tribes; hard-to-reach groups, such as street children and working children; children of nomadic populations and children of fishermen and other roving groups. The per unit cost of providing schooling to out-of-school children is higher, given that sometimes new schools are required in remote areas, teachers with knowledge of the local language need to be recruited and trained, and schools have to adopt different schedules to meet requirements of working children or rural children to coincide with key periods, such as harvesting. Economic and political conditions often play a role in partner government willingness to reach out to hard-to-reach children and provide them with schooling opportunities. In general, this will coincide with economic growth or plans for such growth, rather than in periods of economic hardship.

There is a negative correlation between poverty and schooling, with child labour inextricably linked to poverty. Given high opportunity costs for education, poor working children are over-represented in the out-of-school population. The Commission Staff Working Document, Combating Child Labour (2010), stressed that child labour is also closely linked to social structures and access to education, in particular at primary levels. Global efforts to ensure education for all and the progressive elimination of child labour are mutually supportive objectives. The cost of ending child labour by creating schools and replacing the lost income that children provide to their families would be around United States Dollar (USD) 760 billion over next 20 years, but the benefits might be as much as seven times greater than that figure when the gains of increased human capital are taken into consideration.¹⁰⁹

In quantitative terms, the problem of unreached children is also significant, given that eight countries (*Nigeria, India, Pakistan, Ethiopia, Bangladesh, Kenya, Niger, Burkina Faso*; EFA GMR 2009) each have more than 1 million out-of-school children— and four in 10 children not in school live in these countries. It is also important to acknowledge that, according to the EFA 2009 GMR, the post-1999 record of countries with large out-of-school populations is mixed. Some have failed to make a dent in the numbers. This group includes *Nigeria* – with more out-of-school children than any other country – along with *Burkina Faso, Mali* and *Niger*.

In other countries with large out-of-school populations in 1999, the picture is more encouraging. For example, *Bangladesh, Ethiopia, Ghana, Kenya, Nepal* and particularly *Tanzania* have all been making rapid progress towards UPE.

The following tables highlight the magnitude of the problem at global and regional level, as well as for the sample countries of this evaluation.

¹⁰⁹ The Commission Staff Working Document Combating Child Labour (2010)

Table 17: *Estimated number and percentage of out-of-school children by region, 1999 and 2006*

	1999			2006		
	Total (000)	% by region	% by female	Total (000)	% by region	% female
World	103,223	100	58	75,177	100	55
Developing countries	99,877	97	58	71,911	96	55
Developed countries	1,791	2	50	2,368	3	43
Countries in transition	1,555	2	51	899	1	49
Regions						
Sub-Saharan Africa	45,021	44	54	35,156	47	54
Arab States	7,980	8	59	5,708	8	61
Central Asia	548	1	51	352	0,5	53
East Asia and the Pacific	6,079	6	51	9,535	13	49
East Asia	5,760	6	51	8,988	12	49
Pacific	318	0,3	54	546	1	52
South and West Asia	36,618	35	64	18,203	24	59
Latin America / Caribbean	3,522	3	54	2,631	3	47
Caribbean	493	0,5	50	617	1	51
Latin America	3,029	3	55	2,014	3	46
N. America / W. Europe	1,420	1	50	1,981	3	43
Central / Eastern Europe	2,036	2	59	1,611	2	52

Note: The UIS has revised out-of-school numbers using new United Nations Population Division estimates. The revisions increased estimates of the number of out-of-school children, so figures for 1999 reported here are higher than those in the 2008 Report (UNESCO, 277a).

Source: EFA GMR 2009, p.61, based on Annex, Statistical table 5.

Table 18: *Estimated number of out-of-school children by country, 2000-2007 (totals), for sample countries*

Country Name	2000	2006	2007
Asia			
Bangladesh	..	1,545,469	..
India	18,000,032	6,658,507	5,563,821
Indonesia	418,841	..	491,837
Tajikistan	23,020	18,843	16,884
Vietnam	449,787
Sub-Saharan Africa			
Botswana	48,363	11,321	..
Burkina Faso	1,215,254	1,145,872	1,047,716
Ghana	1,114,236	1,155,036	918,255
Mozambique	1,493,236	987,653	..
Niger	1,319,953	1,256,255	1,264,901
South Africa	415,134	533,125	503,390
Tanzania	3,026,140	316,523	..
Uganda	283,364
Caribbean			
Dominican Republic	220,560	244,878	174,905
Jamaica	23,207	..	49,823
Latin America			
Argentina
Nicaragua	144,217	67,806	19,255

Country Name	2000	2006	2007
European Neighbourhood countries			
Tunisia	39,096	7,873	6,563
Russian Federation
Fragile States			
Eritrea	317,740	290,305	327,895
Somalia
Pakistan	..	7,969,433	7,173,323
Occupied Palestinian Territory	3,071	93,556	107,907

Source: World Bank Edstats

The table reveals that, in general, the problem of out-of-school children is linked to low economic development within LDCs, where the primary GER is low and girls are under-represented among those enrolled. This is clearly the case in *Niger*, *Burkina Faso*, *Bangladesh*, and probably in all fragile states (although data is available only for Pakistan and Eritrea). Moreover, highly-populated countries (E9) also face problems of accommodating large groups of out-of-school youth. They often have to cope also with stratified populations with linguistic and cultural differences, which is the case in *India*, *Indonesia*, *Pakistan* and *Bangladesh*.

According to the EFA GMR 2009, analysis of enrolment data by age suggests that around 31% of the world's out-of-school population may eventually enrol as late entrants. A further 24% were previously enrolled but dropped out. This means that nearly half the children currently out-of-school have never had any formal education, and are unlikely to enrol unless new policies and additional incentives are put in place. Here, too, according to the EFA GMR 2009, the regional variations are wide. In **Sub-Saharan Africa**, about two-thirds of the out-of-school population is expected never to enrol. In **South and West Asia**, a similar share has enrolled but dropped out. In **Latin America** and in **East Asia**, the overwhelming majority of out-of-school children have entered late or dropped out early. As these contrasting experiences suggest, tackling the out-of-school problem requires policy responses that address specific structures of disadvantage.

Gender also has a bearing on the profile of out-of-school children. In 2006, girls accounted for 55% of the world's out-of-school children. In addition, girls are far more likely than boys never to enrol. Globally, 53% of out-of-school girls have never been to school, compared with 36% of out-of-school boys. In other words, just over half the girls who were not enrolled in school in 2006 had never been enrolled, and might never go to school without additional incentives being introduced. On the other hand, 25% of girls who are out of school may enter late – a lower share than for boys (38%) – and 22% have dropped out (26% for boys). Significant regional and national differences characterise each of these areas. For example, related to the sample countries:

- Girls' limited access to school is of particular concern in **Sub-Saharan Africa**, where 72% of those not in school have never been enrolled, compared with 55% for boys. The situation is comparably problematic for almost all sample countries, except *Botswana*, *Tanzania* and *South Africa*.
- Dropout seems to be the main reason children are not in school in **South and West Asia** (e.g. *Bangladesh*, *India* and *Pakistan*), with boys particularly affected – 79% of out-of-school boys in the region have dropped out, compared with 53% of girls. Girls' access to school remains a serious issue in India and Pakistan. These countries have very wide gender gaps in the out-of-school population profile.
- In **East Asia and in Latin America**, most out-of-school children, but particularly boys, may eventually enrol late – 88% of boys in East Asia and 76% in Latin America, compared with 67% and 71% of girls, respectively.

If the goal of UPE is to be achieved by 2015, many countries will have to strengthen their focus on out-of-school children. There is more to UPE than just getting children into school; retention, completion and learning outcomes are also critical. However, universal access is the first step, and this is an area in which a strengthened commitment to equity seems to be vital.

2.5.2 EC contribution to enhancing access to education by disadvantaged groups

2.5.2.1 I-241: Existence and implementation of inclusive education policies, strategies and financing modalities; and I-243: Existence of equivalency programmes for disadvantaged students in the formal and non-formal education sectors

Generally, a pro-poor approach is advocated by the EC, which seeks to pay more attention to groups in society who are the most disadvantaged, such as people in rural or semi-rural districts – ethnic, social or cultural minorities, or those disadvantaged by, for example, Human Immuno-deficiency Virus (HIV)-Aids. Such an approach is usually stressed in CSPs, but also in programme documents such as programming missions¹¹⁰, which give rise to EC support.¹¹¹ Moreover, the issue of access to education by disadvantaged groups is, for instance, also emphasised in the thematic programme Investing in People¹¹², and specifically in the Fighting Child Labour programme, which is aimed at:

- promoting effective policy dialogue on the eradication of child labour;
- bringing victims of child labour, trafficking or (conflict) violence into full-time education and re-integrating them into society;
- operating partnerships and networking between key stakeholders, in particular non-State actors and the private sector, and promoting corporate social responsibility in the area of child labour;
- enhancing socio-economic safety nets for families and communities (social protection)¹¹³.

This is a reflection of the importance attached by the EC to combating children labour, but, given poverty costs that include opportunity costs of children going to school and thus not being able to contribute to family income, working children constitute a sizeable group within the out-of-school population.

It should also be noted that the EU emphasis on combating child labour was reiterated in the Council Conclusion on Child Labour, stressing that the promotion of the rights of the child constitutes an integral part of the EU's human rights policy, and that the elimination of child labour is a legal obligation based on international treaties and conventions.¹¹⁴

This section covers the following indicators through which EC support and effectiveness towards increasing access to education by disadvantaged groups is being assessed.

- I-241: Existence and implementation of inclusive education policies, strategies and financing modalities
- I-243: Existence of equivalency programmes for disadvantaged students in the formal and non-formal education sector

Given the interrelated nature of these indicators, they are being dealt with in one single section.

As for equivalency programmes in general, these are non-formal education programmes to enable children to re-enter basic formal education. Such programmes aim to create a flexible and child-friendly “bridge”, especially for over-aged children who have dropped out of school or who never enrolled. NGOs have launched many projects to reach out to disadvantaged students through non-formal education provisions. Increasingly, through pro-poor education sector reform, with its emphasis on education for all and accommodation of MDG2 targets, strategies are being developed by govern-

¹¹⁰ EC Programming mission, basic education Bangladesh 2001.

¹¹¹ E.g. PROMAN S.A. (2008): EC Sector Policy Support Programme (SPSP) - Targeted Budget Support to Pro-poor Basic Education Reforms in Cambodia (KHD/AIDCO/2002/0405). Final Evaluation.

¹¹² For more information, see European Commission (2007): Investing in People: Strategy Paper for the Thematic Programme 2007–2013. The strategy outlines that “girls and children from hard-to-reach groups make up the 77 million children still out of school... The thematic programme should therefore address this area (i.e. and supplement the existing country action while also offering funding through global initiatives for direct action in countries with the most critical indicators, where such thematic action can effectively yield positive results towards improving enrolment rates”.

The programme has a budget of € 541 million for 2007-2010, from which € 65 million (12% of the total) is for “Education and Skills”. Funding is usually disbursed through Calls for Proposals. For global or strategic initiatives, agreements are also signed with international organisations, such as UN agencies or the World Bank. The programme is implemented through Annual Action Programmes (AAPs) based on the general indications provided by the Thematic Strategy Paper and Multi-Annual Indicative Programme 2007-2010.

¹¹³ Draft Commission Staff Working Document Combating Child Labour, Brussels, SEC (2010)xxxx, pp.4,6 and 54

¹¹⁴ Press Release, Council Conclusions on Child Labour; 3023rd Foreign affairs council meeting Luxembourg, 14 June 2010.

ments (e.g. *Cambodia*) for reach out to these groups. In some cases, reforms are concentrating on the formal system, incorporating innovative methodologies and approaches developed by NGOs (*India*), or they put an emphasis on mainstreaming NGO non-formal education provisions (*Bangladesh*).

However, as shown by the examples below and by the overall analysis, it appears that the issue of equivalency programmes is predominantly supported only by the EC in **Asian countries**¹¹⁵. In *Africa*, there are hardly any large NGOs implementing a nationwide agenda of non-formal education – hence they would be suitable for support by projects implemented by NGOs rather than by EC large-scale programmes aimed at hard-to-reach children, as is the case in **South Asia** (*India, Bangladesh and Pakistan*). Moreover, some NGO projects have been supported through thematic programmes or the NGO programme, such as PVD.

Based on CSPs, CSEs and Country Notes, it appears that the EC, in its support programmes, has made efforts to identify discrimination or under-provision and strategies to overcome these. These sources appear to indicate that disadvantaged groups are being taken increasingly into account in education policy and in monitoring in the countries analysed. Some examples may illustrate that the issue is on the agenda, and that the EC, through various means, is trying to keep it high on the agenda:

- In some cases, projects are designed specifically with disadvantaged groups in mind, such as the NFPE BRAC programme in *Bangladesh*, whose medium-term strategy for 2004-2009 aims to focus exclusively on the hard-to-reach and/or ultra poor children.
- In *Cambodia*, EC support through targeted Budget Support was focused on the Ministry of Education. The support was directed in particular towards the design and implementation of its policies – for example, the Education Sector Strategic Plan or a policy on education for children with disabilities (March 2008). According to the EUD, all policies are linked to inclusive education, which, in Cambodia, covers people with disabilities, girls and indigenous communities (video conference¹¹⁶).
- In *India*, the Technical and Administrative Provisions (TAP) of Sarva Shiksha Abhiyan indicated that this programme fosters inclusive education, even in the case of children with severe disabilities. Planning data for such an inclusive policy is based on data collected from a household census (in contrast to DPEP, which was school-based) of the educational status of children from 0 to 14 years of age, combined with school mapping – both starting at the habitation level, which is below the village level. Through this, out-of school children – including those with disabilities, and those from SCs and STs – can be identified.
- In *Vietnam*, children from ethnic minorities and from remote areas have been supported through the ‘School Attendance Programme for Ethnic Minority Children in Bac Ha’ and the ‘Early Childhood Development in Remote Mountainous Ethnic Minority Communities in Northern Vietnam’ projects.
- In *Botswana*, equity issues are regularly discussed (at policy level) and, according to the CSE, there is now a higher degree of awareness about the problems of disadvantaged groups among policy-makers. It seems that these dialogues have played a role in shifting partner country agendas towards disadvantaged groups. Moreover, some of the sector support programme indicators have been better formulated for the 10th EDF – for example, with “regions with the highest drop-out rates” being analysed as an indicator, rather than merely “primary drop-out rates”. In relation to secondary drop-out rates, the indicators focus on the level of female drop-out.
- In *Niger*, the EC supported a project on access for children with disabilities to regular primary schools in the Niamey area. There are about 160,000 children aged 3 to 12 in the Niamey area, of which about 4,500 are have mental or physical handicaps. The main activity conducted by the project is the sensitisation of all stakeholders – from education authorities at the

¹¹⁵ The fact that NFE and equivalency programmes play a rather prominent role in Asia, as compared to other regions, is also underpinned by the results of the video conference: In Cambodia, a specific target of the 2007 SBS was the extension of non-formal education, which is a topic especially important in remote and rural areas in which indigenous people live. There, according to the EUD, the EUD is working closely with NGOs and civil society in order to improve access to remote schools.

¹¹⁶¹¹⁶ See also: PROMAN S.A. (2008): EC Sector Policy Support Programme (SPSP) - Targeted Budget Support to Pro-poor Basic Education Reforms in Cambodia (KHD/AIDCO/2002/0405). Final Evaluation. LoC N° 2008/159650. Framework Contract Beneficiaries – Lot 9.

The € 15 million EC grant was to support the system of Priority Action Programmes (PAPs) that were considered to be “pro-poor”.

ministry level to inspectors, headmasters and parents. In addition, it is organising training sessions for teachers to help them in the process of integrating pupils with handicaps into regular class. Before the project, about 60% of the target population was already enrolled in the schools of the Niamey area. The survey has estimated that a maximum of 80% could be included – the remaining 20% being too severely affected for inclusive education. After two years, the proportion has risen from 60% to 66% – slightly less than the expected objective. The next step for the NGO is to extend the project to rural areas, where the problem of inclusion of children with handicaps is more acute, with only 7% included in regular schools.

- In relation to children affected by HIV-Aids, the *Tanzanian* Primary Education Development Programme includes a component targeted at children with special needs, such orphans and Aids-affected pupils.

The effectiveness of programmes and activities targeting disadvantaged groups is difficult to assess as, in numerous cases, they are part of an integrated sector support approach¹¹⁷. In several cases, though complementary, parallel but complementary systems have been funded and implemented with NGO support. For example:

- In *Bangladesh*, within PEDP, mainstreaming of BRAC NFP into the education system is fostered, but equally the EC is supporting enrolment in the CHT.
- *Vietnam* was able to record significant impacts of EC-supported projects contributing to higher enrolment rates in primary and junior secondary schools – for example with the projects targeting the Northern Uplands. According to the CSE, the pro-poor approach of these projects has led to sustainable results in the form of newly-established schools, trained teachers, available materials, as well as, most importantly, highly motivated students and parents.
- Similar results were noted in *India*, especially through Sarva Shiksha Abhiyan and complementary provisions being supported through the Aga Khan Foundation for PESLE.

The following table sheds more light on some cases of EC support that have had an impact on enhancing access to education by disadvantaged groups, be it through improved policies or through implementing non-formal education programmes:

Table 19: *Some examples of how EC support dealt with “inclusive education”*

Country	Examples of EC support to inclusive education
Bangladesh	<p>In Bangladesh, the EC’s support to the non-formal sector served to target the poorest and the most hard-to-reach people situated in riverine char (small islands), coastal areas, haor (wetlands), tribal and hill districts. The support and intervention of non-governmental groups in the non-formal primary subsector enabled children with little or no chance of getting an education in school to become literate and to acquire life skills leading to enhanced personal development, as well as to occupational skills at a time when the formal sector was struggling to cope and these children would have been left out of the education system. BRAC alone helped 1.3 million children to be graduated during 2004-2009. Of these, 66% were girls, and a total of 9,624 children with special needs and 19,150 ethnic children.¹¹⁸</p> <p>According to the CSE, at the beginning of the 2000s there was no evidence that BRAC had actually reached the most vulnerable groups and the poorest in society. This changed during the NFPE 3 programme (2001-04) and beyond, as stressed by a 2009 MTR. The team emphasised that the project was successful in meeting a pressing need to provide children in difficult-to-reach areas (such as urban slums and Chittagong Hill Tracts) with high quality education. The three NGOs implementing the project successfully opened and operated schools, and thereby reached 330,000 of the most vulnerable children from poor households and ethnic minorities, and provided them with a full cycle of primary education. A ROM mission in mid-2008 concluded that a significant number of children without access to government-run schools had been provided with quality basic education.</p>
Vietnam	<p>The CSE for Vietnam demonstrated that targeted EC-supported projects in areas with large minority populations, such as the northern mountainous regions of Vietnam, can generate very positive impacts on making primary education more inclusive for disadvantaged groups. Vietnam was also aided by the drawing up of an Issue Paper, together with the SREM (Support to the Renovation of Education Management) project, on improving</p>

¹¹⁷ This is, for instance, also the case in *Jordan*, where the EC is the only SBS donor, and where, according to the focus group results, EC focus has been on vulnerable groups in the education sector. According to the EUD, EC support has made a real difference and added value.

¹¹⁸ NFPE was implemented by two other NGOs apart from BRAC. They are SCF and DAM (selected through a call for proposals).

Country	Examples of EC support to inclusive education
	<p>access and quality of primary education, in which minority concerns were made a priority for action. Access to primary education for children from disadvantaged groups in Northern Vietnam had been boosted through “The School Attendance Programme for Ethnic Minority Children in Bac Ha” and the “Early Childhood Development in Remote Mountainous Ethnic Minority Communities in Northern Vietnam” (2003-07) projects. New schools were built, teachers trained, school materials were obtained, and students and parents were motivated by the pro-poor approach. Indeed, the project in remote mountainous and ethnic minority communities has been such a success that it has been replicated in other districts of Vietnam.</p>
Namibia	<p>In Namibia, according to the ECA report, shortcomings are greater in the poorest areas of the country due to the current financing model, under which schools depend on parental contributions to the SDFs. In addition to the socio-economic disparities, considerable inequities persist between the majority of pupils in urban areas on one side, and Orphans-Vulnerable Children (OVCs) and children belonging to the San minority on the other side. Moreover, the difficulties in reaching the most disadvantaged children (orphans, vulnerable children, San children, and children living in remote areas), also with EC support through ESP implementation, have been underlined by the ECA report. Where regional statistics are available, they suggest that the provision of qualified teachers, textbooks and school facilities is most difficult in the poor areas. The main effect of the ESP contribution is that most of the legal and institutional framework has been now set up to enable ETSIP activities to be implemented. Of importance are the Orphans and Vulnerable policy, the revised Early Childhood Development Policy, the Textbook Policy, and the Vocational Education Act. These policies, which present institutional and financial challenges, have to be implemented. However, ECA indicates that the lack of indicators does not allow them to assess the improvements from the ESP in addressing inequalities, such as social, ethnic or regional disparities. Available indicators are not sufficiently disaggregated to allow the assessment of progress in the access to education and of achievements of learners from low-income households and from disadvantaged groups. ECA concludes that a major flaw in the ETSIP monitoring and evaluation system is the fact that it lacks adequate information for pro-poor policy and decision making. However, the need to develop disaggregated statistics to show access and achievement levels of learners from low-income households and disadvantaged groups is highlighted in ETSIP. The EMIS is currently being revisited to capture levels of disaggregation, notably in terms of orphans and vulnerable children.</p>
South Africa	<p>In South Africa, the priority in the education sector has been overcoming the historical disparities and addressing the educational provision for disadvantaged groups. In this context, the most significant marker of disadvantage is that of poverty, with South Africa currently having the worst income inequality in the world, as measured by the Gini coefficient. While there is significant overlap between poverty, rurality and race as markers of poverty, there are no specifically disadvantaged ethnic groups or remote communities. Poverty is concentrated in the rural and township communities of blacks, particularly among black Africans. Disadvantage in the South African context is therefore a disadvantage of the majority, as opposed to any special minority group. The work of the EC in the education sector focused on supporting government efforts to address these inequalities, disparities and backlogs in education service delivery.¹¹⁹</p>
Tanzania	<p>Between 1999 and 2006, the number of out-of-school children of primary school age in Tanzania decreased dramatically from over 3 million to under 150,000.¹²⁰ Based on the sector strategies (ESDP, PEDP and Secondary Education Development Plan), as well as on the studies prepared to support the 2006 Education Sector Review, the “Increased equitable, pro-poor and pro-vulnerable educational services” constitutes one of the expected results pursued by the Support to Education Sector Reform Programme 2006-2010 (9th EDF).</p> <p>According to the ECA Audit, the proportion of children with disabilities attending primary school (based on GER) slightly increased from 0.24% in 2006 to 0.29% in 2006-07 (0.33% for males and 0.24% for females). One of the Operational Targets of the National Strategy for Growth and Reduction of Poverty (NSGRP)/ MKUKUTA is the “increased proportion of orphans and other vulnerable children enrolled, attending and completing primary education from 2% in 2000 to 30% in 2010”.</p> <p>With a view to estimating the impact of the Education SBS allocation on disadvantaged groups, the Poverty and Human Development Report 2009¹²¹, as quoted by the ECA report, provides a mitigated picture by stating: “Poor rural children have benefited from the expansion of education, but the analysis of the Household Budget Survey data shows</p>

¹¹⁹ Country Note South Africa

¹²⁰ JRM 2009

¹²¹ Poverty and Human Development Report 2009, Research and Analysis Working Group, MKUKUTA Monitoring System, Ministry of Finance and Economic Affairs, United Republic of Tanzania, December 2009

Country	Examples of EC support to inclusive education
	<p>that the least poor continue to benefit disproportionately from government spending in education.”</p> <p>With regard to direct support to disadvantaged groups, the EC contributed an amount of € 0.75 million to the project “Youth With Disabilities Community Programme” with Fida International (2005 –2011) and € 0.24 million to the project “Promoting Access to Education for Deaf Blind and Multiply Disabled Children in Tanzania” with Sense International. According to ECA report, the project with Sense International supporting the access of deaf-blind children has largely achieved the planned results. For ECA, the low proportion of children with disabilities in primary schools demonstrates the particular need for such activities, and the report insists that the results of this project might encourage the government to pay more attention to these groups at the national level.</p>
Dominican Republic	<p>As reported in the Country Note, several steps have been taken by the Government of Dominican Republic to foster inclusive education with regard to girls and boys with special needs. Furthermore, teachers have been trained with the aim of providing knowledge and mainstreaming appropriate methodologies for improving learning opportunities for the disadvantaged, and international agreement have been signed with Cuba, Spain and UNESCO. The Strategic Plan for the Development of Education has established the “Strengthening education for diversity” programme, aimed at promoting inclusion and permanence in the education system of girls and boys at risk for cultural, economic, social and personal reasons. This programme is based on five strategies, including: the promotion of strategic alliances with private and public institutions that work with vulnerable layers of the population to provide integral attendance; the widening of coverage and strengthening of the service offered by centres for special education; and the design and implementation of action likely to allow schools to offer an effective response to vulnerable people.</p>
Tunisia	<p>The analysis made by the Country Note for Tunisia shows that the country has moved from a situation in which physically handicapped children were accommodated in specialised institutions to an “inclusive approach” policy whereby children with handicaps are enrolled in regular schools. Under the EC support to basic education, a plan for making school facilities appropriate for children with handicaps (for example, wheelchair users) has been developed. Every year, 50 schools are rehabilitated to make them accessible to handicapped children, at a cost of 1.2 million dinars (€ 635,000). In addition, specific efforts have been carried out in deprived areas to meet the needs of schools that did not have access to electricity, safe drinking water, or heating systems in winter. The EC has supported a programme of equipment, by having set up a conditionality that has subsequently been considered as satisfactory. School conditions in remote rural areas have therefore improved significantly.</p>
Pakistan	<p>The CSPs and NIPs strongly advocate assistance to the Government of Pakistan in its efforts to accommodate MDG2 targets through ensuring access and quality primary education for all youth, especially girls and those living in rural remote and disadvantaged areas. The Northern Areas and Chitral are regions with substantial amounts of special target groups and out-of-school-children. As analysed by the Country Note for Pakistan, the Northern Pakistan Education Programme, implemented by the Aga Khan Education Services, improved access, quality and sustainability of education for in-school and out-of-school children, including girls. It resulted in increased gender equity and participation of communities in the Northern Areas and Chitral. Moreover, the programme arranged for NFE opportunities for some 22,486 mainly female and out-of-school children.</p>

The case of *India* shows that sector support, followed by SBS with an emphasis on selective states and backward districts, combined with project support to an NGO reaching out to hard-to-reach, assisted the Government of India to break through thick separation walls between mainstream Hindu groups and scheduled castes and tribes often living in remote areas.

Box 13: *India: How EC support assisted the government of India in reaching out to disadvantaged out-of-school youth*

In India, the lack of any external evaluation of EC support to DPEP proved detrimental to gaining insight into the degree to which the scheme adopted the type of pro-poor approaches fostered by the EC, including decreasing gender disparities, out reach to out-of-school children, and reaching out to scheduled castes (SCs) and scheduled tribes (STs). As an analysis of project-related documents revealed¹²², mainstreaming NGO approaches was the main thrust of the EC-supported PESLE project: mainstreaming innovative, small-scale experiments carried out by NGOs into the larger government and other systems, with a particular focus on marginalised and disadvantaged children. Moreover, drawing in marginalised groups and keeping them in the system in order to achieve universal education targets, is one of the key thrusts of the Sarva Shiksha Abhiyan programme. ROM monitoring reports indicate that the programme has made considerable inroads in respect of collaboration with government, specifically in

¹²² CSP India 2002-2006; Final Evaluation PESLE

those areas (urban and rural slums) that would normally remain untouched by government.

The EC supported DPEP/Sarva Shiksha Abhiyan in the state of Madhya Pradesh, which is one of the largest states in India, with the largest share of disadvantaged minorities, with SC and ST populations often living in small and sparsely-populated remote settlements. Here, the state government launched the EGS, a community-centred and rights-based initiative to universalise primary education. The scheme guaranteed the provision of a teacher, teacher salaries and training, teaching and learning materials and contingencies to start a school where there was a demand from a community without a primary schooling facility within 1 km of the community, provided that this demand came from 25 learners in the case of tribal areas and 40 in the case of non-tribal areas. The Commission Staff Working Document (2010) noted that the number of out-of-school children aged 6-14 was reduced from 25 million to 14 million between 2001 and 2006 in India as a whole, and the percentage of girls out-of-school declined from 7.9% in 2005 to 4.6% in 2009. This was partly due to the investment of over € 3 billion in the DPEP and the Sarva Shiksha Abhiyan education programme, to which the EC has contributed around € 350 million.

2.5.2.2 I-242: Flexible schooling for special target groups (e.g. nomadic groups, remote area dwellers)

Special target groups such as nomads, fishermen, working children and remote area dwellers are often excluded from access to primary education because they cannot be traced or reached, because they are mobile, or because scheduled timetables are not in line with their availability and requirements. Nomads constitute about 6% of the total population in Africa and are found in some 22 African countries.

In the *Dominican Republic*, according to the Country Note, a study for IADB¹²³ highlights that policies aimed at increasing the flexibility of schooling intended to encourage students to return to school have an important role in improving access. Policies such as providing three shifts (morning, afternoon and evening), which is especially the case in rural areas, cause some problems, but do have the benefit of enabling young people to continue to work while also attending school.

Analysis of data for the sample countries revealed only one example – in *Somalia* – where the EC intended to focus on nomads as a special target group. The EU-Norway Somalia JSP for the period 2008-13 puts education among the strategic objectives: “*Strengthen or establish the education institutional frameworks for the delivery of accessible and good quality education for all Somalis, including formal, non-formal and Islamic education. A sector-wide approach to education will aim to provide access to broad-based education for all children and for adults who have missed out on education because of conflict, instability and inadequate or non-existent government institutions. Activities in this sector will focus on improved delivery of basic formal and non-formal education for children and adults. This will include literacy training, education support for nomadic groups, internally displaced people, etc.*”

Several strategies and pilot initiatives by projects implemented by NGOs are applied to these target groups, including mobile schools, boarding schools, flexible timetables per day and year, and incentives for teacher deployment. However, given the emphasis on sector support, it is up to the government to focus amid scarce resources on these target groups and approaches.

¹²³ Alvarez, Carola (2004): La educación en la República Dominicana - logros y desafíos pendientes. In “Serie de Estudios Económicos y Sectoriales Washington: Inter-American Development Bank.

3 EQ3-secondary: To what extent has EC support to education contributed to improving transition to secondary level (both lower and upper)?

Enrolment in primary education sharply increased between 2000 and 2007, but completion still lags behind. Many children who have completed primary education still do not avail themselves of opportunities to proceed to secondary education and acquire competencies that will later help them to find gainful employment. Thus, the EFA's view of Basic Education incorporates lower or junior secondary education, and would constitute a minimum package of learning required to proceed to further education or employment. As stated by World Conference Education for All (WCEFA) in 1990¹²⁴: *"Every person – child, youth and adult – shall be able to benefit from educational opportunities designed to meet their basic learning needs."* In many countries, this expanded view of Basic Education has been adopted under different terms – for example, elementary education in India, which constitutes the expanded scope of Sarva Shiksha Abhiyan, compared to the District Primary Education project (DPEP). The challenge is whether children everywhere can complete primary education of sufficient quality, and whether they can continue learning in lower secondary education as a foundation for meeting their basic learning needs. In many developing countries and in most Sub-Saharan African countries, these challenges are far from being met.

The Commission Staff Working Document, "More and Better Education in Developing Countries"¹²⁵, points out that achieving the MDG of Universal Primary Education is not sufficient, and that all children need access to quality education at all levels. Primary education is no longer enough to ensure personal prosperity, and a balanced education sector is necessary for national growth.

This question assesses whether partner countries supported by the EC have moved towards EFA's expanded view of Basic Education, indicated by the success of the countries in improving transition rates (internal efficiency) from Primary to Lower Secondary to achieve EFA. Given progress made in many countries towards universalising primary education, the necessary policies, strategies and linked facilities, staff and financial resources have to be generated to meet increasing demands of students for further education. A focus on secondary education thus becomes an increasingly relevant issue and demands specific attention in the context of the various implementation modalities of a Sector Policy Support Programme.

The EQ also assesses transition from Lower (Junior) Secondary to Upper (Senior) Secondary (internal efficiency), which is important when considering the linkage between education, skills acquisition and employment (external efficiency). This external efficiency is central and relates to one of the most crucial impacts of EC assistance to education, as incorporated in the intervention logic (see Annex 20). It is well-described for *Tunisia* in the EU-Tunisia CSP 2007-13 and NIP 2007-10, which indicate that the major problem identified in the education sector is linked to the employability of school leavers at all levels. The document laments the fact that the gateways from general education to vocational and technical tracks do not work properly, and accommodate too few candidates. Numerous attempts at reform have been made in the past, but without significant success. EC support to basic education had also aimed at improving the quality of secondary education, as Tunisia had already achieved the objective of Education for All, as well as gender parity, by 2000.

In interpreting data, reference will be made to judgment criteria related to the capacity within the school system to accommodate increased numbers of students. This has implications for financial, infrastructural, human resourcing (e.g. teacher training and deployment) and equity (e.g. regional disparities) issues, as well as strategies to increase places (e.g. double shifts). The answer to this EQ is thus built on the following JCs:

- JC31: Internal Efficiency of the school cycle from Primary to Lower & Senior Secondary
- JC32: Capacity of secondary institutions to accommodate potential enrolments and to meet expected rise in demand for enrolment (especially at lower secondary level)

¹²⁴ World Conference Education for All (WCEFA), Jomtien, 1990

¹²⁵ Commission Staff Working Document More and Better Education in Developing Countries, Sec (2010)121 final

3.1 JC31: Internal Efficiency of the school cycle from Primary to Lower & Senior Secondary

Transition rate to secondary education	Transition rate to secondary refers to the number of new entrants to the first grade of secondary education (general programmes only) in a given year, expressed as a percentage of the number of pupils enrolled in the final grade of primary education in the previous year.
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To measure internal efficiency, the "Transition Rate from Primary to Lower Secondary, and Upper" is taken as a proxy indicator.

3.1.1 Internal efficiency trends related to lower secondary education

The Commission Staff Working Document on MDGs¹²⁶ notes that, at the current rate of progress, the world in general is edging closer to universal primary education, but too slowly to meet the 2015 target. The Commission Staff Working Document, "More and Better Education in Developing Countries", states that whereas the primary school completion gap between rich and poor countries has diminished, the gap in secondary education, in proportion to the population, has widened in the last 40 years.¹²⁷ Reference is made to private participation in the financing of education infrastructure and service provision, which is particularly the case in secondary education and higher education.¹²⁸

The problem of targeting secondary education is exacerbated by the fact that it has not featured strongly in the educational agenda of developing countries¹²⁹. The study notes, however, that this position is beginning to change, particularly in those countries where near-universal primary school enrolment is creating pressure at higher levels.

Worldwide, 85% of children in the last grade of primary school proceed to secondary schools. However, generally speaking, few children in **Africa** continue their education beyond the primary level.

As a general pattern, and in line with extended periods of compulsory schooling, basic education (including lower secondary) is attained by the great majority of children in industrialised countries, **Eastern Europe** and **CIS**, **Latin America** and the **Caribbean** and in the **Middle East** and **North Africa**. Only two regions have transition rates below the regional average of 85%: **Southern Africa** (67.1%) and **West and Central Africa** (52.4%). Transition to secondary education is done by boys and girls alike (strong gender parity), whereas in **South Asia** a "survival of the fittest" pattern is found, with girls under-represented among those completing primary education, but over-represented among those progressing to secondary education. In **West and Central Africa**, girls are under-represented both in enrolment and in progression to secondary, and are being kept in a situation of despair.

When interpreting the transition rate to secondary education, the PCR and the GER in lower secondary education need to be considered. When transition rates are high, combined with a low PCR, this means that the throughput from primary to lower secondary becomes very low. A second mode of comparison is with the lower secondary GER. This illustrates the degree to which transition has significantly boosted the demand for lower secondary education places, as indicated by a substantial increase in the GER for lower secondary education.

The following table shows the link between students completing primary education (PCR), whether they progress to lower secondary or not (transition rate – TR), and the implications in terms of gross enrolment rate in lower secondary education (GER).

¹²⁶ Commission Staff Working Document, Progress Made on the Millennium Development Goals and Challenges for the Road Ahead, Sec (2010) 418 final

¹²⁷ Reference is made to World Bank 2005, Expanding Opportunities and Building Competencies for Young People: A New Agenda for Secondary Education.

¹²⁸ This need to mobilise all resources is also stressed for all MDGs by the Commission Staff Working Document Progress made on the Millennium Development Goals, Sec (2010) 418: The scale of the challenge for attaining MDGs requires mobilising the participation of all actors and all sources in complementary ways. While governments have primary responsibility for delivering MDG progress, private actors can complement public interventions in designing, delivering and financing specific actions

¹²⁹ Figueredo, Vivian and Anzalone, Stephen (2003): Alternative models for secondary education in developing countries: Rationale and Realities. American Institutes for Research, January 2003.

Table 20: Primary Completion Rate, Transition Rate to secondary education level, Gross Enrolment Rate to lower secondary (in %, sample countries, 2000 and 2007)

Country Name	Year 2000			Year 2007		
	PCR	TR	GER	PCR	TR	GER
ASIA						
Bangladesh	59		60	58 ⁴	95 ³	62
India	72	88	62	94	86 ⁴	76
Indonesia	98 ¹	77 ¹	71	108	99 ⁴	93
Tajikistan	95	97	84	95	98 ⁴	95
Vietnam	96	94	79			
Sub-Saharan Africa						
Botswana	91	95	88	99 ⁴		91 ⁴
Burkina Faso	25	37	14	34	54	21
Ghana	66 ¹	81	60	78	90	72
Mozambique	16	40	9	46	56	26
Niger	18	31	8	39	45	15
South Africa	87	93 ¹	97	86	93 ⁴	94
Tanzania	55 ¹	20		83		
Uganda	58 ¹	38	20		59 ⁴	28
Caribbean						
Dominican Republic	75	89	63	88	90	81
Jamaica	87	96	93	89		94
Latin America						
Argentina	100	81	103	100 ⁴		103 ⁴
Nicaragua	66		60	75		78
European Neighbourhood countries						
Tunisia	88	74	103	102		116
Russian Federation	94		92	94		82
Fragile States						
Eritrea	36	82	39	47	78*	65
Somalia						
Pakistan		74 ²	32 ²	60	73	45
Occupied Palestinian Territory	103	95	88	83	97 ⁴	98

¹ = Total in 2001, ² = Total in 2003

³ = Total in 2005; ⁴ = Total in 2006;

PCR = Primary Completion Rate, TR = Transition Rate, GER = Gross Enrolment Rate

Source: World Bank Edstats

From the table, the following can be derived:

Asia

In *Asia*, *Bangladesh's* progression rate was surprisingly very high, at 95%, but the PCR was low, and the GER of 62% indicates a lack of throughput to lower secondary. There has been a relatively rapid expansion of secondary education since 2000, accompanied by a growth in enrolment of girls as a result of social mobilisation, and incentives such as stipends and tuition waivers for rural girls.

In *India*, retention, completion and progression to lower secondary have significantly improved through DPEP, supported by the EC, and especially through its successor, *Sarva Shiksha Abhiyan*, covering elementary education and backed by making elementary education compulsory and free (see EQ2, JC23). The PCR and transition rate have slightly decreased, but the GER gained a solid 14 points between 2000 and 2007.

Indonesia has made solid progress in retaining primary students, and almost all of them proceeding to lower secondary. In 1994, *Indonesia* expanded its definition of basic education to include nine years of primary and lower secondary education, and declared the ambitious target that all children aged 7-15 would receive basic education by 2004¹³⁰. This target was not achieved, but in 2007, *Indonesia* was well on its way of universalising basic education for all.

¹³⁰ See Figueredo and Anzalone (2003)

In these countries, the EC has participated in education sector support programmes that may have contributed to those developments (see below). *Tajikistan* continues to have a very good transition rate, at 98% in 2007, and continues with near universalisation of basic education, given high PCR and lower secondary GER.

Sub-Saharan Africa

In *Sub-Saharan Africa*, *Botswana*, *South Africa* and *Ghana* combine a high transition rate with a high PCR and solid enrolment in lower secondary education, exemplified by the GER. The trend in these countries is moving towards the Asian countries represented in the desk study. Botswana and South Africa are upper middle-income countries. Ghana, even though still being ranked as a low-income country (IDA), has accelerated development at a good pace. EUD Botswana indicated in its reply to the survey that secondary education constitutes a substantial slice of EC support to the education sector (22%). Interestingly, the CSE evaluation made the point that even though Botswana has very high transition rates compared to most countries, recent findings hide the fact that nearly 20% of each cohort of primary school pupils is lost during the primary school cycle. There was some degree of experimentation with double shifts in order to increase the intake capacities of the existing secondary schools, but this led to poor exam results.

There are also countries – such as *Niger*, *Burkina Faso* and *Mozambique* – that are a long way from meeting the MDG2 target, replicating this pattern for lower secondary with low GER, combined with still low PCR and low transition of the relatively few proceeding through primary education (even though at improved levels in 2007, compared with 2000). While the PCR is low, progression to lower secondary among those completing primary education is also low, leading to small numbers of pupils at lower secondary education level, which is reflected by low GERs in *Niger* (15%), *Burkina Faso* (21%) and *Mozambique* (26%). In *Niger*, according to the Country Note, the completion rate has not improved since 2003-04. It is stable at the extremely low level of 9% and, consequently, the GER in lower secondary education is also stable at the 16% level of 2005-06. The transition rate to lower secondary has slowly increased from 17% in 2001-02 to 23.9% in 2008-09. The pattern within these countries is characterised by extremely high wastage, and hence low internal efficiency.

Even though *Uganda* has higher primary net and gross enrolments, the transition rate is still low, and lower secondary GER (28%) has not made a significant leap forward compared with 2000 levels. Performance of the rounds of the EC's PABS 4 and PABS 5 in EDF 8 and 9, with indicators also related to secondary education, appears to be at least far from optimal.

Caribbean

In *the Caribbean*, the transition rate from primary to secondary in the *Dominican Republic* (Country Note) was 89.9% in 2008, compared with the 87.8% in 2002. This slight improvement over the period under evaluation is the result of a steady increase in the rate until 2006 (up to a maximum of 95.8%) and then a subsequent decline to the current rate. In the same way, the budgetary increase for school equipment and learning materials, as well as the improvement in school management, has contributed to improving the internal efficiency of the education sector and to increasing the positive transition from primary to secondary.

Latin America

In Latin America, the transition rate data for *Nicaragua* was not available, but, in general, it lagged behind the Latin American pattern, with a GER of 78% and a PCR of 75%, while for *Argentina* it may be said that lower secondary for all has been achieved.

European Neighbourhood countries

In some countries, especially European Neighbourhood countries, strong moves forward have been made in accommodating demand for secondary education. In *Tunisia*, transition to lower and upper secondary levels is no longer limited by lack of facilities, as happened in the 1990s. The supply of places at both levels is sufficient to accommodate all candidates. Overall, the secondary education track record in the country is excellent, with a GER of 116 and a PCR of 102. The transition rate from primary to lower secondary is about 87%, a high level by international standards, and one of the highest among countries at the same level of development. The 13% of pupils who do not have access to the seventh grade are either enrolled in professional schools or drop out.

Fragile States

If the *Eritrea* statistics are reliable, then strong advances have been made, especially in lower secondary GER – from 39% in 2000 to 65% in 2007. The PCR is still low (47%) but the progression to lower secondary among those completing primary is relatively high. The reason for the rise in GER is unclear, unless it is caused by large numbers of delayed entrants as a result of lower secondary schools

having been constructed. The Education Sector Development Programme (2005) states that over the next five years the transition rate from middle school (Grade 8 leavers) to secondary education is supposed to increase from 60% to almost 80%. The number of students enrolled in secondary education is projected to increase by 66,750 (an increase of 96%), raising the gross enrolment ratio from 23% to 34%. The total enrolment of girls is expected to increase substantially, by 34,800 students over the ESDP period. This will be sufficient to lift the female gross enrolment ratio from 16% to 30% – an increase of 89%. Within total enrolment, even greater progress is expected in the enrolment of age-appropriate females (age 15-18). The net enrolment ratio at secondary level is expected to more than rise from 11% to 30% – an increase of 166%.

In *Liberia*, 102,642 students are enrolled in junior high schools (as against 539,887 in primary schools). Junior high school enrolment is unevenly distributed across the education districts and counties, with more than half of all students enrolled in junior high schools found in Montserrado County. Junior high schooling is officially for children aged 12 to 14, but almost 88% of children enrolled are above the age of 14.¹³¹ In *Somalia*, education is organised into four years of primary education and four years of intermediate, followed by four years of secondary education. Secondary education shows a GER of less than 2%, with under-representation and underperformance of girls.

Pakistan lags far behind, with low PCR and low transition leading to a GER of 65% – comparable with Bangladesh. Transition rates in Pakistan from primary to lower secondary have slightly improved over the period under evaluation

Considering all the intricacies of its situation, the *Occupied Palestinian Territory* is adequately fostering the provision of secondary education.

3.1.2 Internal efficiency trends related to upper secondary education

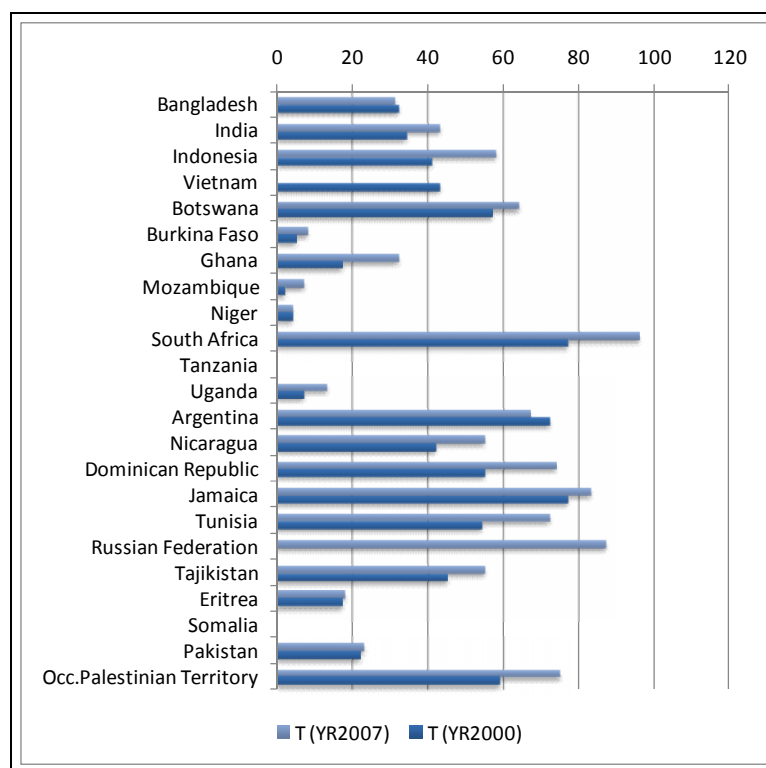
Secondary education in general and upper secondary in particular play an important role in building up a skilled work force. However, **upper secondary education** GER remains very low in **low income countries, Sub-Saharan Africa** and **South Asia**, while high participation is noted in middle-income countries. The country pattern observed in relation to transition to lower secondary, and hence progress made towards universalising basic education, seems to be strongly determined by the state of economic development and the progress made towards achieving MDG2. This pattern is even strengthened for enrolment in upper secondary, where middle-income countries have made progress, while upper secondary in LDCs remains reserved for a privileged minority. Socio-economic status of countries and, within poor countries, class and family income determine access to upper secondary as a gateway to skill development and higher education. Poor countries, especially in Sub-Saharan Africa, provide very limited access to upper secondary, with low GERs in countries such as *Niger* (4), *Burkina Faso* (8) and *Mozambique*, while much greater participation is noted in middle-income countries such as *South Africa* (96), *Botswana* (64), and in **Caribbean, Latin American** and **European Neighbourhood countries**.

Even though good cost calculations are lacking, it is understood that expanding upper secondary education is much more expensive than lower secondary, which requires less specialised teachers and classrooms.

From the figure below, the following trends can be distilled:

¹³¹ Government of Liberia, Ministry of Education (2008: A system in transition: The 2007/08 National School Census Report.

Figure 7: Gross Enrolment Rates in upper secondary education, 2000 and 2007 (sample countries)



For *Russian Federation* and *Pakistan*, totals indicated for 2001 represent figures from 2002; for *Botswana* and *Argentina*, totals indicated for 2007 represent figures from 2006.

Source: World Bank Edstats

Asia

In *Asia*, *Pakistan* (23) and *Bangladesh* (31) particularly lag behind, and have consolidated between 2000 and 2007 rather than improved. Compared to upper secondary education in *East Asian* countries, *India*, while performing well at primary completion and transition to lower secondary (within elementary), lagged behind several of these countries in terms of upper secondary education GER (43), including *Indonesia* (58).

Sub-Saharan Africa and Caribbean

In most *Sub-Saharan African* countries, upper-secondary education provision is characterised by a low GER – hence, it is reserved for the "privileged minority". This applies very strongly to *Niger*, *Burkina Faso* and *Mozambique*, and, to a lesser, extent *Uganda*. In *Niger*, the GER at senior secondary level is as low as 3.4% and has not improved since 2003-04. The situation for senior secondary education is clearly alarming.

In contrast, *South Africa* has a GER at senior secondary level of 96% – the highest among the desk study countries – while most students in *Botswana* also proceed to upper levels of secondary education. The Botswana CSE states that the transition rate from junior to senior secondary level has steadily increased from 49% at the beginning of the National Development Plan (NDP9) in 2003 to 67% in 2008. The target was to increase the rate to 70% by the end of the plan in September 2008. Unfortunately, according to data recorded in 2009, the transition rate is down to 57%. *Ghana* has made great progress in almost doubling its GER from 17% to 32%.

In the *Dominican Republic*, the GER (74%) significantly increased between 2000 and 2007.

Latin America

Argentina's track record is far less impressive in upper secondary (67%) than in lower secondary, and it has a lower GER than *Jamaica* (84%). Progress in *Nicaragua* (55%) follows a sluggish pattern.

European Neighbourhood countries

Russian Federation scores well (87%), and *Tunisia* has made solid progress between 2000 and 2007 in expanding upper secondary enrolment (72%). The transition rate to senior secondary in Tunisia is

high, with about half of each generation having access to the 10th grade. There are enough places to accommodate all eligible students, on the basis of a final exam that measures the prerequisites for being able to follow the second cycle curriculum. It should be noted here that the pass rate of girls is significantly higher than that of boys (parity index of 1.34).

Fragile States

Figures for *Eritrea* in the period under evaluation show an upper secondary GER significantly higher than that of other LDCs in Sub-Saharan Africa.

In *Liberia*, 55,600 students are enrolled in senior high schools nationwide (as against 102,642 in lower secondary). Together, Private and Mission Senior High Schools account for 67% of all enrolled students.¹³²

In *Somalia*, the secondary education GER is extremely low (see under lower secondary). It is clear that this is one of the consequences of the civil war at the beginning of the 1990s, which resulted in the damaging or complete destruction of primary and secondary schools.

Pakistan (23%) lags behind, having only consolidated between 2000 and 2007, rather than improved. As with lower secondary, the *Occupied Palestinian Territory* also scored well in upper secondary (75%).

3.1.3 Trends in EC support to secondary education and contribution to improvements

EC support is demand-based and builds on the capacity of partner governments for ownership of their own reform agenda. Hence, the partner country has to assign priority to secondary education as a specific subsector or as part of a sector-wide approach, identifying access, quality and staffing requirements, and costing these. Moreover, the partner country has to identify existing provision, including private provision, and determine its role towards all providers (in terms of accreditation, quality maintenance and monitoring).

Partner countries and the EC both face a dilemma as to whether to resolve the problem of access and quality in primary education before placing secondary education on the agenda, or to pursue both goals simultaneously. Given government ownership of reform and support, that dilemma is particularly relevant to the EC, in terms of its role being to support government policies or to encourage required shifts in emphasis towards basic education through dialogue.

In understanding trends in EC support to secondary education, some constraints – which may, in some cases, be legacies of the past – have to be addressed:

- **Changing definitions of secondary education:** Increasingly countries are adopting the EFA extended view and define basic education as primary education plus lower/junior secondary. That is sometimes called elementary education, followed by secondary education, which means upper secondary education in the commonly used definition. This has implications for statistics. What is called secondary education in the context of this evaluation may in some partner countries refer to a combination of basic education and secondary education.
- **Capturing secondary education in Common Relex Information System (CRIS):** Given the extended scope of basic education, CRIS may under-estimate EC support to secondary education under the ambiguous term of basic education. This will apply to sector support programmes with sector-wide approaches covering both primary and lower secondary, or primary and lower and upper secondary.
- **Capturing sub-sectoral allocations to lower secondary within sectoral budget support and sector support programmes.** It has proved difficult to get a clear insight into sub-sectoral allocations, even though an MTEF should be the instrument for predicting resource allocations for lower secondary. However, education budgets are complicated due to the separation of salary from the recurrent budget (outside the MTEF).
- **Capturing the effect that compliance to indicators related to secondary education-in GBS has on the budget for secondary education programmes.** In countries where secondary education policies are operational, GBS may include indicators related to secondary education as a basis for disbursement of part of the variable tranche. If there is compliance, then disbursement may take place to the Ministry of Education, and subsequently to the unit or programme for secondary education. Both these steps are difficult to monitor. That applies to a much lesser extent to indicators related to variable tranche release in SBS programmes.

¹³² Government of Liberia, Ministry of Education (2008): A system in transition: The 2007/08 National School census report

- **In many countries, the private sector is a strong actor in terms of secondary education provision.** The position of the EC vis-à-vis support of both public and private actors in education delivery is not crystal clear.¹³³

In countries with low primary enrolment and completion rates, partner governments – and hence EC efforts, given the scarcity of resources – have mainly concentrated on universalising primary education. This is the case in almost all Sub-Saharan African countries, and also *Ethiopia*¹³⁴. Moreover, secondary education has traditionally been much less of a focal area for government intervention, and much more of an arena for private provision, which may not cater for equity considerations. *Bangladesh* is one of the countries where the private sector is almost dominating secondary education (Bangladesh Country Note), and where the core issue facing secondary education is one of governance. The vast majority (more than 95%) of secondary schools in Bangladesh (including the Madrasah, Islamic religious schools), are private non-governmental institutions. Secondary education is, therefore, a private sector business.

As can be deduced from the inventory data alone, EC support to secondary education has not constituted a major focus of support in the period 2000-07. EC support to secondary education in the sample countries is shown in the table below. Only four out of 23 sample countries benefit(ed) from EC support geared directly only towards secondary education; the support to the SBS in *Tunisia* was the only significant EC support, accounting for 97.5% of the total EC support to secondary education. This support focuses especially on lower-income and middle-income countries, and where partner countries have increasingly given priority to secondary education through moving towards a sector-wide approach in education. In most cases, the support is small, both in absolute terms and in proportion to the overall support that is the subject of this evaluation. Apart from *Tunisia* (SBS), only *Niger* (support to a private secondary institution), *Bangladesh* (PROMOTE) and *Russian Federation* received direct EC support to secondary education.

Overall, as highlighted in the inventory, the total EC support directly to secondary education only amounts to €41.5 million, which is 2% of the total directed towards basic and secondary education (3% for the sample countries), with most of that directed towards the secondary education SBS in *Tunisia*. It should be noted that this SBS is the only one that could be identified, and that the figure mentioned does not include other forms of SBS and SPSPs where secondary education is only part of the support. For instance, lower secondary education is often part of sector support programmes, and, therefore, it is difficult to quantify specifically the share of EC support to secondary education in such a situation. Similarly, it is also difficult to quantify exactly EC support to secondary education that is integrated in support to sector programmes. Examination of logframes and TAPS during field visits did not yield further insight into this. EC support to SWAps incorporating junior secondary as well as primary education – for example, in *India*, *Pakistan* and *Indonesia* – has been noted. Even though EC allocations to secondary education in partner countries will be larger than the small direct support, the EC contribution to secondary education is still very low, given higher enrolment and completion rates and huge demands for investments and policies in many countries that are gradually shifting emphasis from primary to secondary education.

¹³³ COM(2002) 116 final says: “The importance attached to actors in the education sector also means that account has to be taken of the “private sector” of education which may in some countries make a major contribution to the quantity and quality of education, especially outside the formal education system.” Also the Commission Staff Working Document More and Better Education in Developing Countries, Sec (2010)121 final, is rather silent in that regard.

¹³⁴ See video conference where the EUD representatives expressed that “Due to the important need to support primary education in Ethiopia, secondary education issues have not really been tackled. But the EUD is convinced that secondary education will be indirectly concerned by the actions funded in the primary education sector in the future.”

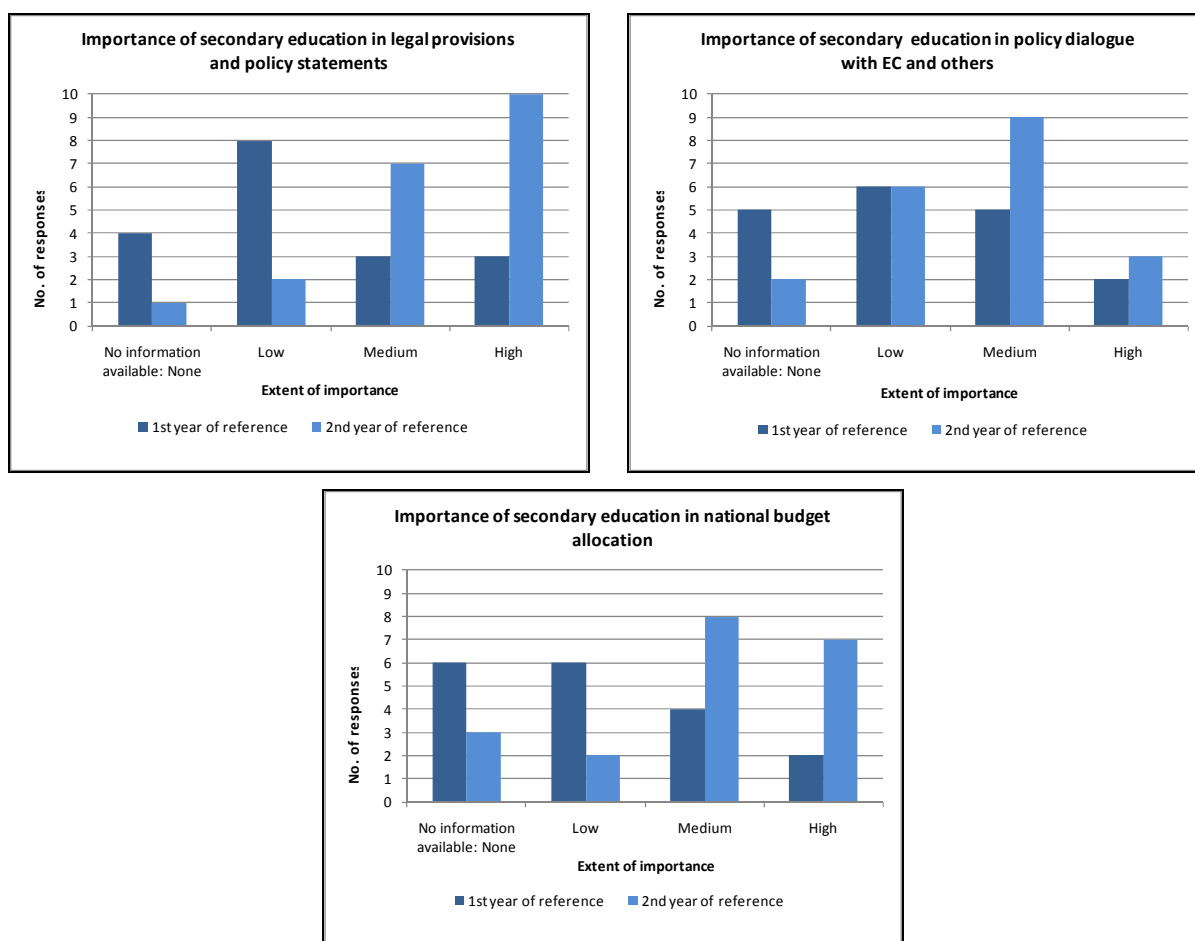
Table 21: EC support (in €) to secondary education (2000-07), sample countries

Country Name	Secondary Education	Total scope of evaluation	Share
ASIA			
Bangladesh	150,370	140,865,186	0.11%
Sub-Saharan Africa			
Niger	458,336	9,372,679	4.89%
European Neighbourhood countries			
Tunisia	29,889,624	69,684,099	42.89%
Russian Federation	153,100	6,815,430	2.25%
Total	30,651,431	1,133,150,477	3%

Source: Inventory

In a sense, the rather limited EC support to secondary education reflects partner governments' often relatively limited emphasis on secondary education. It seems that this issue is beginning to be addressed, as the following figures indicate. They reflect findings from the EUD survey expressing the EUD's perception of governments' emphasis on secondary education issues in legal provisions and policy statements, in their budget allocations to secondary education, but also in the role secondary education plays in the framework of policy dialogue (for details see Annex 3). They confirm shifts in the perception of secondary education between the two programming periods covered by this evaluation.

Figure 8: Results of survey to EUDs: Perceptions on importance attributed by national governments towards enhancing secondary education



Source: EUD survey

Note: The question left open to respondents which "1st year" they wanted to refer to, so the basis for the answer is somewhat heterogeneous. However, most of the answers (10 out of 18) refer to 2002, followed by 2003 (three out of 18) – indicated in the table as 1st year of reference). The same applies to the second period of reference: most answers refer to 2007 (9 out of 18), followed by 2008 (7 out of 18) – indicated in the table as 2nd year of reference).

While the EUD survey stressed **the role of the EC in encouraging sector dialogue as the most important EC added value** (*Nicaragua, Uganda and Pakistan*) with regard to support to secondary education, and respondents rather indicated that the EC is not very active in the subsector of secondary education (*Vietnam, India and South Africa*). This mixed perception should be put into perspective: several sector support programmes, such as in *Botswana, Pakistan, India and Tunisia*, have applied a sector-wide approach, extending provision, in *India*, from primary to elementary education, thus covering what is usually referred to as lower secondary. In *Pakistan*, the scope of the SEPSP ranges from pre-primary to upper-secondary. In *Botswana*, sector policies have applied a SWAp-type approach, and basic and upper secondary education are within the realm of sector programmes.

As for **EC support to secondary education through projects**, only in exceptional cases – such as *Niger* – has the EC provided direct support to secondary education; through the NGO co-financing budget line, the EC supported a private secondary school in Niamey (Mariama college) with a large female attendance¹³⁵. This private school had been facing serious financial difficulties due to the withdrawal of a former source of income. If closed, it would have created a deterioration of female participation at secondary level, but the EC contribution helped the school to survive. According to numerous sources, Mariama appears to be the institution providing the best education opportunities for girls in Niger.

However, from the analysis made, it appears that in cases where partner governments are giving priority to secondary education, **SBS and GBS variable tranches will usually incorporate indicators related to secondary education outputs/outcomes**. Among the sample countries, *Burkina Faso, Dominican Republic, Ghana, Jamaica, Mozambique, Niger, Tanzania and Uganda* have received GBS with reference to the education sector (see also EQ9). In the release triggers for the **flexible tranches, the most typical performance indicator in the education sector is net primary school enrolment rate, usually gender-disaggregated. PCR is also a typical indicator**, but sometimes the Transition Rate from Primary to Lower and Upper Secondary constitutes one of the performance targets of EC support and government programmes – as, for example, in *Uganda and Tanzania*.

When looking at the sample countries, it appears that **those countries receiving substantial SBS funds had rather a limited focus on secondary education**, apart from *Tunisia* and countries that have SWAp-like approaches, such as *India and Pakistan*:

- One of the sub-programmes (DLIs) in the Sindh SBS in *Pakistan*, called “Stipends for girls in public schools”, is specifically aimed at enhancing enrolment of rural girls in secondary education, with a higher stipend in poor backward Talukas (sub-districts). The effects are not yet known, given that the sub-programme started only in 2007.
- In *Tunisia*, the EC has not specifically targeted girls in its support, but has contributed to the increase of the TR to lower secondary and upper secondary by supporting the government policy of reducing repetition and drop-out rates in primary.
- In *India*, Jalan and Glinskaya (2005)¹³⁶ claim that EC support to DPEP has had a noticeable impact on primary school completion and progression to secondary education. They state that the average impact of DPEP 1 is the largest for “cohort progression”, suggesting that the programme may have been instrumental in substantially reducing drop-out rates among students. In 2005, the Gross Intake Rate to the last grade of primary education (being a quasi indicator for primary completion) amounts to 94%, a figure that decreased slightly to 92% in 2007. A similar pattern can be found in EC-supported DPEP districts, where the completion rate of primary education increased by more than 6%, compared with only marginal improvement in non-DPEP districts. Overall, EC support to the education sector not only enhanced PCR and transition in India, but also benefited/junior secondary (termed elementary education).

As for **GBS countries**, the EUD in *Uganda* (EUD survey) pointed out that the EC was the first PABS IV GBS partner to include secondary education indicators in relation to the release of variable tranches, while *Ghana* also incorporated junior and senior secondary education targets in its MDBS. *Uganda* is a good example of secondary education indicators being incorporated in the performance indicators of GBS support – that is, in EC support to the Poverty Alleviation Budget Support programme PABS5 (total of € 157 million for budget support between 2000 and 2007). The following box shows some of the characteristics of the support and the role of secondary education-related indicators (the P7 completion rate and the gross enrolment in secondary education):

¹³⁵ Projet de lutte contre l'exclusion des filles dans l'enseignement secondaire en vue de leur intégration dans la société nigérienne au collège Mariama à Niamey.

¹³⁶ Jalan, J and E.Glinskaya (2005), Improving Primary School Education in India. An Impact Assessment of DPEP I, Washington, DC, World Bank

Box 14: Uganda: Poverty Alleviation Budgetary Support – PABS 5 (UG/7200/004) EDF 9: The role of secondary education

Budget: € 87 million untargeted budget support (from 9th EDF), € 5 million institutional support

Financing Agreement signed on April 26, 2005 (Commission); June 23, 2005 (GoU)

Starting date: June 2005; End date: December 2010

Duration: three years covering the fiscal years 2004/05, 2005/06 and 2006/07

The GoU's main policy objectives are laid out in the revised PEAP, finalised in November 2004. The overall objective of the PEAP is to develop policies and allocate resources that will reduce poverty in Uganda from 38% in 1997 to 10% or less by 2015. PABS 5 supports the implementation of PEAP objectives and its reform programme.

The revised PEAP has been articulated around five pillars, one of which is human development. Key priorities are primary and secondary education – with a particular focus on quality, health outcomes, population growth, and adult literacy. During recent years, GoU has been successful in expanding primary education and adult literacy. This development has, however, strained the quality of the education system, as witnessed by disappointing primary education completion rates and the level of skills actually acquired by pupils.

The quality of the provision of post-primary education poses another challenge which PABS 5 aimed particularly to focus on. Attention was given to better targeting of public expenditure for secondary education to the poor. Supplementary capacity building was to be provided through (tracking) studies, evaluations and reviews, to be agreed in the context of the sector working group (the EC could, for instance, finance an entire study agreed upon by the sector working group). Furthermore, PABS 5 aimed at paying attention to any capacity building needs in sectoral statistics.

Fixed tranches are linked to the implementation of the macro-economic framework, and variable tranches are linked to performances in the health and education sectors and in the management of public finances.

For the release of the variable tranches, the assessment of performance indicators was supposed to take into account the outcomes of the sector reviews. In that context, GoU was to provide an analysis of the results achieved, pointing out any external factors that influenced the results.

A key aspect of PAB 5 is that, since 2003, donor budget support programmes are designed according to partnership principles jointly developed by GoU and development partners. Sector Working Groups are active. After discussions with MoES and Education Funding Agency Group (EFAG) members, four education sector indicators were selected:

- E1 Net Primary enrolment;
- **E2 P7 Completion rate;**
- E3 Primary pupil literacy and numeracy competence;
- **E4 S1-S6 (secondary education gross enrolment rates).**

The indicators and targets related to E2 are as follows:

<i>Indicator</i>	<i>Status 2003</i>	<i>Status 2004</i>	<i>Target 2005</i>	<i>Target 006</i>	<i>Proj 2007</i>
E2. Completion rate – P7	56%	62%	63%	67%	69%
Boys	66%	72%	67%	72%	74%
Girls	47%	54%	58%	63%	64%

In terms of performance indicators for flexible tranche release, there is in PABS 5 emphasis on quality and secondary education, which was not the case in earlier programmes (the performance indicators for variable tranche release in PABS 5 related to secondary education are P7 “completion rate” and S1-S6 “secondary education gross enrolment rates”).

Reference is made in ESSP to the launch of Universal Secondary Education (USE) in February 2007, which subsequently increased the P7 to S1 transition rate from 22% to 46.9%.

The PABS 5 performance indicator on secondary education for variable tranche release is:

<i>Indicator</i>	<i>Status 2003</i>	<i>Status 2004</i>	<i>Target 2005</i>	<i>Target 006</i>	<i>Proj 2007</i>
E4. Gross enrolment ratio in secondary education	18%	22%	23%	25%	27%
Boys	20%	24%	25%	27%	30%
Girls	17%	20%	21%	23%	25%

It should be noted that the EC, as a member of the EFAG, is indirectly contributing to improving transition to secondary education, and the ESSP has given priority to secondary education at both lower and upper levels.

Source: Analysis from CRIS documents and data

The incorporation of secondary education in the performance indicators for PABS 5 is in line with the new emphasis on secondary education in the ESSP and increased resource allocation within the education MTEF. Reference is made in the ESSP to the launch in February 2007 of USE, which subsequently increased the P7 to S1 transition rate from 22% to 46.9%. However, *Uganda* still has a long way to go in terms of achieving USE.

Table 22: *Uganda: Poverty Alleviation Budgetary Support: Tranches related to education*

Programme	Total (€)	Out of which education sector (€)	% education
PABS 5			
First tranche (fixed)	15,000,000	-	0
Second tranche (fixed)	14,250,000	-	0
Third tranche (variable)	21,750,000	5,437,500	25%
Fourth tranche (fixed)	14,250,000	-	0
Fifth tranche (variable)	21,750,000	5,437,500	25%
<i>Sub-Total PABS 5</i>	<i>87,000,000</i>	<i>10,875,000</i>	<i>12.5%</i>
Total	160,500,000	23,125,000	14.4%

Source: PABS 5 documents

Tanzania is another example secondary education indicators being included in the EC's GBS support. According to the ESPR (Education Sector Performance Report) 2008/09, the transition/pass rate from Standard VII (Final year of primary school) to Form I (First year of secondary school) increased from 21% to 67.5% between 2000 and 2006-07. However, it has been decreasing since 2006, and the MKUKUTA target of 60% for 2010 is at risk. The same rate constitutes one of the indicators used for the December 2008 disbursement within the framework of the Education component of Poverty Reduction Budget Support Programme 2006-08 (PRBS03 – 9th EDF). According to the figures provided in the latest payment file for PRBS03, the TR increased from 49.3% in 2005 to 60.3% in 2006/07, compared to a target set at 54% for 2006. It should be noted that this value is not the same as in JESR137-09, where it is 67.5%, as mentioned above.¹³⁸

In contrast to these two countries, in *Burkina Faso*, 23 indicators in the Framework of ABRP 2005-08 concern basic education only. According to the ECA audit, these indicators allow for a quantitative monitoring of access to primary education and reduction of gender disparities. Nevertheless, they are insufficient for the monitoring of education quality, in particular in relation to the transition to secondary education.

In sum, with regard to the **EC's contribution to improving transition to secondary education (both lower and upper)**, there is a stress on medium human development countries with secondary education policies and strategies. A second category is support to removing barriers to female participation in secondary education. This is the case in the PROMOTE project, which included training, recruiting and sustaining female teachers for secondary education, but also in some NGO-implemented projects – such as the Northern Education project in *Pakistan* arranging for higher secondary education for girls in Chitral. A third type of support is linked to sector support programmes incorporating lower secondary education, but the degree to which EC funds are targeted at lower secondary is not always sufficiently clear, given the varying definitions of secondary education. This applies, for example, to *Botswana*, *Indonesia*, *India* and *Pakistan*. Moreover, GBS with flexible tranche release indicators on PCR and transition to secondary education are implemented in, among others, *Tanzania* and *Uganda*, but the effect on secondary education budgets is difficult to substantiate.¹³⁹

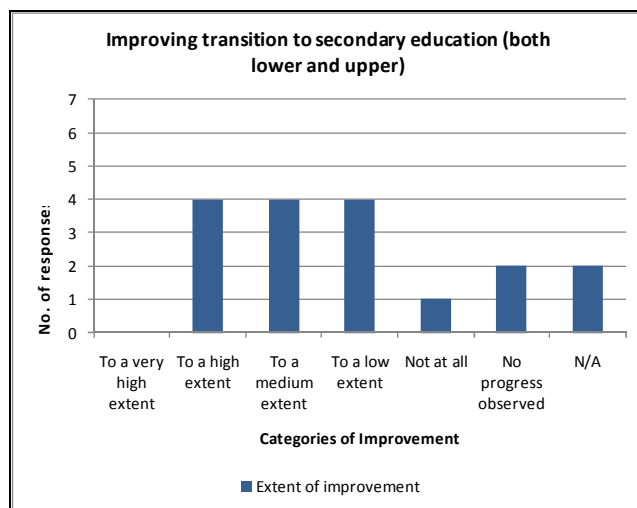
The survey of EUDs also covered their perception of the EC's contribution to improving transition to secondary education, which is depicted in the following figure:

¹³⁷ Joint Education Sector Review

¹³⁸ In the framework of the MDG contract (10th EDF), the Transition Rate from Standard VII to Form I equally constitutes one of the performance targets for education for release of MDG-based tranche.

¹³⁹ Another category is support to secondary school construction and rehabilitation, especially in fragile states in post-conflict or post-emergency situations (*Somalia*, *Liberia*, *Eritrea*, *Pakistan*). However, this focused mainly on primary/basic level. See also section 4.4.1.

Figure 9: Results of survey to EUDs: Rating of the EC's contribution to improving transition to secondary education (both lower and upper)



Source: EUD survey

The EUD survey confirms the rather mixed pattern of contribution indicated in the above examples. Responses were fairly mixed, with four of the 18 EUDs (22.2%) giving ratings of high and medium, and five respondents giving a “low” score. Compared to EC contribution to “access”, this scoring is less positive, thus corroborating the fact that less emphasis has been put on “completion” and “transition”. Among the “low” respondents, several EUDs (*Botswana, India and Pakistan*) indicated that the focus of EC support to transition to secondary education has recently started to emerge.

It should be noted that the “high” group included *Tanzania, Uganda, Nicaragua* (both GBS and SBS support), which all having secondary education indicators in their GBS frameworks, as well as *Tunisia*, the only country with the SBS support specifically to secondary education¹⁴⁰. *Tanzania and Uganda* also confirmed the importance of GBS/SBS and sector dialogue in turning the attention of all concerned towards secondary education (see also EQ8).

Interestingly, *Botswana, India, Pakistan* – countries receiving SBS or other sector support – and the *Occupied Palestinian Territory* all indicated “to a low extent” for this question. The focus of EC support had not really been on secondary education issues, and started emerging only quite recently in *India and Pakistan*. The EUDs *Eritrea and Indonesia* confirmed that EC support had not focused on secondary education in the period under evaluation.

3.2 JC32: Capacity of secondary institutions to accommodate potential enrolments and to meet expected rise in demand for enrolment (especially at lower secondary level)

Increased access to primary education will remain limited in most countries, unless secondary education simultaneously increases accommodation of primary school leavers, thus better preparing young people for life and for gainful employment. An increase in those completing primary school and willing to continue schooling has to be matched by provisions in terms of secondary schools in different parts of the country, trained secondary school teachers, textbooks and learning materials. All this provides a great challenge to partner countries assisted by development agencies to cater for an adequate financial resource base and setting up systems for planning, managing and delivering secondary education. This is an “ideal” typical agenda that is not in touch with present conditions and constraints.

In view of the scarcity of funds, aggravated by the global economic crisis impinging on partner countries' capacity for revenue generation, poor partner countries in particular are extremely handicapped in effectively implementing an agenda based on consolidating progress made in meeting the MDG2 agenda, and may be faced with problems reaching to out-of-school children. The Commission Staff Working Document on Making Education Better notes that, due to increasing access to education and demographic changes, quality education for all is beyond the budgetary capabilities of many developing countries. Mobilisation of more diversified sources of financing would help to increase relevant na-

¹⁴⁰ The medium respondents included two GBS recipients (*Ghana and Vietnam*), one recipient of sector support (*Bangladesh*) and one country which receives neither (*Argentina*), together thus re-confirming that focus of support in these countries was not on secondary education.

tional budgets. Moreover, investment in educating their children at secondary level often constitutes a burden for households, especially poor ones, given that secondary education (unlike primary education) is not free and is often provided by private education institutions. The Commission Staff Working Document paints a gloomy picture. The provision of quality basic and post-basic education is severely constrained in the context of current levels of resources devoted to education. Add to this the fact that the economic effects of the global financial crisis of 2008 are now beginning to translate into lower education budgets, lower levels of aid and less ability on the part of poor people to subsidise education, and it quickly becomes obvious that, for some decades to come, many developing countries will not have the economic capacity to guarantee, or sustain, access to quality basic and post-basic education for all.

The following two indicators are used to assess partner countries' capacity to meet pre-conditions and budgetary requirements for facilitating progression from primary to lower secondary, and EC support in that regard:

- I-321: Provisions and budget allocations made to allow for increased access to secondary education;
- I-322: Capacity of secondary institutions to enrol possible entrants, measured by, for example, the number of places in relation to primary graduates

As they are very much inter-related, this section deals jointly with the two criteria.

It is estimated that at least USD 16 billion of additional aid is required annually to finance UPE, early childhood programmes and literacy in low income countries. Much more is required if all EFA goals are to be met (EFA GMR 2010).

The share of public expenditure for primary and secondary education is the proportion of the recurrent and capital government budget (domestic resources) for education allocated to primary or secondary education. The table below shows the relevant data for the years 2000 and 2007. In order to properly interpret trends in the share of education budgets allocated to different subsectors, two other sets of financial indicators should also be covered:

- **The total public expenditure on education as a percentage of the GDP:** In 1996, The Delors Report set a benchmark of 6% of GDP for spending on education. However (see EQ 6), only *Botswana* (8%) and *Tunisia* (7%) are meeting this budgetary norm. Most countries spent 3% of their GDP on education. Of course, the capacity of middle-income countries is much higher – hence, 5% of GDP in *Mozambique* implies a much more restricted capacity for service delivery than a similar percentage for *South Africa*, *Eritrea* and the *Dominican Republic*.

Given that budgetary allocations to education are not meeting the requirements, it is clear that poor countries in particular cannot shift funding for primary to the secondary subsector. Within their constrained budgets, the education budget does not meet even the needs of the primary subsector alone.

- **The total public expenditures on education as a percentage of total government expenditures:** As a general guideline/norm, 18% has been set for education expenditure as a percentage of government spending. *Pakistan* and the *Dominican Republic* (both 11%) score low, while *Argentina* (14%) and *Bangladesh* (16%) are also below the benchmark of 18%.

These indicators, as well as the table below, will be interpreted and described in the framework of EQ6, dealing with education system service delivery and resourcing. Moreover, EQ6 will provide insight into public expenditure per student (percentage of per capita GDP) for primary and secondary subsectors.

Table 23: Share of public expenditure for primary and secondary education (% of total public education expenditure), sample countries

Country Name	Year 2000		Year 2007	
	Primary	Secondary	Primary	Secondary
ASIA				
Bangladesh	46	36	46	41
India	38	40	35*	43*
Sub-Saharan Africa				
Botswana			28	44
Burkina Faso			59	16
Ghana			31 ²	39 ²
Mozambique			58 ³	29 ³
Niger	49 ¹	24 ¹	69 ³	22 ³
South Africa	46	31	42	33
Latin America				
Argentina	36	36	35 ³	40 ³
Caribbean				
Dominican Republic	55 ¹		59	
Jamaica	31 ¹	34 ¹	37	35
European Neighbourhood countries				
Tunisia	33	45	34 ²	42 ²
Fragile States				
Eritrea	27 ¹	31 ¹		20 ³

Sample countries for which no data were available have been omitted from the list

¹ = figure in 2001; ² = figure in 2005; ³ = figure in 2006

Source: World Bank Edstats

Interpreting the share of public expenditure for primary and secondary education is quite complex. EQ6 also deals with per capita expenditures for primary, secondary and higher education. The final figures depend on budget formulas applied. This may be per student (input) budgeting or per output budgeting. In general though, the allocation to primary and secondary is influenced by the enrolment and completion rate of primary education and those willing to progress to secondary education (subject to secondary education at reasonable cost being available). When partner countries are still far from achieving universalisation of primary education, they have to cope with population attrition, as well as reaching out-of-school population. This puts a high claim on budgetary allocations for primary education, and hence a lower share is left for secondary education. In general, increasing the share of secondary education budget allocations can best be reached by reallocating from higher education budgets – especially in poor countries with low student numbers, and hence high per capita expenditures. In a pro-poor sector-wide reform strategy, such a resource shift would have to be justified by equity considerations.

In general, most countries, especially poor ones, have given priority to primary education, thus consuming the majority of the budget for education and neglecting secondary education, leaving a gap for the private sector. Private education is, in most cases, not government regulated, and hence does not cater for equity and pro-poor considerations in its provisions. In many countries, “primary education as a share of total expenditures” has increased steadily. Public expenditure per student in secondary education is generally higher than per primary student, which makes large-scale secondary education provision beyond the reach of most poor countries. However, systematic data across the sample study countries could not be compiled, given the scarcity of data (see table). Moreover, the high prevalence of private provision influences this figure.

In general, the following remarks can be made:

- From the time series available, the following countries show an increase in the share for secondary education between 2000 and 2007: *Bangladesh, India, South Africa, Argentina* and *Jamaica*. In these countries, there is, in general, a decrease or a consolidation in the share of public expenditures for primary education, with the exception of *Jamaica*.
- In *Bangladesh, India, Argentina* and *Tunisia*, the share of public expenditure for secondary education is at the remarkable level of 40% or higher. As indicated in the Country Note, in *Bangladesh* there has been a relatively rapid expansion of secondary education since 2000, accompanied by a rise in girls' enrolment of girls as a result of social mobilisation and incen-

tives such as stipends and tuition waivers for rural girls to improve their access and retention in secondary schools (through the Secondary School Female Stipend Programme, with four separate components involving ADB, World Bank and the Norwegian Agency for Development Cooperation (NORAD) and the EC).

- In **fragile/failed states**, with no data available on the indicator, it should be noted that the Government of *Pakistan* is supporting access and retention for girls in middle and secondary schools through stipends and free textbook provision up to grade 10.¹⁴¹

While data availability is rather sketchy, some sample countries appear to have put more emphasis in recent years on secondary education, as expressed in the budget. All of these countries rank as medium human development countries, according to the HDI.

Regarding the “Capacity of secondary institutions to enrol possible entrants”, the case of Botswana highlights the difficulties that might be faced when trying to increase the intake capacity of secondary schools. According to the CSE, experiments with the introduction of double shifting in order to increase the intake capacity of existing secondary schools have led to disappointing exam results. A survey (October 2006) undertaken on schools operating a double shift system noted that there is difference between Community Junior Secondary schools (CJSS) and Senior Secondary schools moving to a double shift system. For CJSS schools, it is because of the demand for places in schools by a community; for Senior Secondary schools, it is because of a deliberate policy effort to increase the number of students continuing education beyond CJSS and attending Senior Secondary. Schools operating a double shift system reported that they were unable to cope with the increased numbers of pupils, and therefore saw a consequent decline in national examination results.

As for the **EC contribution to possible changes regarding the enrolment capacities of secondary institutions**, the evaluation found a broad variety of situations, which, overall, can be characterised as focusing on middle-income countries or fast-growing economies, or focusing on removing gender-related barriers to secondary education enrolment. In all cases, a policy framework for secondary education has to be in place. Many studies have observed the existence of uneven distribution of secondary education opportunities between poor and non-poor regions, especially in rural and remote areas. This situation of big disparities can be seen as a general characteristic observed in almost all countries, including *Tunisia* and *Dominican Republic* and all countries in *Sub-Saharan Africa*. Where secondary education is part of a sector-wide approach, and where a secondary education policy/strategic plan has been made, EMIS data on lower and upper secondary education provision (schools, colleges) and enrolment by district can be generated. In *Pakistan*, in Sindh province, this is being done with EC TA support, by combining data from the Annual School Survey with Geographical Information System (GIS) data.

EC support has so far not significantly focused on strengthening the capacity for delivering pro-poor secondary education, and the role of such support in EC sector support is still small. However, with the small investments within particular country contexts, the support has been cost-effective:

Asia

In *Bangladesh*, the EC supported PROMOTE (€ 28.82 million, 1996-2005), a programme to motivate, train and employ female teachers in Rural Secondary Education. The project ended in 2005, but the EC continued support to teachers in permanent posts with salary subventions, up to 2009. The aim of PROMOTE was to facilitate a more gender-sensitive equitable society by promoting girl-friendly secondary schools. Some 5,000 female secondary teachers were trained and employed, and 11 Resource Centres and 162 hostels for female secondary teachers set up. Overall, by stepping into a key area affecting quality, access and retention of girls in secondary education, EC support has played a direct role in enhancing girls' enrolment in secondary education, and also has contributed to creating a changed mindset among potential female teachers and society as a whole. This is also perceived by the responses from EUD *Bangladesh* on the survey, where the EUD highlights the **significant role the EC has played in increasing the number of female teachers and increasing their qualifications in secondary schools**. This, according to the EUD, has encouraged more gender parity and a more favourable environment for girls continuing their education.

¹⁴¹ 2004/05 data originating from Secondary Education in Pakistan; Key issues, challenges and reform framework, by Tahseen Sayd, Lead Education Specialists, SASHD, World Bank. Regional Conference on Education, Training and Knowledge Economy in south Asia, New Delhi, September 14-15, 2006.

Box 15: *Bangladesh: Enhancing secondary education by promoting girl-friendly schools (PROMOTE)*

In Bangladesh, there has been a relatively rapid expansion of secondary education since 2000, accompanied by a growth in enrolment of girls as a result of social mobilisation and incentives such as stipends and tuition waivers for rural girls. There was an increase in girl enrolment from 33% in 1998 to 45% on a net basis for girls aged 11-15, and girls' enrolment surged by 11% (50.6% for girls versus 39.6% for boys).

The 2003 CSE report found that the continuation rate for girls who were graduates of the NFPE system was higher than for boys, and a BRAC Research and Education Division study found that, by June 2002, 55% of their graduates were carrying on their schooling at the secondary level, while 73% were continuing from the monitored control group. This was a better transition rate than those achieved by students within the formal primary school system. However, CAMPE (Campaign for Popular Education) undertook a baseline survey in 2005 of female achievements and noted the high drop-out rates for girls (over 50% between grades 6-10) and that exam results for girls were poor, with only half of the candidates passing the Senior Secondary Certificate (SSC) examination "even after they have survived the gauntlet from class 6 to 10 and the 'test' examination in class 10".

The study identified that the expansion of the secondary system had aggravated problems of quality, which were indicated by high rates of drop-outs and failures in public exams. One of the deficiencies identified concerned the poor quality of teachers' skills and capabilities. The problems in secondary education during the period of 2000-07 were manifold and demanded the attention of development partners just as much as in primary education. As the survey report noted: "Attention to poverty reduction, emphasised in the PRS, has brought out in sharp relief the high degree of inequity in respect of access and participation in education. Maintaining acceptable quality in education is a simultaneous concern, since access to education without guarantee of a minimum level of quality is meaningless."

The EC's support in this sector had been limited as its support was focused on primary education, rather than on 'Basic' education, but the **EC did provide support in one key area which affected quality** through the PROMOTE programme (1996-2005). The overall objective of PROMOTE was fully aligned with MDG goals – that is, to progress towards a more gender-sensitive society through more girl-friendly secondary schools. The Project Purpose was also within the EC's focus on quality education in terms of "quality and gender sensitivity of teaching in rural secondary schools". The project encouraged the employment of women teachers, undertook a recruitment campaign and provided annual salary subventions, provided safe accommodation for them, provided training through 11 Teacher Training Colleges to upgrade the use of improved teaching methods, and distributed teaching aids.

However, while the EC's contribution at the secondary level is considered to have been minimal in comparison to its focus on primary, the EC's PROMOTE project complemented project initiatives of the government and other development partners in secondary education: Secondary Education Sector Improvement Project (SESIP) supported by ADB; the Secondary School Female Stipend Programme, with four separate components involving ADB, World Bank and NORAD; and the English Language Training Improvement project (ELTIP), supported by DfID.

It is noted that the possibility of a second phase, as put forward in the ex-post evaluation (July 2008)¹⁴², was not taken up, despite this being a "chance to move forward to address current needs" and to capitalise on the learning and investment it had already made with systems that were in place or being formulated. This included a new Basic Education curriculum, strengthened government teacher training centres, a recruitment strategy using substitute and additional teachers, school refurbishment grants, SMC awareness training and follow-up monitoring.

Source: Country Note Bangladesh

Sub-Saharan Africa and Caribbean

In *Ghana*, the EC supported various GBS (total: € 182 million), currently through the MDBS. According to the ODI-CDD MDBS evaluation of 2007, access to education services in Ghana has improved significantly over the lifetime of the MDBS, and especially in 2005 and 2006. This may still not be enough to meet the Education Strategic Plan target of Universal Basic Completion by 2015, but the authors of the evaluation emphasise that the MDBS instrument has contributed to improved access. The total gross enrolment rate in Junior Secondary Schools reached 72.8% in 2004/05, exceeding its target of 68.30%. While increases in enrolments at the Senior Secondary School and tertiary levels have also been substantial, the increase in pupil numbers in primary and junior secondary schools has meant that some critical inputs are stretched beyond capacity. Significant overcrowding has resulted in classrooms, accelerating the deterioration of existing facilities. In some areas, enrolment in 2005/06 increased at a slower rate as parents encountered other constraints in sending children to school – such as shortages in seating places, lack of toilet and drinking water facilities, and uncommitted teachers. Overall, and according to the evaluation report, **the rate of increase in enrolments has simply been too fast for education sector inputs to keep up.**

On the other hand, provisions in *Niger* for developing secondary education have been extremely limited. Senior secondary education capacity has not increased in the period under investigation, which explains the low and declining GER at this level. Junior secondary has been modestly developed,

¹⁴² Eggen, E & Byrne, P (2008): Ex-Post Evaluation of PROMOTE: Programme to Motivate, Train and Employ Female Teachers in Rural Secondary Schools. July 2008

mostly due to local initiatives in which influential politicians have been actively involved in the setting up of new junior secondary schools with local resources – most of the time, “pailotes” (huts), in which available resources are below minimum standards. However, the EC has not provided any specific support related to secondary education, nor have the various tranche indicators of the different GBS included such indicators.

South Africa, in contrast, and as indicated by the Country Note, does not have a real problem in the provision of secondary school places or in absorbing the throughput from primary schooling. While some of the school infrastructure might be in a state of disrepair, and there may be serious questions about the capacity and commitment of many of the teachers, some form of school provision is generally available for all potential candidates seeking enrolment. While there is a significant residual backlog in classroom construction, this relates largely to replacing dilapidated and unacceptable infrastructure with improved facilities, as opposed to the construction of new schools where no provision is currently available. The Country Note further assesses that both the SISP and the school infrastructure component in the ESSP would have made some contribution to addressing these backlogs, however minimally. The earlier school infrastructure component in the Eastern Cape (under ESSP) appears to have been relatively successful. However, as a result of mid-stream modality changes and complexities of procurement, the larger SISP was significantly less successful, with € 40 million of the initial € 66 million eventually decommitted. This resulted in only 27 of the targeted 150 schools being completed. However, the degree to which SISP covered both primary and secondary schools is not clear.

In the *Dominican Republic*, according to the Country Note, the issue of increasing capacity of secondary institutions played a minor role in donor support until 2006-07. The same applies to EC support, due to the fact that the support was focused mainly at the general education system level and on primary education. However, starting from 2009, several investments have been made to increase coverage and facilitate access to secondary education, among which is the EC PAPSE II SBS.¹⁴³

European Neighbourhood countries

In *Tunisia*, according to the Country Note, there are sufficient schools with sufficient capacity to accommodate all children entering junior and senior secondary education. There are actually more places than the number of children to accommodate, as new generations tend to be smaller as a result of a rapid demographic transition since 2000. As a consequence, class size is on the decline. In addition, for regional equity reasons, the creation of new schools in deprived regions was accelerated by the government. The EC support has actively promoted geographical equity and the link between education and the world of work.

¹⁴³ Its specific objective is to provide quality education for all, by addressing the low performance of the educational system and achieving a deep long-term reform. It will be based on a system of indicators related to access, equity and quality, as well as education management, and is scheduled to start in 2011.

Box 16: Tunisia: EC support to secondary education

Project Authority: Ministry of Education

Budget: € 30 million

Contract signed: 2005. End Date: 2009

Secondary education was reformed under the Law of 2002 called "Loi d'Orientation de l'Education et de l'Enseignement Scolaire". As for basic education, the law is supposed to put the student at the centre. An action plan for the period 2002-07 was adopted, the main objective of which was to improve both the linkages between secondary education and TVET and higher education and to improve the employability of graduates. The EC SBS was aimed at supporting the implementation of the reform as required by the law. The support was provided between 2006 and 2008, and aimed at improving secondary education performance (grades 10-12), with a view to closing the gap between Tunisian education and the best international standards. In addition, the grant supported the diversification of strands after grade 9, in order to improve the capacity of students to find a job if they leave the school system or to be better prepared to enter higher education if they continue. It had four components: (i) improve pedagogical methods and tools, and open new tracks better related to other levels (TVET and higher education), as well as with labour market requirements; (ii) Introduce information and communication technologies on a large scale; (iii) improve the professional competencies of teachers; (iv) improve the management of the sector and promote more inter-regional equity through decentralisation.

In order to introduce appropriate incentives to the MoE for implementing the specific objective of the reform, the support was divided into two parts, a fixed tranche and a variable tranche, whose amount was to be determined by the achievement of 10 indicators – which have not been fully completed, and have led to a reduction of the final variable tranche by about € 2 million (out of € 30 million).

The SBS was perfectly in line with the government policy and took into consideration both the Law of July 2002 and the presidential programme "L'Ecole de Demain" (The School of Tomorrow) for the period 2002-07. However, it appears that this policy has overestimated the capacity of general secondary education to prepare school leavers for the job market, and underestimated the merits of TVET for such a role. In fact, the government has recently recognised the necessity to develop more actively the TVET sector and has launched an ambitious development plan for the Period 2010-16, during which the percentage of a cohort oriented towards TVET would rise from the present low level of 5% to 50% by 2014.

An evaluation took place in 2008, with mixed results, in particular in the domain of TA mobilisation.

Source: Country Note Tunisia

Fragile/failed states

In *Eritrea*, in accordance with overall sectoral priorities, the ESDP features the following four pillars: basic education and literacy; secondary education; TVET; and institutional capacity building. Secondary education, seen as an important means of supplying educated and trainable graduates, occupies a central and pivotal place in the future development of the country. The objectives of ESDP are: increased access through the construction of 800 classrooms, targeting underserved areas; an increase in the number of qualified teachers; a reduction in repetition rates; and a reduction in costs through innovative designs and use of local materials.

In *Pakistan*, the government has no focus on secondary education reform. Only about 25% of primary school enrolments proceed to middle schools. Private sector enrolment in middle schools is 29%. Curriculum content is weak, and there are big discrepancies between urban and rural areas in terms of secondary education facilities.

In the EC-supported Sindh SBS, the annual school surveys in Sindh, combined with information from the GIS, indicate that adequate allocation of schools and resources by district for middle and higher secondary can be identified. EC TA is assisting in adequately linking the District Education Management Information System (DEMIS) and Secondary Education Management Information System (SEMIS) to GIS. The discrepancies are particularly apparent between districts in the Greater Karachi area and rural districts.

In no other fragile/failed state in the sample country did secondary education support play a role.

3.3 Overall assessment

While good achievements have been noted on universalising primary education enrolment, completion and transition to secondary education still lags behind. There is a strong gap, which is increasing rather than decreasing, between access to secondary education in least developed countries and fragile states and middle-income countries, and within countries between urban and rural areas – in fact, between the rich and the poor. This divide impinges on the possibility of achieving the extended view of basic education covering, in general, primary and lower secondary education, and providing young people with a minimum package of learning as a basis for skill development, further learning or for gainful activities. This divide is further aggravated for upper secondary education, which in poor countries and fragile states is reserved for a small elite group. The transition from primary to secondary is

low, and hence there is a low internal efficiency and an even lower external efficiency, given the fact that the linkage between education and work is hardly touched upon.

EC support, based on demand from partner country governments, tends to match support with PRSP, which may focus on achievement of MDG2, and hence on primary education alone. Support to primary education still constitutes almost the entire EC support, leaving its support to secondary education at 3% of the overall education sector support. The secondary education support concentrates mainly on middle-income countries proceeding towards SWAps, including lower and sometimes upper secondary education. This applies, for instance, to EC SBS support to the modernisation of secondary education in *Tunisia*. EC support indirectly reaches lower secondary through SBS support to elementary education in the framework of Sarva Shiksha Abhiyam in *India* and the Sindh Education Plan Support Programme in *Pakistan*, covering, among other things, stipends for girls in secondary education and support to private low-cost education in rural areas. *Bangladesh* has benefited from support to remove one of the barriers to secondary education for girls – the shortage of female secondary education teachers. This has had a tangible impact on girls' enrolment in secondary education.

The EC also supported secondary school construction and rehabilitation in fragile states in post-conflict or post-emergency situations (*Liberia, Somalia, Eritrea and Pakistan*), as well as in other countries such as the *Dominican Republic, South Africa, Tanzania and Uganda*. Through dialogue where education is a focal sector, the EC has assisted partner countries in shaping equitable secondary education policies (e.g. *Botswana*). Indirectly, through education sector variable tranche release indicators such as transition rate to secondary and PCR, the EC may have supported education budgets earmarked for secondary education in countries such as *Uganda and Tanzania*. It is, however, not clear whether funds released upon compliance with indicators do reach the education department in general, and the secondary education unit in particular.

Still more EC funds for secondary education may have reached partner countries than have been identified in this evaluation. It may be complex to determine EC subventions to secondary education, given the differing definitions of what constitutes secondary education, and the fact that, in many countries, lower secondary comes under the category of basic education. It is also difficult to determine sub-sectoral allocations to lower secondary within sectoral budget support and sector support programmes following a SWAp. Finally, it proved almost impossible in this evaluation to determine the effect of compliance with indicators related to secondary education in GBS on the budget for secondary education.

In conclusion, the EC contribution to secondary education has been small, but, where given, has been influential. Secondary education is indirectly targeted in sector policy support programmes where support to basic education has been implemented. EC support to such programmes paved the way to further support to partner countries, complementing priority resource allocations to basic education with support to secondary education.¹⁴⁴ The move towards secondary education has been prepared in several EC supported SPSPs in mid-income countries during the period under evaluation, but leading to implementation mainly after the period under evaluation. However, in least developed countries, given limited resources, the EC faces the same dilemma as those partner countries: either to maintain a strong focus in terms of resource allocations to pro-poor support to MDG2 or to diversify more in line with the extended view of basic education.

¹⁴⁴ In India, the Government launched in March 2009 a Nation-Wide Centrally Sponsored Scheme (CSS), Rashtriya Madhyamik Shiksha Abhiyan (RMSA) focusing on secondary education for 14-18 years old. A formulation mission for EC support to this new initiative is being planned in 2010.

4 EQ4-quality: To what extent has EC support to education contributed to improving the quality of education?

The EQ focuses on the quality of education. It also addresses strategies to enhance the quality of learning and teaching. Globally, substantial achievements have been made in accommodating gaps in access related issues. However, good quality is essential if investments in education are to yield a high rate of return in terms of poverty reduction and sustainable economic and social development.

EFA 2 stresses that all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities should be able to complete primary education of **good quality**. The Dakar Framework of Action presents an expanded definition of quality which is quite difficult to achieve in the context of societies faced with austerity. Parameters of quality are desirable characteristics of learners (healthy, motivated students), processes (competent teachers using active pedagogies), content (relevant curricula) and systems (good governance and equitable resource allocation). Qualified teachers, effective teaching methods and well-trained school leaders are key determinants of effective schools and learning.

Box 17: What is quality about? What does it require?

One of the most important requirements for sustained progress towards better quality in education is an **improved learning environment**, encompassing physical school infrastructure, the learning process and the interaction between children and teachers.

Low achievement levels are often associated with a poor school environment. The fact that the most marginalized children often attend the poorest-quality schools adds to their learning disadvantages. Moreover, urban-rural divides figure prominently in school quality disparities. Improving learning in such environments would require redistributing resources towards poorer areas. The pupil/textbook ratio is a significant measure of education quality. Many classrooms in developing countries, especially in poor and rural areas, possess only one textbook, typically kept by the teacher. A number of studies highlight the positive role of appropriate **textbooks**¹⁴⁵. Moreover, an evaluation of Ghana's basic education system found that improvements in mathematics and English test scores from 1988 to 2003 had been brought about in part through increased availability of textbooks¹⁴⁶.

The longer **children spend in school** over the course of a year, the greater their opportunity to master the curriculum and achieve learning objectives. The official number of teaching hours varies considerably by country, but time spent on effective learning is what matters for achievement. In effective classrooms, about 80% of class time is spent on learning – a benchmark that many schools in developing countries fail to meet¹⁴⁷. Student and teacher absenteeism further reduces learning time (see also I-716). Better monitoring, improved teacher incentives and targeted support for students struggling to attend regularly can all increase learning time and performance.

Overcrowding of classrooms has led many countries to operate double-shift systems in schools. These offer potential efficiency gains in terms of the number of children covered, but the gains sometimes come at a price, as for instance the example of Botswana shows (see I-311), which led to poor exam results. While additional classrooms can be built to accommodate a single-shift system, the question is whether building classrooms is as cost-effective in improving learning as other investments, such as providing more teaching and learning materials. Creating conditions that enable children to remain in school, ensuring that teachers actually attend and organizing the school day to devote more time to learning are all low-cost options with potentially high returns.

Teachers are the single most important education resource in any country. What students achieve in school is heavily influenced by classroom practices and teachers' skills. In many countries, shortages of trained teachers remain a major barrier to achieving the desired education outcomes, especially among marginalized groups.

Increased enrolment since 1999 has gone hand in hand with an increase in the recruitment of primary teachers. Many countries in Sub-Saharan Africa – including *Burkina Faso* and *Niger* - have more than doubled the teacher workforce, improving the **pupil/teacher ratio**. Urban-rural differences create another layer of inequality. Moreover, trained teachers are often concentrated in urban areas. Whereas 60% of teachers in the Ugandan capital, Kampala, are trained, the figure falls to 11% in the rural district of Yumbe.

To some degree, such deployment patterns reflect self-perpetuating processes of selection and inbuilt disadvantage. Trained teachers are more likely to choose to work in urban areas, especially in systems where their remuneration is linked to parental contributions

Concerns over living in remote and unfamiliar rural communities can also play a role. Such factors play a part in a

¹⁴⁵ Scheerens, J. (2004): Review of school and instructional effectiveness research. Background paper for EFA Global Monitoring Report 2005; Boissiere, M. (2004): Determinants of Primary Education Outcomes in Developing Countries. Washington, DC, World Bank, Operations Evaluation Department. (Background paper for evaluation of World Bank support to primary education.)

¹⁴⁶ White, H. (2004): Books, Buildings, and Learning Outcomes: An Impact Evaluation of World Bank Support to Basic Education in Ghana. Washington, DC, World Bank.

¹⁴⁷ Abadzi, H. (2006): Efficient Learning for the Poor: Insights from the Frontier of Cognitive Neuroscience. Washington, DC, World Bank. (Directions in Development.)

preference towards female teachers in urban areas in many countries. In *Uganda*, the **share of female teachers** in urban primary schools is about 60%, compared with 15% to 35% in rural areas¹⁴⁸.

In addition to increasing recruitment to achieve universal primary education, governments have to replace teachers expected to retire or leave their posts before 2015. Taking into account the need to replace teachers drives up the regional and global recruitment numbers: An additional 8.4 million primary teachers will have to be recruited and trained worldwide to replace existing teachers expected to retire or leave their posts before 2015. Nearly a quarter of these teachers – around 2.1 million – will be needed in *East Asia* and the *Pacific*. *South and West Asia* account for 19% and Sub-Saharan Africa for another 15% of the additional recruitment needed to replace teachers leaving their posts by 2015.

Teacher salaries are a contentious issue in many countries. Governments face an obvious dilemma: how to increase teacher recruitment without creating unsustainable budget pressures.

Initial training and professional development are also crucial to morale and effective teaching. In many countries, initial training is not good enough to develop the necessary skills. To make matters worse, many teachers do not even receive initial training. In *Mozambique*, Mulkeen and Chen (2008)¹⁴⁹ found that 41% of primary school teachers were untrained. Moreover, in-service training, which is vital to build on initial skills, is also poorly developed in many low-income countries.

Source: EFA GMR 2010, and others

COM (2002)¹¹⁶ acknowledges already the need to focus on quality – “*The stress must be placed as much on the quality as the quantity of education*”, also emphasising that developing countries will have to improve the efficiency and quality of their education systems. It stresses that even though some countries have succeeded in significantly increasing school attendance rates, still considerable problems remain as to the quality of education. It also refers to the external evaluation of Community Aid to ACP countries (2000) which shows that very substantial efforts still need to be made from the point of view of the impact and quality of education aid. The EC stresses that without quality, demand for education slackens and drop-out rates increase. Girls are especially responsive to education quality. Central to quality is an improvement of the status and training of school teachers and principals, as well as an adequate teacher/student ratio, which is a priority area of EC support.

The 2010 Commission Staff Working Document “*More and Better Education in Developing Countries*” notes the interrelatedness of factors involving quality; there are a number of particular factors which are seen as important contributors to quality. These include government capacity to develop and implement policy, an enabling school environment, a relevant curriculum, good teachers using an agreed pedagogy of ideas and practice, school leadership, community engagement and accountability. A child’s home situation also has a significant impact. Improved quality in education relies therefore not only on the education system but also on progress against all of the MDGs – on poverty, access to school, gender sensitivity, maternal health and the absence of disease, access to safe water and sanitation and a healthy, sustainable physical environment.¹⁵⁰

The answer to this EQ is built on the following JCs:

- JC41: Availability of strategies and resources to enhance quality of learning and teaching
- JC42: Quality related efficiency measures
- JC43: Qualifications and competencies of teachers and school leaders enhanced
- JC44: Provisions made to ensure minimum quality education for children in difficult circumstances and ethnic minorities

4.1 JC41: Availability of strategies and resources to enhance quality of learning and teaching

Quality of education can be captured through a variety of indicators such as decreased drop-out and higher retention rates. The capacity of the school system to effectively reach out to children in difficult circumstances, who often are largely represented in the group out-of-school youth and have higher drop-out rates, is a major concern in that context. Another possible proxy indicator for quality is the pupil/teacher ratio (PTR). It should be stressed that **devising proper strategies which yield short-term effects as well as the measurement of improved quality is highly complex.**

¹⁴⁸ Mulkeen, A. (2009): Teachers in Anglophone Africa. Issues in Teacher Supply, Training and Management. Based on Case Studies in Eritrea, The Gambia, Lesotho, Liberia, Malawi, Uganda, Zambia and Zanzibar. Washington, DC, World Bank., Africa Region, Human Development.

¹⁴⁹ Mulkeen, A. and Chen, D. (eds) (2008): Teachers for Rural Schools: Experiences in Lesotho, Malawi, Mozambique, Tanzania, and Uganda. Washington, DC, World Bank. (Africa Human Development Series.)

¹⁵⁰ Commission Staff Working Document – More and Better Education in developing Countries, p.9.

As stated by COM (2002) 116, increased access needs to be matched by improved quality to ensure higher completion rates with better learning outcomes and subsequent higher transition rates to secondary education, required to provide learners with a minimum basic education package. The issue is how partner countries can simultaneously meet requirements for universalising primary education and enhance the quality for their increased number enrolled under conditions of austerity. It may very well be that partner countries supported by the EC in trying to address access were faced with both the consequences of the need to meet MDG 2 goals and the constraints in meeting quality requirements. Access without corresponding quality measures yields investments which are neither efficient nor cost-effective.

The evaluation team assessed the degree to which EC support covered quality on top of the emphasis on access and enrolment and whether quality indicators were set and have been met. It was found that **most EC supported education sector support programmes and strategies include a quality component**. This even relates to most programmes concentrating on meeting access requirements through school and classroom construction and rehabilitation. However, investments in strategies aimed at yielding improved quality are long-term in nature. They are much more complex than just providing for new schools and classrooms; they require better conditions of service for often low paid teaching staff (demanding civil service reform). They also ask for large scale competency building related to supervision and pre-service and in-service teacher training, for improved curricula and for arranging for textbooks, and for many other aspects being part of a comprehensive, high investment, longer-term approach towards quality improvement. However, government budgets are often constrained in really **implementing** quality aspects and, hence, options may be made for focusing on improving access which is much more short-term and generates success rather than long-term quality improvement. In general, it was found, underpinned by the examples below and the other JCs, that EC support is both supporting access and quality but quality improvements linked to EC support cannot always be found. Quality indicators are increasingly being set in all support modalities, but, apart from reliability issues and too little emphasis on budgetary consequences of meeting these indicators, the evaluation's assessment of quality indicators does not yield overall positive results.

Given the austerity of funds partner governments are faced with a zero-sum game, besides having to meet targets set by development partners. It will be difficult for LDCs to embark on a quality agenda unless population growth significantly decreases whilst at the same time partner countries succeed in meeting the backlog in reaching out to out-of-school children under both national and consolidated development partners' budgetary resources. Again, the distinction between those investing significantly in quality and those countries concentrating on access is along economic development lines.

Analysis shows that the interface between access and quality is complex. Increased enrolment may ask either for further crowding of already **overcrowded classrooms** or needs to be matched to school/classroom construction which then requires **recruitment of new teachers**, further burdening the recurrent costs budget of education departments with salaries of new teachers. The EC has been supporting partner governments in covering these costs. This applies to a large number of countries in a wide range of modalities, for instance to the Sindh SBS in *Pakistan*, to GBS, e.g. in *Niger* where numerous contractual teachers were hired, or to project support, e.g. in *Eritrea* or in *Bangladesh* where female teachers were recruited, trained and temporarily paid, in order to enhance enrolment and retention rates of girls in secondary education.

The *Tanzania* example highlights the complex relationship between support to quality and the fact that support to access might still be required under conditions of austerity. In Tanzania, Primary and Secondary Achievement & Quality are part of the operational targets of the NSGRP/ MKUKUTA. However, the quality of education has been given a lower priority, mainly given the fact that the government's focus has been on the MDG-related enrolment in primary school. The following box provides an overview of EC support to education in the country. Due to the priority given to the MDGs, the Government of Tanzania has been more focused on enrolment than on the improvement of education quality. The ECA report adds that NSAs/CSOs active in the sector share the DPs' concerns in relation to education quality to a great extent, although they put more emphasis on the problematic situation for teachers. They also highlight the problem of a possible, gradual devaluation of the pass criteria and the associated risk of diminishing education quality. For the PRBS 2006-2008 (PRBS03), both enrolment and quality indicators have shown improvements since the start of support (in May 2006) but available indicators for the two years since then (2006 and 2007) suggest that the trend has reversed.

Box 18: Tanzania: Overview of EC support to education outlining focus on access and quality

The Tanzanian government developed and launched a country-wide five-year PEDP in 2001. The Programme was meant to expand enrolment, to achieve UPE, and to improve the quality of teaching and learning processes. It was supported by a number of donors through a basket fund mechanism including the EC (8th EDF). The programme supported the Government of Tanzania to reform its primary education system through PEDP 2002-2006, which is the first sub-sector programme of the ESDP to have become operational. The programme under the 8th EDF was intended to support the PEDP in its objectives of expanding enrolment, improving the quality of teaching and learning processes and building capacity and strengthening the institutional arrangements that support the planning and delivery of education services.

In order to increase the capacity of the primary education system to absorb an increased number of pupils and simultaneously provide better quality education (the project purpose), the support aimed at contributing to the decentralized implementation of the programme in supporting the construction of classrooms, programmes for institutional capacity building, the recruitment and deployment of new teachers, the development of an in-service professional development programme. The EC contribution is € 25 million under EDF 8.

The 9th EDF allocated € 43.5 million to continue supporting the Government's education efforts with three main priorities: to promote equity (especially provision for and inclusion of female students) and quality education, to support the development of the sector-wide approach, bringing all ministries involved in the sector into cohesive planning and financing structures and to strengthen the effectiveness and efficiency of the sector funding system including fiscal decentralisation. The 9th EDF allocation is **untargeted sector budget support** (€ 42 million, "Support to Education Sector Reform") complemented by an institution building component. As one of the active donors in the education sector (chair of Education Development Partners in 2007), the EC has played a critical role in finding a consensus among pooled fund partners regarding the new budget support approach to the education sector and in supporting GoT with the organization of the first sector review held in February 2006.

Furthermore, the promotion of equity and quality basic education is one of the three main priorities of the Education SBS ("Support to Education Sector Reform") financed under the 9th EDF. The payment of variable tranches is linked to the fulfilment of indicators including quality. However, eight out of the 10 indicators did not achieve their target for 2008/2009. Moreover, in December 2009, two quality related indicators were not fulfilled:

- Reduction of cross-district disparities in pupils/teacher ratio in primary education (quality and spatial equity in primary);
- Pupils/textbook in primary schools (quality in primary);

and two were only partly fulfilled (scored 0.5)

- Pupils/ grade A or diploma teachers in primary education (quality in primary);
- Percent of students passing the Form 4 examination (quality in secondary).

Thus, the Education SBS has not yet achieved the expected results and indicators do not show the planned improvements. Education quality remains an area of concern for the EC. An internal AIDCO note concludes that: *"Performance is, however less encouraging [...] which can have serious implications on efficiency, equity and quality: e.g. the primary completion rate has declined to 65%, the pass rate for primary leaving exam has fallen to 54% and some districts have a pupil-teacher ratio as high as 74:1"*.

The EC is also a major contributor to the **PRBS**. The first budget support programme was adopted in September 2003, the PRBS 2003-2006 (PRBS02), with a budget of € 114 million. A new three year budget support programme was agreed (PRBS 03 – 2006-2008), amounting to € 57 million. Finally, following the end-of-term review of the 9th EDF, a further allocation of € 30 million was approved. All programmes included a variable component, related to progress on public finance management and social sector indicators. Actual allocations exceeded these figures since the EC's PRBS02 programme covering the period 2003-2006 was allocated € 114 million.

The ECA found for *Tanzania*¹⁵¹ that there has been an emphasis on access at the expense of quality, which was also confirmed by the EUD survey. This further elaborated that these increases were not coupled with the necessary increase in physical and human resources and may very well be applicable to most countries. MDG 2 gave the GoT an incentive to pay more attention to enrolment than to the quality of education. All seven indicators related to the MDGs, some of which relating to quality, show either a downwards trend or are at risk. Several indicators suggest that the quality of education in Tanzania is deficient. The primary school pupil/textbooks ratio of 1:3 for basic education in 2008 was still the same as agreed between the EC and the GoT in the CSP 2001-2007 of March 2002. Comparing the findings of the draft PETS of 2009 and the last PETS of 2004, the capitation grant for primary schools paid by the government per student per year, and which covers among other things the purchase of textbooks and maintenance of school buildings, has decreased. According to the most recent PETS of 2009, the capitation grant for primary schools is, at approximately USD 3.6, lower than the target amount referred to in the Country Strategy Paper for the 9th EDF (USD 6 per student per year by 2003) and the amount mentioned in the PEDP I programme document of 2002 (USD 10 per pupil). Therefore, there is a risk that the funds available to purchase and renew school books and buildings will also not be sufficient in the future.

In addition, regarding the EC contribution on improving quality in education, the ECA report indicates that the **project Education Quality Improvement through Pedagogy** (EQUIP) with Oxfam GB (CRIS No 2005/095-398) addressed key issues related to the quality of education and ways to improve it.

Sources: CSE Tanzania, CRIS and ROM documents, ECA report Tanzania

¹⁵¹ European Court of Auditors, Audit of EC Development Assistance for Education, Mission to Tanzania, 9-20 November 2009, Statement of Preliminary findings.

While availability of teachers is a *sine qua non* condition for learning - that is why the problem of absentee teachers noticed in several countries including *Uganda* and *Pakistan* is dramatic from a learning and budgetary point of view - recruitment of teachers in an attempt to meet the tranche release indicator **PTR leaves less room for recurrent budget related quality initiatives**, given equal resources. The policy benchmark set to achieve UPE by 2015 is that one-third of the recurrent budget for education is directed towards non-salary costs (rising to 40% for lower secondary education). This should enable most low-income countries to meet basic needs in this respect. When looking at the scarce data available in that regard for the sample countries, it becomes apparent that this target is only met in a few cases like *South Africa*, *Argentina* and the *Dominican Republic* among the sample countries, the first two countries ranking relatively high on the HDI. However, it should be stressed that meeting the target of a non-salary recurrent budget can only be met, if already low teacher salaries are further decreased (see contract teachers *Eritrea*) or by enhancing the non-salary budget through large-scale investment programmes, which occurred in *India* and *Pakistan*, with EC support to systematically link support to a sector reform strategy incorporating both quality and access dimensions.

The EC has frequently provided support to **teacher upgrading** given the low qualification level of teachers in most countries and here the divide between urban and rural is extremely obvious, leading to the restricted quality improvement approaches being reserved for the better off in urban areas. Positive examples are teacher training and upgrading supported by the EC in *India* through DPEP and Sarva Shiksha Abhiyan, *Bangladesh* (PEDP 2), *Niger* (SOUTEBA), *Somalia*, *Eritrea*, *Liberia*, *Pakistan* (in an initial phase but having also established a merit-based teacher recruitment policy essential to recruit teachers with the right qualifications).

Countries scoring relatively high on the HDI such as *South Africa*, *Botswana*, *Tunisia*, *Indonesia* and *India* are, with EC support, systematically attempting to improve quality as a basis for improving their international competitiveness. Increasingly, they are participating in international learner assessment tests to see whether their education meets international benchmarks. Within SBS, EC support can be specifically earmarked for quality enhancing strategies. That has been the case in *India* and *Tunisia*, and is currently the case in *South Africa*. *Tunisia* and *India* can be ranked as successes while *South Africa* needs time for the EC investment expected to yield a return.

During the period under evaluation, in LDCs in **Sub-Saharan Africa**, the EC frequently focused on GBS to support education – a fact that is now even more pronounced with the MDG contracts. This support often helped to meet recurrent cost requirements of education systems in terms of funding for teacher salaries and textbook provisions (among others in *Niger*, *Uganda*, *Burkina Faso* and *Mozambique*). This often has a direct impact on some of the commonly used quality related indicators such as PTR or Pupil Classroom Ratio (PCR). But successes in that regard are mixed in the extent to which EC support accommodates implications of enrolment increases, without thus far having had positive quality implications.

The reliability issue linked to general access-related indicators (GER, GIR and NER) is even more pronounced in those indicators and depends on the capacity of EMIS to capture nationwide data. However, it should be stressed that these indicators are intermediate indicators, which create minimum conditions for quality rather than quality itself. Scores on learner assessment tests and final examinations are the only valid quality related indicators but they are hardly applied (even though available in many countries including *Tanzania*, *South Africa* and *India*). In *South Africa*, participation in Trends in International Mathematics and Science Study (TIMSS) revealed low test scores; worrying results were also revealed with school leaving examinations in *Uganda*, the same partially applies to *Tunisia*.

Poor countries like *Bangladesh* benefit from comprehensive multi-donor education sector support in which the EC plays a key role and which focuses both on access-related and quality improvement strategies.

Apart from national systems of broad support to both improved access and quality, the EC has mobilised NGOs (BRAC in *Bangladesh* and Aga Khan Foundation, for both *India* and *Pakistan*) to enhance quality, especially in **Asian** countries. All assessments reviewed reveal that these NGOs have been applying effective quality improvement strategies including teacher training, and that they have applied child-friendly approaches, as a result of which learning has significantly improved. Such an approach has rather rarely been chosen by the EC in other regions of the world. At least for Sub-Saharan Africa this might be explained by the relative absence of such large NGOs.

As for **fragile/failed states**, analysis revealed interesting approaches of EC support to quality improvements linking EC support to major World Bank investment programmes (*Eritrea* and *Pakistan*), in *Somalia* (through the Strengthening of the Capacity of Teacher Training Programme (SCOT), and in *Liberia* (ECSEL).

In addition to traditional forms of support, MDTFs are also gaining some ground, especially in Asia. From the few that could be identified, it appears that quality improvement and innovative approaches have been stressed¹⁵². However, though successful, they have a restricted scope rather than being system-wide.

Overall, it is widely acknowledged that quality improvement strategies are difficult to design, monitor and implement on a grand scale. Findings clearly show that linking EC TA through a project mode to SBS/GBS can be considered as a key trigger and support to partner country governments. Examples could be shown especially for EC SBS in *Pakistan, Tanzania, Cambodia and the Dominican Republic*. This feature is clearly less prominent in EC supported GBS with education-related indicators, certainly mainly due to their only partial focus on education.

In addition to what has been elaborated at the general level of the JC, a number of standard indicators exist that help to assess in what way resources are available especially for education service delivery. They are:

- Existence of strategies for improving quality of learning and teaching;
- Percentage of non-salary to salary budget allocation;
- Pupil-teacher ratio;
- Pupil-classroom ratio.

As the last three indicators are partly linked, they will be dealt with together in one section.

4.1.1 I-411: Existence of strategies for improving quality of learning and teaching

Foremost within education sector support plans/strategies, priority to and approaches for improving quality of education have to be outlined and costed within the MTEF, also indicating recurrent and development cost expenditures (see EQ 6). These plans have to be further elaborated in components including recruitment of new teachers, teacher training, textbook production and delivery as well as teaching/learning methodologies.

Numerous strategies exist to improving teaching-learning, among which pupil-centred learning, child-friendly approaches, WSD and so on can be included. Whole School Development is a broad and comprehensive phenomenon. It is both quantitative and qualitative in nature, being influenced by factors such as number and quality of school buildings; number and quality of teachers; number and quality of learners; number and quality of books; governance approaches; type of school curriculum; attitudes and involvement of parents and the community in general; financing; and several other factors. All planned sub-processes and entities in the school are crucial to WSD - not a single one of these should claim dominance over others, because they all need each other in order to bring about efficiency and effectiveness in the school system. Although not financed by the EC (but by Dfid), the example of *Ghana* shows that Whole School Development can work as a strategy to counter the paralysis in local decision-making in basic education by devolving control of education to districts, schools and communities¹⁵³.

From the detailed findings it appears that, **in sum**, in all countries studied, the EC has been supporting **education policies and strategies** developed by governments with or without assistance of the EC. In some instances, such as in *Pakistan* and the *Dominican Republic*, EC supported TA has been instrumental in drafting such strategies.

As for **Asia**, in *India*, accumulated and extensive support by the EC and other development partners, first to selected states and districts within states (DPEP), then nation-wide to elementary education (Sarva Shiksha Abhiyan), and in *Bangladesh*, through PEDP II and BRAC, helped ensuring both increased access and improved learning. In *Indonesia*, through mainstreaming innovations (UNICEF) and setting up systems for decentralized delivery of quality education, the foundations for further quality improvements in the framework of a SWAp with EC SBS were laid during the period under evaluation.

In **Sub-Saharan Africa**, the results are more mixed. In *Niger, Namibia and Tanzania*, the EC contribution consisted of assisting the government in developing and implementing strategies aiming at reinforcing the quality of education. In *Burkina Faso*, PASEB (2000-2005) contributed to improving living

¹⁵² Such as the MDTFs with UNICEF in *Pakistan*, or the Education Emergency Relief in AJK in *Pakistan*, and the mainstreaming of innovative approaches BESCSP in *Indonesia*.

¹⁵³ Akyeampong, Kwame (2004): Whole School Development. Ghana. 2005. EFA Monitoring Reporting Commissioned Study.

conditions of teachers; in *Uganda* the Teacher Development and Management System (TDMS) monitoring mechanisms were improved under SBS without yielding quality related successes. All these efforts though did not yield evidence of improved quality of learning and teaching. In *South Africa*, the EC has provided support and resources to strategies aimed at improving educational quality. The ECD/Grade R and the support to Norms and Standards for School Funding have been, or are in the process of being, rolled out nationwide. The SBS is too short to see the impact on quality improvement.

In the **Caribbean**, in the *Dominican Republic*, PAPSE 1 successfully supported a policy emphasis on quality in the drafting of the Strategic Plan 2008-2012.

In **European Neighbourhood** countries, the CBA strategy was attempted to be mainstreamed with EC supported SBS in *Tunisia*. It aimed at the mainstreaming of the CBA in the nine grades of basic education, covering the three main domains of study, Arabic, French, and Mathematics; and a more “professional” approach of in-service training of education staff (headmasters, supervisors, teachers, and administrative staff). In general, positive quality related results were achieved, apart from the fact that the CBA has not been rolled out as planned.

Compared to other countries, **fragile/failed states** represent an even greater challenge for EC support to succeed in establishing strategies for improving quality of teaching and learning. The EC has in its support applied flexible needs based arrangements, including the Sindh SBS linked to a World Bank investment credit, yielding, interesting results in establishing a foundation for performance systems including quality-related indicators even though it only started up in 2007.

This shows that, in general, countries ranking higher on HDI are more successful with EC support which complements partner government resources in meeting quality challenges than poorer countries¹⁵⁴, while fragile states need flexible approaches which show encouraging results.

Moreover, it appears that, **in general, while GBS is assisting partner government focusing on essential pre-conditions for quality** - sometimes including teacher salaries, housing, school construction and textbook development - **it is not sufficiently going into education-related variables for quality improvement** such as improved teaching methodology. Here, SBS turns out to be more comprehensive in tackling quality improvement strategies.

At a more **detailed level**, the following findings, mainly for the sample countries and mainly based on field visits, ECA reports, CSEs and more programme-related documents, underpin the summary regarding effects of EC support on strategies for improving learning:

Asia

In *Bangladesh*, PEDP II in the formal sector has been partly successful in enhancing the implementation of School Level Improvement Plans (SLIP) at selected schools (UNICEF 2010). On the other hand schools supported by EC aid channelled through projects implemented by NGOs have outperformed government schools regarding issues of school-based management, leadership and engagement.

In *India*, both DPEP and Sarva Shiksha Abhiyan have prioritised and implemented strategies for improving the quality of learning and teaching. Sarva Shiksha Abhiyan focuses on enhancing the quality of schools with improved teacher education, training and career support, better teaching learning processes and community links. A paradigm shift in teaching methods was pioneered in Tamil Nadu during DPEP 2 and continued in Sarva Shiksha Abhiyan (IDA report, Making Education Better),. In just two years the activity-based learning (ABL) method was scaled up across the state’s 37,500 primary and 12,000 upper-primary schools. Several states are adapting the innovation.

The example of India may show what important effects such coherent strategies have had in improving learning. However, the general pattern is that these are rarely implemented on a national scale and hence often remain ad-hoc and NGO steered. In this respect, reference is also made to the UNICEF-implemented and EC supported BESCS-2¹⁵⁵ project in *Indonesia*, which tries to develop district, sub-district, school and community capacity to mainstream good basic education practices into decentralised policy priorities and plans.

¹⁵⁴ One of the exceptions is certainly *South Africa* which is embarking on quality improvements but is still faced with a quality crisis.

¹⁵⁵ Basic Education Sector Capacity Support Program (BESCS).

Box 3: Indonesia: EC support towards enhancing quality of education

In Indonesia the EC in its support is focusing on enhancing the quality of education through BE-SCSP-component 2, which is called “Mainstreaming Good Practices in Basic Education (MGP-BE) and is operational under Pillar 1 “Capacity Development for Districts and Schools” (Basic Education-Sector Capacity Support Program – since 2006).

The main objective of this support is to develop district, sub-district, school and community capacity to mainstream good basic education practices into decentralized policy priorities and plans within districts in selected provinces as well as into national education policy. Capacity development assistance comprises the bulk of MGP-BE project activities and in 2008 included the District Capacity Review (made up of Institutional and Organizational Capacity Reviews), District Management Capacity Development, Capacity Development Fund, Capacity Development at school level including Training-of-Trainers and Whole-of-School Training.

Each of the activities focused on different but interconnected levels as well as elements of institutional capacity to strengthen the governance and management of decentralised basic education services, and to promote the mainstreaming of good practices into everyday usage. Two good practice training modules covering School-Based Management, Community Participation and Active Teaching and Learning (AJEL) were implemented. Moreover, whole-of-school training is to enhance the capacity of school practitioners in both school based management and education quality improvement.

Source: CSE Indonesia

Sub-Saharan Africa

In *Niger* and *Tanzania*, the government has elaborated strategies aimed at reinforcing the quality of education. In those countries, as well as in *Burkina Faso* and *Uganda*, EC programmes are aimed at achieving improvements in the quality of education at all levels, with, however, rather mixed results in terms of helping launching, amending or implementing strategies for improving the quality of learning and teaching.

- In *Burkina Faso*, the EC programme PASEB¹⁵⁶ (2000-2005) has contributed to the improvement of quality through the provision of infrastructure and of teaching materials and equipment. According to the ECA audit, it improved the material living conditions of teachers by providing them with accommodation. However, the programme neither significantly improved the quality of learning for teachers and pupils nor the quality of life of pupils at school. ECA assessed its global impact as positive in the intervention area but limited. Moreover, the sustainability of certain infrastructure (school canteens, literacy centres and teaching material) is at risk.
- In *Niger*, the ten-year plan on education development 2003-2013 (PDDE¹⁵⁷) is a sectoral strategy elaborated and developed into an Action Plan by the Government. This programme includes pre-primary, primary, secondary and non-formal education and it is implemented through the funding of three components: access, quality and institutional development. It represents a global framework for interventions of all partners in the sector. As a result, the PPARP¹⁵⁸ (EC) contribution to the expected results of PDDE is complementary to the intervention of other DPs in this sector.

The ECA report indicates that the indicators used for the 9th EDF are not sufficient to monitor the quality of education. In the PPARP (2006-2008), the only indicator related to internal efficiency is the Primary Completion Rate, while the PDDE also selected the repetition rate, results in national exams and levels of mathematics and French. The analysis of objectives and performance shows weaknesses in the quality of education. According to the ECA audit, and confirmed by the field visit, this is due to insufficient financial resources allocated in the quality component (11.7 % of expenditure), the inefficiency of human resources management and the lack of a global perspective in terms of the initial and continuous training of teachers.

- As for *South Africa*, the EC has provided support and resources to strategies aimed at improving educational quality. The ECD/Grade R and the support to Norms and Standards for School Funding have been, or are in the process of being, rolled out nationwide. While the identification of the areas of need and the demand came from the DoE, EC assistance clearly ensured that such pilots were funded. However, direct classroom impact has at times been undermined by procedural challenges, e.g. under the SISF. On the other hand, the example also shows that even limited funding to the implementation of one aspect of the South African Schools Act, namely the Norms and Standards for School Funding, can yield major positive impacts by contributing to the identification of education backlogs and disparities. The following box provides further details.

¹⁵⁶ Programme d'appui au secteur de l'éducation de base

¹⁵⁷ Plan décennal de développement de l'éducation

¹⁵⁸ Programme pluriannuel d'Appui à la réduction de la pauvreté (2006-2008)

Box 19: South Africa: EC support to enhancing quality

The quality of learning and teaching has gradually become an increasingly important issue on the South African educational agenda, partly as a result of the disappointing outcomes that international benchmarking studies have revealed. The most important of these studies included; the TIMSS in 1995, 1999 and 2003, the Progress in International Reading Literacy Study (PIRLS) in 2006 and the regular benchmarking performed by the Southern and Eastern Africa Consortium for Monitoring Educational Quality (SAQMEC). The poor scores achieved in these international benchmarking studies have been consistent with scores achieved in the internal systemic evaluation assessments and other South African studies. This has catapulted the quality challenges to the top of the education agenda, since any improvements in performance over the period have been very modest. This has to be set against a background of substantial budgetary resources being allocated to the education sector, both in absolute terms and as a share of GDP (5.5% in 2008).

Many factors are at play in explaining the dismal performance levels of the bottom 70% of learners, but a substantial infrastructure backlog that has still not been fully addressed, coupled with weak accountability and poor school governance that allows for substantial teacher absenteeism and reduced time on tasks by teachers are part of what has been termed 'the toxic mix'. These factors go some way towards explaining why South African quality levels for more than two thirds of the population are at a level that has been termed a 'national disaster'. It is not that the democratic South Africa has been lacking strategies, visions and sector plans to improve education outcomes. Starting with the SASA of 1995 and the National Education Policy Act of 1996 which created an integrated school system and laid the groundwork for subsequent policy interventions, South Africa has clearly been rolling out a strategy aimed at addressing educational imbalances and disparities in inputs, quality and outcomes.

The EC provided support to one aspect of the implementation of SASA by assisting in the development of the Norms and Standards for School Funding. The EC also supported a financial tracking system capable of identifying inefficiencies in the education sector, which was later used to varying degrees in all provinces. It was part of the Education Sector Support Programme (1997-2002, € 28 million). This is perhaps the most direct support to **strategies** aimed at improving equity, as well as quality. However, the financial importance of this support was limited. Of the original allocation of South African Rand (ZAR) 11 million only ZAR 5 million were disbursed. Nevertheless, this work proved to be critical to subsequent efforts to identify education backlogs and disparities and is arguably **an example of a relatively minor intervention contributing significantly to a major positive impact**.

More indirect support to strategies for addressing backlogs and disparities can be found in the SISP (2003-2009, € 66m), which aimed at supporting the GoSA's objective of providing more equitable access to quality learning for all, through the provision of conducive learning environments (e.g. improving school facilities and classrooms). However, out of a planned total of 150 schools, only 27 schools were eventually provided with improved infrastructure. The causes appear to have been primarily due to procedural and tender complexities, exacerbated by attempted mid-stream change in modality, and coupled with misunderstandings between the EUD and DoE. Of the € 66 committed initially, a total of € 40 million was subsequently decommitted (i.e. not spent on the intended schools). This is arguably the biggest disappointment in the cooperation between the EC and GoSA around education. Nevertheless, reports suggest that in the 27 schools that *did* benefit from EC support, better learning environments for learners have been delivered, potentially contributing to the quality enhancement strategies of GoSA, but the impact at the national level is obviously negligible.¹⁵⁹

Finally, support to Early Childhood Development (ECD) and the piloting of the reception grade (Grade R) can also be viewed as support to GoSA's attempts to improve equity and quality. This support was a (successful) component of the Technical Support Programme to Department of Education (TSP-DoE, 1997-2004, € 17 million). This pilot and the associated audit of all ECD facilities (24,000 sites were recorded) proved highly influential in the development of the subsequent strategy on ECD and the roll-out of Grade R. Systemic evaluations of Grade 3 learners suggest that those learners who attended Grade R were performing better than their counterparts who had not. The current Primary Education Sector Policy Support Programme (PrimEd SPSP, 2010-2013, € 122 million) can be seen as further expanding support to the previous achievements with ECD and Grade R (among other areas of support).

Source: Country Note South Africa

- The Uganda Education Sector Strategic Plan (ESSP 2005-2015) also focuses on improving the quality and relevance of primary education through a number of measures such as improving the instructional processes that lead to students' achievement of literacy, numeracy and basic life skills. Here reference is made to a key role for the EC supported TDMS through sector budget support. Moreover, assistance to strengthening the teaching force was given. Overall, from the various sources analysed, it appears that the EC's and other partners' support for Universal Primary Education has assisted GoU in improving quality through the provision of competent teachers and advisory support to schools, and that technical assistance for areas such as the national assessment of learning achievements has been helpful.

However, the ex-post ROM monitoring of SUPE of May 2007 states that there are major constraints on the quality front, namely the lack of means to reprint books and the need to retrain 127,000 teachers. It also stresses that quality standards need to be maintained and the first strategic plan ESIP focused on quantitative improvement. The strength of the next strategic

¹⁵⁹ See e.g. European Commission (2009): Final Evaluation of SISP

plan, ESSP (2005-2015) is that it focuses entirely on one variable, namely quality. Both this focus and the process that delivered the ESSP are remarkable achievements. Through revamped curricula, improved teacher training methods and improved school management, local stakeholders are beginning to value quality as a key criterion.

The Caribbean

Another case where the issue of strategies regarding quality has become prominent during the period under evaluation is the *Dominican Republic*. According to the Country Note, the country has clearly established its priorities and strategic orientations to enhance the quality of the teaching-learning process: “Foster meaningful learning related to the basic needs of the knowledge society likely to facilitate the development of creativity, critical spirit, capacity for research, innovation and utilization of new Information and Communication Technology (ICTs)”¹⁶⁰. The formulation of the strategy has been supported by the EC within the TA provided by PAPSE I. This TA has in fact participated and assisted both the Education Strategy 2008-2018 and the 2008-2012 mid-term strategy, the Strategic Plan for Educational Management. The following box highlights some further elements of the policy.

Box 20: Dominican Republic: Increasing policy emphasis on quality

The Strategic Education Plan 2008-12 refers to the first years of the reform envisaged in the sector's longer-term Ten Year Plan 2008-18. This Plan is embedded in a broad sector development plan with an appropriate financing framework, containing the key elements of a sectoral Medium Term Expenditure Framework (consistency with the long-term strategy, strategic actions, indicators, targets and budgetary quantification). It foresees a dramatic increase in public spending in the sector, reversing the historical trend (around 2% of GDP spent in education) to reach a record spending of 4.1% of GDP by 2012.

The guiding principles of the Strategic Plan for Dominican Republic Educational Development are: a) education for all - learning and development: equality of opportunities, lifelong “learning to learn”, focus on scientific and technical advances; b) education for all - participatory and responsible citizenship: freedom, peace, ethics and solidarity; c) education for all: national project: national identity in diversity, shared societal responsibility; and quality education as a fundamental asset for development.

Five strategic pillars have been established: A) Democratisation and equity; B) Quality of education; C) Quality of teaching; D) Decentralisation; and E) Financing.

According to the Strategic Plan, quality in education has to be promoted by improving three fundamental elements: a) curriculum; b) teacher's capacity and c) capacity of all the actors involved in the education process. More specifically, the strategic document foresees:

- Curriculum: for the first strategic element the objectives are relevance and quality, namely: a) capacity to produce good learning results in terms of knowledge and competences to perform effectively in social relationships and further education or work environments and b) to be acknowledged by different societal components,
- Teachers' capacity: for the second strategic component the objectives are: a) attainment of capacity to teach effectively at the level for which teachers are formally recognised; b) an effective incentive system linked to performance evaluation; c) an adequate wage to allow teachers to attain a good standard of living and social status; and finally d) actual completion of the school day and work performance compliant with ethical values.

Source: Country Note Dominican Republic

European Neighbourhood countries

In *Tunisia*, the main strategy for improving the quality of learning and teaching is the CBA. The approach was developed, which required new curricula, new didactic material, and an extensive programme for retraining teachers, headmasters, supervisors and pedagogical advisers. The reform has been implemented grade after grade (each year a new grade is included in the scheme) as from 2001, but when the six grades of primary education had been completed, the reform was not extended to grades 7 to 9. It should be noted that one of the basic principles of the CBA is to develop trans-disciplinary competencies, which require active cooperation between teachers and teamwork. The CBA was one of seven components supported by the EC in its primary education SBS.

The two EC support programmes were entirely dedicated to the introduction of measures aimed at the improvement of quality, among which, they include the following: (i) the mainstreaming of the CBA in the nine grades of basic education, covering the three main domains of study, Arabic, French, and Mathematics; (ii) a more “professional” approach of in-service training of education staff (headmasters, supervisors, teachers, and administrative staff); (iii) the implementation of the “Politique d'Education Prioritaire” (PEP), whose objective is to provide some additional resources to disadvantaged schools; (iv) the strengthening of the decentralisation process, aimed at giving more responsibility to local stakeholders; (v) the elaboration of a new policy in the field of educational research; (vi) the improve-

¹⁶⁰ Dominican Republic (2009): Strategic Plan for Dominican Republic Educational Development - Volume II, 2008

ment of school life in the framework of increased equity (for instance, canteens in rural areas where distance to home is a handicap); and finally (vii) appropriate measures to make school attendance as free as possible for low income families. All these components have been effectively implemented during the period under investigation, with the exception of the introduction of CBA in grades 7, 8 and 9. One can add that the decentralisation process is not yet completed, and that education research has to be further developed.

Fragile/failed states

- In *Eritrea*, the Government developed a USD 240 million five-year ESDP in 2005. The ESDP was introduced in 2005 and is widely seen by all concerned stakeholders as a significant step forward for the education sector, since it advances a comprehensive approach to improve access to and quality of basic, adult, general, and technical and vocational schools. The objectives of the ESDP are to increase equitable access to basic and secondary education, improve the quality of education, develop vocational, technical and technological skills, and strengthen institutional capacity. The ESDP-PMU (Project Management Unit) has been set up to implement and coordinate inputs into the ESDP from the various development partners, including the EC.

The EC, together with the World Bank, the African Development Bank and UNICEF and other agencies, is providing support to the Government of Eritrea (GoE) to assist it to achieve the educational quality targets established in the ESDP. In addition, the EC-SEE (EC-Support to Education in Eritrea) was to support areas of intervention which have not adequately been addressed either by the WB or the AfDB.

According to a recent monitoring report¹⁶¹, the EC, under the EC-SEE project, has assisted the Government to focus on improving education quality and to expanding its infrastructure to meet targets in catering for enormous numbers of out-of-school children. The EC-SEE project's specified components and their respective budgets within the total project budget of € 53 million are:

- o Component 1: The Professional Development of teachers (Project budget € 6.07 million)
- o Component 2: Enhanced quality of the education system (€ 10.37 million)
- o Component 3: Construction and equipping of educational infrastructures implemented through the World Bank Trust Fund (€ 32.44 million).

According to the aforementioned report, concrete reforms in primary education, middle school education and technical and vocational education are well underway in 2010. *"A National Curriculum Framework and a National Education Policy have been developed. Although the Curriculum Development Centre as such has not yet been established, there is an awareness and conviction that future curriculum development work in the different departments should be harmonized and shared"*. Moreover, a Quality Assurance Framework has been developed and awareness and understanding of this difficult concept has been raised. The strengthening of quality assurance systems is also in process, but has been seriously delayed. Also, according to the report, most of the limitations under the plans for strengthening of the National Accreditation and Evaluation System are directly or indirectly related to delays in establishing the National Accreditation and Evaluation Centre to be constructed under Component 3 - and to restructuring of the MoE.

- As regards the EC contribution to improving the quality in education in *Liberia*, the ECA audit states that the considerable delays¹⁶² in the ECSEL¹⁶³ project do not yet allow for a general assessment of the results achieved. The only result of the ECSEL is the "empirical" improvement in the school book-to-pupil ratio from 1:27 to 1:2, which was achieved between June 2008 and June 2009 and to which the ECSEL short term TA contributed. It should however be noted, that the large quantities of textbooks purchased have not yet been distributed to all schools and the "empirical" ratio therefore does not yet reflect the actual state of affairs in the classrooms in most of Liberia's primary schools. As highlighted in a 2009 ROM assessment, some

¹⁶¹ Particip GmbH, Edinburgh Consultants (2010): Ex-post evaluation of programme-estimates and annual monitoring of the project "EC Support to the Education Sector" – Eritrea. EuropeAid/126248/D/SER/ER. Service Contract 9th EDF – account no. 9.ACP.ERY.9. Monitoring Mission Report. Draft Final Report. Volume 1.

¹⁶² That are largely caused by the delay in the deployment of a dedicated education project officer in the EUD and the long term TA.

¹⁶³ EC Support to Education in Liberia

limited progress has also been made with contributions from ECSEL funded TA towards the development of the EMIS.

- In its education support to *Pakistan*, according to the assessment made by the Country Note, the EC has succeeded in combining an emphasis on access and enrolment, with a focus on improved quality, as measured by quality indicators. This is valid both for EC support to the Northern Pakistan Education Programme and for EC support to education in the earthquake affected areas, implemented via an ADB managed trust fund and through UNICEF. The following box provides a more detailed picture.

Box 21: *Pakistan: The role of quality strategies in EC support to Northern Pakistan and in the earthquake affected areas*

The quality dimension is well catered for in the **Northern Pakistan Education Programme**, where the first result area concentrates on the improved quality of teaching and learning in schools, non-formal centres and other educational institutions. In this vein, the ROM report of September 2005 notes that the "lack of access to quality education is exacerbated in rural areas such as the Northern Areas and Chitral and affects girls disproportionately. The intervention addresses these problems through a very well designed programme based on a comprehensive and targeted capacity building plan, development of methodologies and a strategic partnership with the government." The project succeeded in achieving or even surpassing its targets related to:

- Development of subject-wise and level-wise minimum learning standards;
- Development of coherent, context-related set of teacher development courses;
- Provision of teacher development courses in content and methodology, integrating a multi-grade approach;
- Provision of initial/pre-service training for teachers;
- Training of teachers for Early Years education, especially females;
- Establishment of the Reading Enhancement and Achievement Program (REAP) to improve reading skills of teachers and students.

Apart from physical infrastructure and rehabilitation, EC support to education in the **earthquake affected areas** also covered components to re-engineer the disrupted education system, including teacher training. The UNICEF component covered:

- Provision of teacher training in teaching-learning methodology, in a tent environment, through consultants with experience in education in Afghan Camps. (Here, the existing facilities of teacher training in Abbotabad of Khyber Pakhtunkhwa were utilised);
- The existing teaching/ learning materials were modified and new materials were developed to cater for the new requirements and socially emerging situation, as well as to keep the children engaged in the new scenario of tent schools;
- Accommodating textbook requirements. AJK and Khyber Pakhtunkhwa regions had different sets of textbooks, covered under two different Textbook Boards, which was a major issue as UNICEF was required to work in these two different areas.

The EC supported ADB MDTF education component implemented teacher training, and even though it was faced with delays in its construction component, it was quite successful with regard to teacher training. The programme used an approved teachers training package, designed by Revitalizing, Innovating and Strengthening Education - USAID Earthquake Reconstruction (RISE) to 600 target teachers. The impact of this training was monitored through follow up support in monthly meetings of teachers at cluster levels and impact assessment of training imparted.¹⁶⁴

Source: Country Note Pakistan

As for EC support to education in Sindh, and given the short time span of one year without any disbursement having been made prior to the end of the period covered by the evaluation. The following box shows further constituting elements of EC support to quality in the province.

Box 22: *Pakistan: EC SBS to the Sindh Education Sector: Emphasis on quality*

The SERP represents a medium-term strategy to improving access, equity, quality and governance in elementary and secondary education. The objectives of SERP are to increase participation in school, reduce gender and rural-urban disparities, increase progression and completion and to improve student learning. Success in meeting SERP objectives are to be measured by a number of outcome indicators, among which some are related to quality and learning achievements.

The EC is supporting the SERP through a package of sector budget support and technical assistance or the SEP-SP. Four tranches of sector Budget Support (henceforth BS) were agreed totalling € 33 million, with the 1st EC Budget Support Tranche of € 9.5 million released in October 2008 against the same government's SERP policy matrix and prior actions as SEDPC-1. SEDPC-2 was due to be released during FY 2009 subject to fully meeting the pre-agreed requirements in the form of various outcomes as measured by well-defined

¹⁶⁴ See: Earthquake Emergency Assistance project (EEAP) Education Sector Portfolio in Earthquake affected Areas of AJK

monitorable indicators.

The EC is partnering with the World Bank who approved the First Sindh Education Sector Development Policy Credit (SEDPIC I).

SERP is tackling major issues through a SWAp, and Education Sector Policy framework based on four complementary pillars or reform areas:

- Pillar 1 is to improve fiscal sustainability and effectiveness of public expenditures, including in education, through fiscal, financial management, and procurement reforms.
- Pillar 2 aims to improve education sector management through reforms to strengthen the functioning, capacity and accountability of provincial, district and school level management.
- Pillar 3 is to improve access to quality schooling with a particular focus on rural areas and girls.
- Pillar 4 aims to improve the quality of teaching and student learning through reforms to improve teacher recruitment (on merit), management and professional development, and to improve and use feedback on student learning.

Out of the 12 EU BS triggers, the following four are in the quality domain:

- Merit-based school specific recruitment of teachers: Improving the quality of the hiring of new teachers;
- Teacher education development (TED): Improving teacher training effectiveness and teacher quality;
- Learning assessment of students: Improving the regular measurement of learning;
- Delivery of free textbook sets.

Merit-based teacher recruitment (away from political influence) and the share of schools receiving new textbooks within the first months of the academic year (as part of the assurance of government commitment and ownership of the programme) were among the reasons for non-compliance and hence the delay in disbursement of the first EC tranche.

On the other hand, the merit-based recruitment policy developed in Sindh is a model for other provinces. The Institute of Business Administration (IBA) has been contracted to develop and conduct tests for the recruitment of teachers. The GoS is strictly maintaining merit-based teacher recruitment procedures and timely delivery of text books, which is a large trigger related achievement indeed. Moreover, in Sindh, quality related expenditures are costed but by item, not by component (e.g. textbook provisions). This makes it rather difficult to assess quality-related expenditures.

In support of the GoS meeting requirements posed by quality related DLIs, the EC's TA covers an EC Quality Education Adviser and the support as such includes requirements related to TED in a co-ordinated way with the WB TA and the USAID Pre-Service Teacher Education Program (PRE-STEP) advisor. Moreover, the EC's TA also supports teacher training competencies assessments, pre- and in-service training, a code of conduct programme, a reading literacy programme and annual education excellence awards.

Apart from these, the EC's SBS and Sindh Education Reform - Technical Assistance (SER-TA) will, together with relevant departments, cater for improved QE standards and tools in schools and in the education sector (at both Province and District levels). This will be achieved through the establishment of a teacher and student tracking system, as well as Teacher Resource Centres.

Source: Country Note Pakistan

4.1.2 Measuring progress through ratios: I-412: Percentage of non-salary to salary budget allocation, I-413: Pupil-teacher ratio, and I-414: Pupil-classroom ratio

Each of the following intermediate indicators provides some insight into progress towards better educational quality but they do not provide insight into outcomes reflecting quality improvements. Given the fact that a look at combinations of them makes more sense than trying to analyse them individually, they are dealt with together. Moreover, as data sets are often rather sketchy, this approach is the only feasible one. The following table shows the data set available for the **percentage of teacher salaries within the education budget** of the selected sample countries; countries for which no data could be retrieved have been removed from the list. Also here, the field visits could not help to add substantial information.

Table 24: Share of teachers salaries of overall expenditures (% of current education expenditure, 2001 and 2007, sample countries)

Country Name	YR2001	YR2007
Asia		
Bangladesh		71***
Sub-Saharan Africa		
Burkina Faso		73
South Africa	69	66
Caribbean		
Dominican Republic	84	55
Jamaica	63	82
Latin America		
Argentina	58	62**
Fragile states		
Pakistan		75

No data available for 2000

* = 2002

** = 2006

*** = 2008

Source: World Bank Edstats

As for the **Pupil-Teacher Ratio**, it gives indications of the allocation of teachers to schools and hence how many students on average can avail of one teacher. There are gross disparities between urban and rural areas, rich and poor districts, well-accessible and remote areas in PTR. Approaches to accommodating these discrepancies are difficult to materialise with teacher rationalisation and deployment (applied e.g. in *India* during DPEP). In several countries schools are applying double shifts but this often leads to decreased quality as measured by tests (see e.g. Country Note *Dominican Republic*).

Increased enrolment since 1999 has gone hand in hand with an increase in the recruitment of primary teachers. Many countries in **Sub-Saharan Africa** – including *Burkina Faso* and *Niger* - have more than doubled the teacher workforce, improving the pupil/teacher ratio. However, despite this progress, teacher shortages remain a serious concern. In this context it is important to note that countries set their own targets for pupil/teacher ratios, making cross-country comparisons difficult. However, the most widely used international ceiling for the pupil/teacher ratio is 40:1.

It should be stressed though that the benchmark of 40 refers to the in-country average with unavoidable levels of size disparities among schools. In the FTI framework, which is utilised for calculating the financial support to be provided by donors for achieving the MDG education objectives, the size of 40 is taken as an average. This implies that some classes will be above 40, while some will be below this threshold. It is not an indicator limiting the standard deviation of sizes, which implies that the average of 40 is compatible with 10% of classes with more than 60 pupils if there are 10% of classes below 20 pupils, or with any other dispersion.

The following table shows the development of the PTR between different countries.

Table 25: Pupil-teacher ratio for sample countries (2000 and 2007)

Country Name	YR2000		YR2007	
	Primary	Secondary	Primary	Secondary
Asia				
Bangladesh		38	45	25
India	40	34		
Indonesia	22	16	19	13
Tajikistan	22	16	22	17
Vietnam	30	28	20	22

Country Name	YR2000		YR2007	
	Primary	Secondary	Primary	Secondary
Sub-Saharan Africa				
Botswana	27	17		
Burkina Faso	49		48	28
Eritrea	48	54	48	49
Ghana	34	19	32	18
Mozambique	64		65	37
Niger	41	23	40	27
South Africa	33	28	31	29
Tanzania	41		53	
Uganda	59	18	57	19
Caribbean				
Dominican Republic			24	29
Jamaica	34	19		20
Latin America				
Argentina	19	11		
Nicaragua	36	32	31	31
European Neighbourhood countries				
Tunisia	23	19	18	16
Russian Federation	18		17	9
Fragile states				
Eritrea	48	54	48	49
Somalia			31	
Pakistan	33	15*	40	15**
Occupied Palestinian Territory	36	26	30	25

* = data for 2001-02; ** = data for 2005-06

Source: World Bank Edstats and Government of Pakistan, Ministry of Education (2008): EFA Mid Decade assessment Report

As for the **Pupil-classroom ratio**, only very limited data is available on the pupil-classroom ratios for the sample countries. Further data could also not be retrieved during the field visits. Data on pupil-classroom ratio are currently only retrievable for a few countries, as this indicator seems not to be used as a standardised indicator.¹⁶⁵

From the rather sketchy data sets, the field visits, and numerous other sources, the following **picture emerges related to trends in quality linked indicators and possible effects of EC support**: overall, as far as time series are available and reliable, the PTR has decreased in most countries between 2000 and 2007 both in primary and secondary education. In **Asia**, even when considering regional discrepancies, the PTR for primary education is now well below the artificial threshold of 40 in *India*, *Indonesia*, *Tajikistan* and *Vietnam* but is still too high in *Bangladesh*. In **Sub-Saharan Africa**, there is a strong difference between medium income countries such as Botswana, South Africa and Ghana, where the PTR is adequate as a basis for implementing quality improvement related learning and teaching methodologies. But in the other countries it is still far too high; in general above 50. Improvements should ask for massive teacher recruitment extending the teacher payroll which is unaffordable in the present conditions of austerity. **Latin America**, the **Caribbean** and **European Neighbourhood** countries are now at PTR levels comparable to the OECD countries. Also **fragile states** like *Pakistan*, *Somalia* and the *Occupied Palestinian Territory* are showing adequate PTRs, but it should be stressed that the number of out-of-school children in the first two countries mentioned is positively influencing PTR. In general, the somewhat better PTRs for secondary education in poor Sub-Saharan countries reveal the low secondary GERs rather than being based on quality enhancing strategies.

EC support related to assisting partner countries in accommodating consequences of enrolment increase has mattered, even though not succeeding in significantly improving key indicators such as PTR and decreasing the share of teacher salaries in the recurrent budget. Even though this

¹⁶⁵ Data available for the following countries: Congo, Democratic Republic; Kyrgyzstan; Rwanda; Sierra Leone on <http://epdc.org/>.

pattern looks far from gloomy, it is clear that given increases in enrolment these indicators would have been deteriorated without EC support. The results of monitoring compliance of quality related indicators may also be based on unrealistic target setting.

While, overall, positive developments can be noted with regard to PTR in LDCs, in **Sub-Saharan Africa** the teacher recruitment requirements for substantiating the UPE drive could only partly be accommodated with the help of EC support, especially through GBS. But it must be considered as insufficient to adequately address classroom and teacher requirements to meet the influx of new enrolments:

- While *Niger* and *Mozambique* have benefited from considerable amounts of GBS and their enrolment rates have steeply increased, they still suffer from high PTRs. From that it seems as if efforts in increasing enrolment were not sufficiently accompanied by measures towards increasing teacher staffing. However, according to the Niger Country Note, the GBS provided by the EC has been instrumental in supporting the salaries of contractual teachers. Moreover, the ratios concerning the number of classrooms and schools can be considered satisfactory; in a period of rapid expansion of primary education, no significant deterioration can be observed. These trends have been accompanied by EC support through GBS.
- While *Burkina Faso* saw considerable increases in classrooms and teachers between 2001 and 2005, the PTR did not change significantly between 2000 and 2007. On the other hand, the numbers of arithmetic and reading books have significantly increased and the pupil-arithmetic books ratio as well as the pupil-reading books ratio increased considerably. However, according to analysis undertaken by the Programme for the Analysis of Education Systems (PASEC)¹⁶⁶, the quality of learning has decreased while the number of teachable children has increased.

In *Tanzania*, the number of primary school teachers has increased considerably between 2003 and 2008/09 but this is still not sufficient to meet the demand, the PTR seems to be worsening. As regards the EC contribution, the PEDP programme financed under the 8th EDF, which supported primary education, showed considerable achievements in terms of new classrooms built (80% of PEDP targets).

On the other hand, the example of the *Dominican Republic* shows, that using targeted SBS can yield positive results in terms of education quality: EC allocations through PAPSE **were spent only on innovation issues and, according to the findings of the Country Note, provided an important leverage effect that otherwise would not have been possible**. As a consequence, the EC contribution to the attainment of the objectives of the Strategic Plan is important and significant. In *Pakistan*, through the Sindh SBS, the percentage of non-salary to salary budget allocations in Sindh has been improved by covering allocations for girls' stipends, free textbook provisions and allocations to district administrations for construction and rehabilitation under the District Terms of Partnership (between Provincial & District Government).

At a more **detailed level**, the following findings, mainly for the sample countries and mainly based on field visits, ECA reports and CSEs, underpin the summary made:

Asia

- In *Bangladesh*, the EC supported the Primary Education Development Programme PEDP-II was geared towards the reform of formal basic education, and extended for the period 2004-2009 including improvements in basic indicators related to access and quality.
- For *Vietnam*, considerable progress has been made regarding the PTR between 2000 and 2007. However, according to the CSE of 2009, the quality of teaching and education at the primary level is generally deemed to be limited, which is often due to ineffective methodology, too few class hours compared to international standards, and inadequate training materials, physical facilities and textbooks. This is especially true in remote regions. Teacher ability varies between areas and regions. Both the quality and the quantity of school infrastructure remain therefore inadequate in view of reaching EFA objectives. The bulk of the increase in the education budget over the past years have been devoted to teachers' salaries, leaving schools as poorly endowed as ever. Poor facilities prevent the implementation of full-day classes and the proper implementation of the new curriculum¹⁶⁷.

¹⁶⁶ CONFEMEN (2009): Les apprentissages scolaires au Burkina Faso: Les effets du contexte, les facteurs pour agir, Etude PASEC Burkina Faso, Ministère de l'Enseignement de Base et de l'Alphabétisation. September 2009

¹⁶⁷ See also Henaff, Nolwen; Lange Marie-France; Thuân, Trân Thi Kim (2007): Viet Nam. Country case study. Country profile prepared for the Education for All Global Monitoring Report 2008. Education for All by 2015: will we make it? (2008/ED/EFA/MRT/PI/37)

Sub-Saharan Africa and the Caribbean

- *Botswana's* efforts and investments in education are reflected in low PTRs close to those of OECD countries. Since the early 2000s, Government spending on education and training has remained at roughly 30% of the recurrent budget.
- A great deal of progress has been achieved in increasing access to basic education in *Burkina Faso* (EC support mainly via GBS), which saw a 37% increase in classrooms and a 47% increase in teachers between 2001 and 2005. Overall, according to the EFA GMR 2008, despite some progress, service provision cannot keep up with demand. "As a result, general teaching and learning conditions have tended to deteriorate, with overcrowded classrooms, absence of basic classroom materials, lack of drinking water and sanitary facilities in schools, and insufficient teacher training." Moreover, the capacity in government departments responsible for the development of education seems to be weak, despite the fact that, following an organisational audit in 2001, the government restructured the Ministry of Basic Education and Literacy and brought teachers into the integrated administrative and payroll management system for civil servants. However, according to the EFA report, the Ministry has difficulty keeping up with the rapid development of the system and has not yet drawn up an overall capacity-building plan addressing structural and logistical issues.

However, despite the increase, in classrooms and teachers, the PTR did not significantly change between 2000 and 2007 and was still at a level of 48 in 2007. As regards the results of the Education and Capacity Building component of the EC's Budget Support for Poverty Reduction 2005-2008¹⁶⁸, the analysis of indicators shows, in general, a performance below objectives for the pupil-chair and pupil-teacher ratios. According to the ECA report, the under-performance concerning these indicators is mainly due to the rapid growth in the number of pupils, which was much higher than planned. The pupil-teacher ratio even increased to 54 in 2007 and 53 in 2008, compared to 52 in 2004. The target set by the Priority Action Plan of the Strategic Framework for the Fight against Poverty (PAP-CSLP) is 52 in 2010 and seems realistic, according to the ECA.

On the other hand, the numbers of arithmetic and reading books have significantly increased and the pupil-arithmetic books ratio was 0.91 in 2008 compared to 0.26 in 2001 while the pupil-reading books ratio increased from 0.49 in 2001 to 0.9 in 2008. According to the ECA report, even if they are still under one book per pupil, the objective could be reached in 2010. According to analysis undertaken by the PASEC at the Conference of Ministers of Education from French-speaking countries (CONFEMEN)¹⁶⁹, the quality of learning has decreased while the number of teachable children has increased.

- In *Namibia*, teacher payroll expenditures account for more than 75% of the education budget, crowding out other recurrent expenditure, including purchasing of textbooks and materials, as well as renovation. The EC financed an Expenditure Issues Paper and an Education Expenditure Strategy to find ways to free money from the big payroll, which became part of the ETSIP financial strategy. According to the ECA report, ETSIP has, however, not succeeded in reducing personnel and utility expenditures.

¹⁶⁸ "Appui budgétaire pour la réduction de la pauvreté"

¹⁶⁹ CONFEMEN (2009): Les apprentissages scolaires au Burkina Faso: Les effets du contexte, les facteurs pour agir, Etude PASEC Burkina Faso, Ministère de l'Enseignement de Base et de l'Alphabétisation. September 2009

Box 23: *Namibia: The Education and Training Sector Improvement Programme (ETSIP)*

In *Namibia*, ETSIP was targeted towards increasing the pupil-teacher ratio to 40 which has not been reached. This target differs from the target of 35 set in the GRN's Vision 2030 and even directly contradicts the policy of learner-centred and inclusive education. The ECA report notes that in systems which succeed in implementing such an approach to education, the cut-off point for class size is 27-28. Educational quality remains a cause for concern with drop-out and repetition rates standing steadily at high rates. Moreover, there are insufficient books to ensure a 1:1 learner-to-textbook ratio and generally a lack of other learning materials.

The adequate provision of qualified teachers, textbooks and school facilities, which affects the quality of education, is off-track when compared to the targets set by Vision 2030 and the targets set by the MoE for the fiscal year 2007/2008. Also, there are still many "make-shift" structures for primary schools and where permanent structures are in place; they are sometimes without running water, sanitation and/or electricity. Schools are financially dependent on the School Development Funds for such basic provisions as textbooks, materials, renovation, and even teachers, due to insufficient public funding. School maintenance (which is primarily the responsibility of the Ministry of Works) is also suffering from insufficient funding.

According to ECA, ETSIP has not succeeded in reducing personnel and utility expenditures. Some proposed changes were adopted, such as to de-couple teachers' salaries from qualifications or a funding formula to provide more resources to disadvantaged regions, schools and communities. However, many others, such as the proposed staffing norms which led to significant opposition from teachers were rejected. These proposed changes have been counteracted by a recent 12% pay increase for teacher and other civil servants, and the systematic budget overrun of personal expenditures amounting to some 6.52% in education for fiscal year 2007/2008. ETSIP also plans to generate efficiency savings by increasing the learner-teacher ratio to 40 which directly contradicts the policy of learner-centred and inclusive education. Nevertheless, this target has not been reached. A recent EC-funded study concludes that it is unlikely that efficiency savings can be generated in the way prescribed in ETSIP because they are based on unrealistic assumptions¹⁷⁰.

Source: ECA report *Namibia*

- While *Niger* and *Mozambique* have benefited from considerable amounts of GBS and their enrolment rates have steeply increased, they still suffer from high PTRs. From that it seems as if efforts in increasing enrolment were not sufficiently accompanied by measures towards increasing teacher staffing.
- In *Niger*, the average number of pupils per teacher in public schools decreased slightly from 41 in 2001-2002 to 40 in 2006-2007. The ECA report indicated that the high population growth rate resulted in an increase of the total number of children of primary school age from 2.3 million in 2005 to 2.9 million in 2015, which requires the creation of at least 15,000 new classes and the recruitment of as many teachers over the period. According to the Country Note, the GBS provided by the EC has been instrumental in supporting the salaries of contractual teachers. Moreover, the ratios concerning the number of classrooms and schools can be considered satisfactory; in a period of rapid expansion of primary education, no significant deterioration can be observed. These trends have been accompanied by EC support through GBS.

¹⁷⁰ Support to the Formulation of the Education Sector Policy Support Programme in Namibia – Final Report July 2009.

Box 24: *Niger: Trends in some quality-related indicators*

According to the Country Note, the “**percentage of non-salary expenditure**” fluctuates between 8% and 10%. No trend can be determined from this expenditure, which does not include expenditure of the projects of certain donors not involved in the common fund. The expenditure is clearly not sufficient, but the government is still giving priority to salaries. It had to face several strikes from teachers when salaries were delayed. It is interesting to note that salaries of contractual teachers are not included in the “salary” title of the budget classification, but under “subventions et transferts courants” (allocations and current transfers), which is presently the largest budget line in the education budget, having increased from 31.7% in 2003 to 54.6% in 2008.

The **GBS** provided by the EC has been instrumental in supporting the salaries of contractual teachers. As mentioned in DG Development’s “Revue à mi-parcours de 2004 Niger”, “...10 M Euros d’aide budgétaire sectorielle éducation pour couvrir entre autres les salaires des enseignants contractuels...sur deux ans...”.

The **pupil/teacher ratio** has not changed very much during the period under investigation. It has fluctuated around 40 pupils per teacher, which is precisely the suggested norm by the FTI framework. In the context of Sub-Saharan Africa, it is close to the average, as many countries are still above this threshold. However, there is still a large disparity among schools: 13% of schools have more than 60 pupils per teacher, while 50% have less than 40 pupils per teacher, and 38% have between 40 and 60 pupils per teacher.

The **pupil-classroom ratio** (I-414) is slightly above pupil-teacher ratio. It increased slightly from 43 to 46 during the first half of the period under investigation, and subsequently returned to its initial value of 43 in 2008-09. This means that the number of classrooms is increasing more or less at the same pace as that of the increase of teachers, with a permanent shortage of classrooms of about 7%-8%. The number of new classrooms built with the investment budget of the Ministry of Education is lower than the number required by the PDDE, but local communities are compensating for the deficit by erecting “paillotes” when a new teacher is assigned.

The **number of pupils per school** initially declined from 141 to 126, but started to recover in recent years, with 134 pupils per school in 2008-09. This is a relatively low level, in the sense that it is not enough to justify that all schools be complete schools with six grades. It would generate a pupil-teacher ratio of 23, which is far below the actual ratio of 40. Some schools are incomplete because they have opened too recently to have developed the six grades, and some because they are located in areas where the school age population is too low for setting up a complete school. There are 32.9% of schools in which at least 40% of grades are provided in multi-grade classes, which merge at least two grades in the same class. It is not necessarily a handicap in terms of quality, if teachers are properly trained to manage such classes. It is, however, a risk of lower performances.

Source: *Country Note Niger*

- In *Tanzania*, the number of primary school teachers has increased by some 40,000 between the baseline year of 2003 and 2008/09 but this is still not sufficient to meet demand. The primary pupil-teacher ratio has increased from 46:1 in 2000 to 53:1 in 2006-2007. Some districts even have a pupil-teacher ratio as high as 74:1. According to the ESPR 2009 (p. 79 and p. 76), the teacher deficit was amounting to 30,405 for primary and 62,567 for secondary in 2008/2009. However, teachers’ salaries have not been adjusted in recent years and teachers’ work environment has been challenged in numerous ways, including with respect to transportation and (the physical) collection of salaries.

From the sample countries, the example of Tanzania highlights the **problems faced when a country is making considerable efforts towards achieving UPE**: although the construction targets set were met, they proved insufficient as enrolment increased by 90% between 1999 and 2005. Approximately 30,000 new classrooms were constructed between 2002 and 2004, with a further 20,000 under construction, meaning that the Government was close to its target of building a total of 54,000 new classrooms during the PEDP. In order to cope with the enrolment growth, two-thirds of the classrooms and up to a quarter of the teachers were assigned to double-shift teaching. Such a situation with classroom shortages, more intensive use of infrastructure and high PTRs clearly affects quality. Reasons, according to the 2005 CSE, included that the basic education reform in Tanzania concentrated more on quantity at the expense of quality of learning and teaching. The ECA reports shows in *Tanzania*, the ratio between primary school pupils and classrooms had improved in 2007 (1:77) compared to 2006 (1:92). However, in 2008 (1:109), it was again significantly above the level of 2006. As regards the EC contribution, support to PEDP programme financed under the 8th EDF, which supported primary education, showed considerable achievements in terms of new classrooms built (80% of PEDP targets).

- In *Uganda*, it has been noted in the 2009 meeting of the Education Sector Consultative Committee that some schools inflate pupil enrolment and teacher deployment so as to be allocated more capitation funds. According to the ECA audit, such a situation makes all the harder to objectively measure whether targets are achieved and progress made in the sector. Uganda has made considerable efforts, supported by the EC, of expanding access to primary education. This expanded access has *not* always yielded results in reduction of the PTR over the evaluated period.

The 2009 Joint Assessment¹⁷¹ concluded that for education, despite targets being met, problems identified in previous assessment still persist. A 2007 study revealed about 20% of the wage bill – almost Ush 55 billion [€ 24.55 million¹⁷²] is lost to teacher absenteeism each year and that only 18.2% of teachers are teaching at any point in time. Low teacher attendance rates reflect poor school management, poor supervision by Government and insufficient support to teachers. In addition, problems arise from the inefficient distribution of resources across the sector such as the inefficient distribution of teachers within schools, within districts and between districts, as well as the overemphasis of resources at upper primary and the political redirection of grants at district level.

The Caribbean

As for the *Dominican Republic*, EC support through PAPSE has been important to qualify the education expenditure. In fact around 92% of expenditure in education is made up of national resources while external resources amounted to around 8% in 2009.¹⁷³ The fact that EC allocations were spent only on innovation issues provided an important leverage effect that otherwise would not have been possible. As a consequence, the EC contribution to the attainment of the objectives of the Strategic Plan is important and significant. However, learning conditions remain weak, as exemplified in the following box.

Box 25: Dominican Republic: Problems being faced in terms of quality of education

Total EC support over the period is around 4% of total expenditure¹⁷⁴ but it has to be considered that from the data available, the budget allocation to salaries (and related expenditure) reaches almost 63.1% and that the recurrent expenditure amounts to 23.1% while only 13.9% are spent on physical investments.

The EC allocations being spent only on innovation issues thus provide an important leverage effect that otherwise would not have been possible. As a consequence, the EC contribution to the attainment of the objectives of the Strategic Plan is important and significant. This has been recognised in a number of interviews with high ranking government staff.

However, quality of education is an outstanding problem of the DR's education system. This is due to various problems such as: a) low levels of qualifications of teachers and school managers; b) insufficient infrastructure; and c) curricular weaknesses. This situation is also reflected in a number of indicators:

- The **pupil-teacher ratio** is quite high: for primary education (Nivel Básico) this rate stands at 33.7 and in Secondary (Nivel Medio) it stands at an even worse level: 43.3.
- The **pupil-classroom ratio** could not be retrieved but a proxy is available: The section / classroom ratio is 1.86 in primary education and 2.10 in secondary. This means that in the majority of the classrooms there are multiple shifts. Considering that the situation in rural schools is worse, in such schools triple shifts are frequently used (a night shift is used). Moreover, considering that most of the schools are not served by electrical power, we can deduce that either education is imparted in absolutely non-appropriate conditions or the duration of education is reduced and once there is no solar light the school closes.
- The **average duration of education** in DR is 2.5 hours per day, meaning that on average 50% of school time is lost due to preliminary operations, breaks, cleaning of classrooms, etc.¹⁷⁵

Source: Country Note Dominican Republic

Latin America

In *Nicaragua*, according to the CSE, the salary policy was the main obstacle to effective support for teachers. The salary differences between qualified and unqualified teachers are indeed small, so that there are few incentives to obtain qualifications or even enrol in in-service training programmes. The GoN began to apply a new salary increase programme from 2007, but this was hampered by an increase in inflation.

¹⁷¹ To which the EC contributed with other budget support donors and the GoU within the new Joint Assessment Framework (JAF).

¹⁷² Employing a conversion rate from June 2007, based on the EC website: InforEuro: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

¹⁷³ External Resources from donations and loans amount to 831% of the total budget in 2009 and 7.81% on average over the period 1990-2008 - Source SEE Dir. Planificación Financiera Evolución de los Recursos Externos en el Presupuesto de la SEE 2010

<http://www.see.gob.do/portalSEE/planificacion/documentos/Nuevos%20Documentos/Evolución%20Recursos%20Externos%201990-2009.pdf>

¹⁷⁴ SEE - Fondo General Presupuesto Educación 2009, and

http://www.see.gob.do/portalSEE/planificacion/estudios_economicos.html

¹⁷⁵ Source PEGE 2008-2012 School Management Plan

European Neighbourhood countries

In *Tunisia*, due to this considerable commitment of public authorities for funding education, the pupil-teacher ratio of 18 in primary education is perfectly in tune with best world practices. This educational development has been obtained in a relatively short period, the equivalent of a generation. In addition, PTR have been significantly reduced at all levels, mostly because the number of school age children is declining, while the number of schools, classrooms and teachers was more or less stable. In primary education, the number of pupils per class has declined from 22.7 in 2000-2001 to 18.2 in 2008-2009.

Fragile/failed states

In *Eritrea*, schools are built not based on a proper mapping exercise. In urban areas there is clearly overcrowding with more than 60 pupils on average in a school class, in rural areas there are not enough children of one single grade to fill a classroom. Thus, children of different grades are put together in order to save space, while teachers have no training in multi-grade teaching. The EC is supposed to support the EMIS system under the EC support to education in Eritrea but this component has faced delays and is still not implemented. It is therefore difficult to show data on PTRs.

As for other countries, the PTR for *Pakistan* is very difficult to adequately interpret, given substantial discrepancies between urban and rural areas, as well as the significant problem of a lack of facilities. In 2007/08, the PTR for primary education in the Sindh Province stood at 29, with lows of 24 in Karachi City, 23 in Sanghar, and highs of 43 in Kambar–Shahdadkot and 41 in Ghotki.¹⁷⁶ This is substantially above the national average. The percentage of non-salary to salary budget allocations in Sindh through EC support has been improved by covering allocations for girls' stipends, free textbook provisions and allocations to district administrations for construction and rehabilitation under the District Terms of Partnership (between Provincial & District Government).

4.2 JC42: Quality related efficiency measures

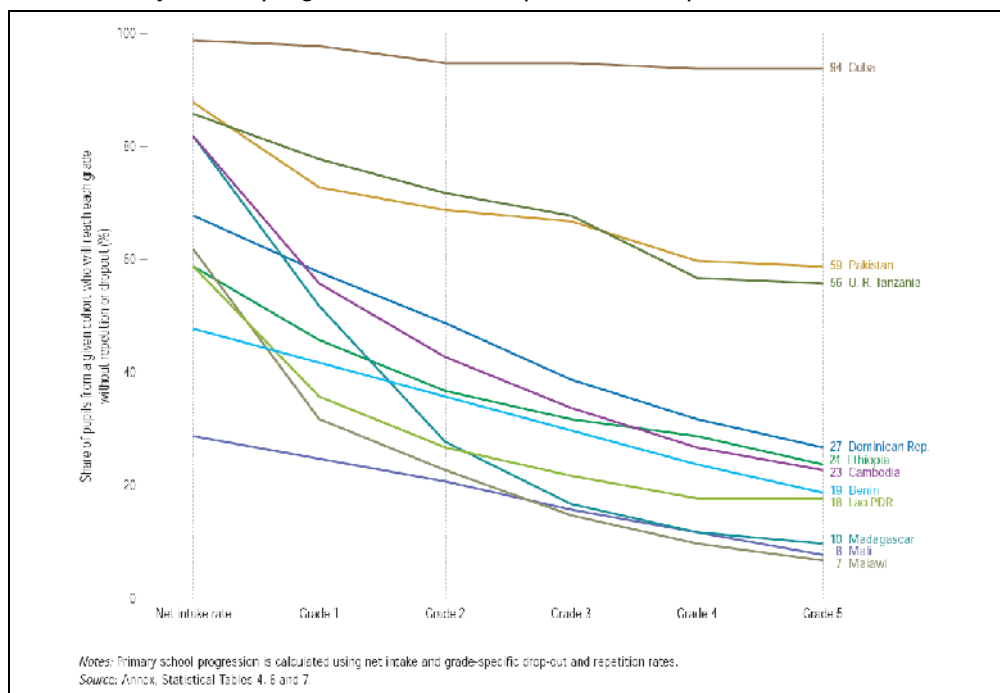
Getting children into school is a necessary condition for achieving UPE, but not a sufficient one. What counts is completion of a full cycle. Depending on the length of the primary or basic education cycle, this means all children should be in school by around 2009 at an appropriate age, and progress smoothly through the system, to make the 2015 goal. Even getting within range of this objective will require rapid and far-reaching change.

This is reflected in low PCR as described in EQ 2. In *Burkina Faso*, *Niger*, *Mozambique*, *Uganda* and *Eritrea* less than 50% of those starting make it to the end of the primary cycle. The large discrepancy between GER and NER in those countries reveals large amounts of over-aged children and repeaters. These systems can be characterised by low internal efficiency and high wastage. In *Burkina Faso*, the high wastage is substantiated by a study indicating that drop-outs and repetition claim 31% of the public sector education budget.

In many developing countries smooth progression through the primary school system is the exception rather than the rule. Students are locked into cycles of repetition and dropout. The cycles are mutually reinforcing because repetition is often a prelude to dropout. Tracking cohorts through primary school serves to demonstrate the scale of the problem. In the case of the *Dominican Republic*, about 70% of children enter primary school at the official age, while around 10% of these children drop out or repeat grade 1 and only 25% progress smoothly to grade 5. The situation is less pronounced in *Pakistan* and *Tanzania*. The following figure highlights the magnitude of the problem of selected countries. High repetition rates are endemic in many countries, and it is clear that high levels of repetition are a major barrier to UPE.

¹⁷⁶ SEMIS Census 2007-08

Figure 10: Primary school progression without repetition or dropout, selected countries 2006



Source: EFA GMR 2009, p. 67

A number of standard indicators exist that help to assess in what way quality related efficiency measures for education service delivery are successful, both are dealt with together:

- Decreasing drop-out rates¹⁷⁷;
- Decreasing % repeaters among primary pupils.

4.2.1 I-421: Decreasing drop out rates, and I-422: Decreasing % repeaters among primary pupils

In combination with the gross intake rate to grade 1, the drop-out rate Primary G1 is the indicator that best shows the degree to which the education system can cater for new entrants in primary. Where pre-primary provisions are part of the formal system, children who have gone through pre-primary start primary education far better prepared. Pre-primary though is hardly institutionalised in countries facing low PCRs, and given the state of affairs at the end of the period under evaluation, MDG 2 goals will not be accomplished. In those countries there will be many under-aged children in grade 1 using the school as a parking place and hence automatically becoming repeaters. The large discrepancy in many countries between the GER and NER in primary education may to a large extent be based on over-aged students re-entering the system after having dropped-out temporarily. Large scale over-aged new enrolments in primary education are only found where governments are succeeding in reaching out substantially to out-of-school children, many of whom may be over-aged (e.g. *India*) but it is common in fragile states such as *Liberia* and *Somalia* where in post-conflict situations over-aged students start or re-assume primary education interrupted by the war.

Drop out data are neither always available nor reliable. Drop out has many reasons, not only the quality of the school. Children drop out because of sickness, poverty, household chores, marriage, traditions, resettlement, etc. Pupils can drop out from one school and enrol in a newly built and more close by school so that school data in one school show drop out while in the other enrolment has increased.

Also repetition decline does not necessarily mean that pupil's competencies have improved, insofar as in many countries the automatic promotion rule, at least for the first three grades, was adopted. In cases where there is automatic promotion and therefore less repetition it might not be appropriate to draw the conclusion that the quality of education has improved. However, less repetition encourages children to stay in school which has a positive influence on drop out rates.

Drop-out is a complex phenomenon to accommodate, given student retention in many cases being determined by economic factors. Poor students are faced with costs of education constituting a too high investment for their families also in view of lost opportunity costs. EQ 2, JC 23 on compulsory and

¹⁷⁷ Please note that the issue of teacher absenteeism impacting on drop-out rates is discussed under I-716.

free education for all students outlined pro-poor measures which will not only increase enrolment but also decrease drop-outs. These include decreasing or abolishing costs for parents, stipends or scholarships, food for education and school capitation grants. Through these measures as well as measures aimed at improving the school environment through School Improvement Programmes (SIPs) making education more child-centred and attractive, may lead to decreased drop-out rates as well as repetition rates, as they impinge both on pull and push factors related to enrolment and retention. The problem however is that, given the absorption of the recurrent budget by teacher salaries to accommodate enrolment increases, little is left for introducing these measures. Decreasing repetition rates and drop-out rates increases internal efficiency as well as cost-effectiveness of investments in primary education as they enhance students' throughput through the system in the shortest time and least possible costs per student.

No standard definition is applied for drop-outs; neither a standard time nor a mode of measurement has been agreed upon. EMIS systems, faced with capacity building requirements and shortages in staff sometimes have drop-out and repetition rates within their standard data capture formats, but their reliability is doubtful, also given not optimal registration by schools and lack of interest in revealing especially drop-out issues in a correct way. Moreover, monitoring in most cases does not include a follow-up, revealing the causes of dropping out. Dropping out thus becomes strongly a matter of education being compulsory in a token way. Given this reliability issue, applying decreases in drop-out and repetition rates as release indicators for budget support becomes doubtful as far as reliability and validity is concerned.

Regarding drop-out rates, for a number of countries, data are either not available or cover a maximum of two years, which does not allow for the identification of any trends. Among these are *Uganda, Bangladesh, Vietnam, Pakistan, Somalia, and Tajikistan*. Regarding repeaters, the picture is comparable, with no data available for *Bangladesh, Uganda and Somalia*.

Table 26: Dropout rates for sample countries (Primary G1, 2000/2001 - 2006/7)

Country	Sub national level			School Level	Sex	Unit	2000	2001	2006	2007	Data Source	Notes
Asia												
Bangladesh	National			Prim G1	Both	%					EDPC	UIS
India	National			Prim G1	Both	%	21.8	20.3	17.8		EDPC	UIS
Indonesia	National			Prim G1	Both	%	2.0	2.6	3.6		EDPC	UIS
Tajikistan	National			Prim G1	Both	%	0.2				EDPC	UIS
Vietnam	National			Prim G1	Both	%	4.6	3.5			EDPC	UIS
Sub-Saharan Africa												
Botswana	National			Prim G1	Both	%	7.0	6.9			EDPC	UIS
Burkina Faso	National			Prim G1	Both	%	6.4	8.2	7.0	6.7	EDPC	UIS
Ghana	National			Prim G1	Both	%	11.1		9.3	9.2	EDPC	UIS
Uganda	National			Prim G1	Both	%	22.9	22.4			EDPC	UIS
Mozambique	National			Prim G1	Both	%	12.7	14.9	10.8	13.6	EDPC	UIS
Niger	National			Prim G1	Both	%	6.3	7.1	10.4	11.0	EDPC	UIS
South Africa	National			Prim G1	Both	%		7.7			EDPC	UIS
Tanzania	National			Prim G1	Both	%	6.4		1.2		EDPC	UIS
Caribbean												
Dominican Republic	National			Prim G1	Both	%	4.5	4.8		14.0	EDPC	UIS
Jamaica	National			Prim G1	Both	%					MICS	B
Latin America												
Argentina	National			Prim G1	Both	%	2.5	3.3			EDPC	UIS
Nicaragua	National			Prim G1	Both	%	18.8	14.7		18.0	EDPC	UIS
European Neighbourhood countries												
Russian Federation	National			Prim G1	Both	%	1.7	0.9	2.9		EDPC	UIS
Tunisia	National			Prim G1	Both	%	1.1	0.7	0.4		EDPC	UIS

Country	Sub-national level		School Level	Sex	Unit	2000	2001	2006	2007	Data Source	Notes
Fragile/failed states											
Eritrea	National		Prim G1	Both	%	12.3	6.3	9.9		EDPC	UIS
Pakistan	National		Prim G1	Both	%				15.5	EDPC	UIS
Occupied Palestinian Territory	National		Prim G1	Both	%	1.2	1.6	0.8		EDPC	UIS

UIS = Calculated by EPDC based on data from UNESCO Institute for Statistics (UIS).

MICS = Multiple Indicator Cluster Survey (MICS Dataset)

B = 8 grades of Primary. 4 grades of Secondary

Source: EPDC

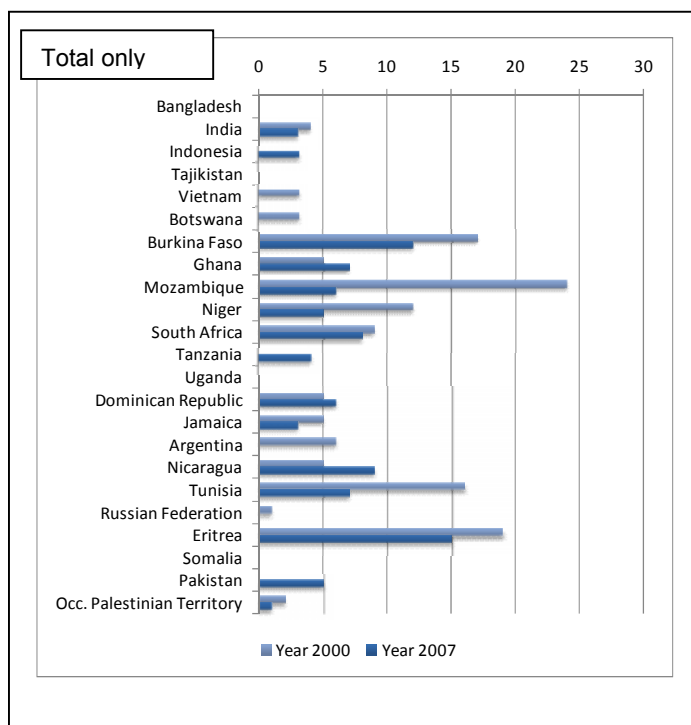
Table 27: Percentage of repeaters (%), primary

Country Name	YR2000			YR2007		
	F	M	T	F	M	T
Asia						
Bangladesh						
India	4	4	4	3	3	3
Indonesia				3	4	3
Tajikistan	0	0	0	0	0	0
Vietnam	3	4	3			
Sub-Saharan Africa						
Botswana	3	4	3			
Burkina Faso	17	17	17	12	12	12
Ghana	5	5	5	6	7	7
Mozambique	24	23	24	6	6	6
Niger	12	12	12	5	5	5
South Africa	7	10	9	8	8	8
Tanzania				4	4	4
Uganda						
Caribbean						
Dominican Republic	4	6	5	4	7	6
Jamaica	4	7	5	2	3	3
Latin America						
Argentina	5	7	6			
Nicaragua	4	6	5	8	10	9
European Neighbourhood countries						
Tunisia	14	18	16	6	9	7
Russian Federation			1			
Fragile states						
Eritrea	20	19	19	14	15	15
Somalia						
Pakistan				5	6	5
Occupied Palestinian Territory	2	2	2	1	1	1

F = Female; M = Male; T = Total

Source: World Bank Edstats

According to the statistics, the repetition rates in *Burkina Faso*, *South Africa*, *Nicaragua* and *Eritrea* are alarmingly high. Drop-out rates for grade 1 especially are high in *India* (though decreasing between 2000 and 2006), *Mozambique*, *Dominican Republic*, *Nicaragua* and *Pakistan*. However, the desk study analysis and the field visits, backed by the analysis of ECA reports, found that the data available is frequently far from being complete or reliable. Reasons for this can be found in the lack of capacity at national statistical services and EMIS, in outdated population census data, and in a lack of reliability of population growth prognosis, but also in efforts of services aimed at providing figures to meet targets set.



Several countries have implemented quality related efficiency measures aiming at decreasing drop-out and counteracting repetition. However, especially in LDCs in **Sub-Saharan Africa** trends in indicators such as PTR are presented in ECA reports without providing insight into whether the government has launched particular measures to decrease these indicators. In **Asia**, EC supported programmes in *Bangladesh (BRAC)* and *India (DPEP)* show that effective monitoring and supervision systems have increased survival rate and in Bangladesh BRAC systems assisted in decreasing student absenteeism.

In **Sub-Saharan Africa**, *Botswana* (benefiting from EC SBS support) is examining regional patterns of drop-out, concentrating its attention on the highest drop-out regions. *Niger* combines low PCR with low primary GER but repetition rates have improved. The latter seemed to have deteriorated the operating conditions of extreme low GER secondary education. GBS support to PDDE did not enhance key indicators such as PCR primary and the amount of resources allocated to quality inputs remained low (11.7% of expenditures). In *Tanzania*, drop-out rates are low with a clear improvement after 2007. EC support to school capitation grants initiated during PEDP 1 funded essential teaching and learning resources. Pupil based capitation grants were disbursed to schools through Local Government Authorities. With these grants (approximately USD 10 per pupil) schools could cover administration costs, school level maintenance, classroom furniture and accessories, toilets, textbooks, pens and pencils. Without this support, classrooms would have remained bare and deprived of basic facilities for teaching and learning.

In the **European Neighbourhood**, *Tunisia* scores well regarding drop-outs and with EC support is strengthening the liaison with TVET and the world of work which may have contributed to a high degree of retention in the system. In **Latin America**, *Nicaragua* is faced with high drop-out rates but the main constraint is the low government allocation to the education sector which the EC SBS tried to accommodate. *Argentina's* drop-out rates are low and have remained low over the evaluation period, while the rate of repetition only scores medium. The EC, since late 2005, is supporting "Fortalecimiento Pedagógico de las Escuelas del Programa Integral (PIIE) para la Igualdad Educativa (FOPIIE)", being part of the national policy for equality and inclusion aimed at ensuring quality education for all.

As for **fragile/failed states**, in *Somalia*, drop-out, retention and completion rates are extremely worrisome and point to poor quality and performance levels in the system. Attempts to rectify these constraints with the SISED (Somali Integrated Secondary Educational Development) project for example by (re)constructing school buildings meant that some provisions were made for ensuring a minimum quality of education for children in difficult circumstances¹⁷⁸. However, the huge extent of demands in Somalia were far beyond the reach of limited project interventions and EC support appeared to merely be scratching the surface of meeting the actual needs of the country. Elsewhere, in *Pakistan*, through the EC SBS for Sindh province, retention is being enhanced through decentralising the SEMIS with EC TA support and through stipends for girls in secondary education in support of girls' enrolment and retention.

In sum, it is highly complex for partner governments, through EC GBS support, to directly enhance quality-related efficiency measures leading to counteracting low internal efficiency and wastage. Through this modality, partner governments were assisted to ensure the survival of education systems in LDCs in **Sub-Saharan Africa** in coping with budgetary constraints. A similar situation applies to a lesser degree in *Nicaragua*. EC sector support programmes and SBS could more directly impinge on factors enhancing improved internal efficiency as seems to have been the case in *Botswana, Bangladesh, India and Pakistan*.

¹⁷⁸ Contract Signed: 27/12/2006, Start Date Planned: 01/01/2007, end date: 31/12/2008, commitment: € 3.5 million; disbursed: € 2.69 million (June 2009), implementing partner: Africa Educational Trust (AET). This programme supports secondary schools and secondary teacher training. It is providing new classrooms, textbooks and equipment and teaching materials as well as training secondary school teachers. 50 new classrooms were planned to be built, new materials were to be provided in English with support from the BBC, a 6 week bridging programme was to be instituted and in-service teacher training, pre-service training and an examination project were all part of this project's remit. The follow-on programme was entitled 'Strengthening of Secondary Education and Teacher Training (SOSETT)' and started implementation in July 2008 with a commitment of € 1.7 M. In terms of achievements, according to ROM data for SOSETT it was generally agreed that SISED failed to meet its female enrolment targets or achieving enough qualified women on leaving the schools to enter teaching (and other) profession/s and that access could not be improved, especially in Somaliland without an expanded class room building programme and an increased output of trained teachers.

At a more **detailed level**, the following findings, mainly for the sample countries and mainly based on field visits, ECA reports and CSEs underpin the summary regarding quality-related efficiency measures.

Asia

- In *Bangladesh*, based on 2005 data, and according to the Country Note, the outputs in the **formal system** in terms of internal efficiency measured by primary cycle completion rate (50%), drop-out rate (47.2% in 2005 compared to 33% in 2001), repetition rate (10.5%), survival rate (53.9%), coefficient of efficiency (61.8%) student absenteeism rate (23%) and scholarship examination results (pass rate 67.25%) indicate low quality performance. On the other hand, the Country Note indicates that EC support to **non-formal education** has largely contributed towards enhancing the quality of education among children. A review of documents and field visits show that the EC-funded projects implemented by NGOs have an elaborate and effective monitoring system and the schools are under constant supervision by the programme officers. The EC-supported NGOs are more cost-efficient compared to the formal system. In terms of transition rates, the NGO schools do better. For example, by 2007, a total of 700,425 children enrolled in the pre-schools of BRAC, and of them 98.3% came out successful through completion of schooling. Among them, 99.2% were transferred to formal schools in Grade 1. Since the EC supported BRAC Programme (Phase 1) did not have provision of schooling beyond grade 3 during the period under review, the transition rate to secondary school becomes irrelevant. BRAC schools have provided schooling up to Grade 5 since 2004. During 2004-2007 the transition rate was 95%.
- In *India*, drop-out rates remain high with 12 million children out of school (according to EPDC at 17.8% in 2007). The World Bank DPEP 1 Completion Report noted that the DPEP objective was to reduce dropout to below 10%. The monitoring at block level (BRC) and cluster level (Cluster Resource Center - CRC) arranged for the effective monitoring of drop-outs and repeaters. Here also, there is considerable variation across districts and states and the overall objective was not met. However, one should acknowledge that initial conditions related to dropout in targeted districts were higher than the national average of 50%. The CSE notes that drop-outs still remain high with 12 million children out of school causing the NGO Pratham to argue that: "Almost 8 years of DPEP and 3 years of Sarva Shiksha seem to have had limited impact". But the IDA Sarva Shiksha Abhiyan report notes that retaining first-generation learners in schools is a major challenge, however noting that annual drop-out rates fell from 10% in 2004 to 8.6% in 2008.

Sub-Saharan Africa

- In *Botswana*, the reformulation of some indicators in the SBS suggests that the focus on disadvantaged groups and areas and a pro-poor orientation has increased, for example: instead of primary drop-out, regions with highest drop-out are examined to find solutions or secondary drop-out rate will focus on female drop-out, etc. Impacts of this change of focus have not yet been reported. Moreover, for the SBS of EDF10, an indicator foresees an increase in access and training opportunities for disadvantaged children.
- *Burkina Faso* and *Mozambique*, two countries that have received substantial GBS support, show high drop-out and repetition rates. In *Mozambique*, the average school drop-out rate among boys is 62% compared to 80% amongst girls; disparities (noted mainly in the Central and Northern regions of Mozambique) in education show that in 1st level primary education, Grades 1-5 (EP1) 55% are boys compared to 45% girls and in 2nd level primary education, Grades 6 & 7 (EP2), 41% are boys compared to 60% girls. The Primary G1 drop-out has constantly been above 11% between 2000 and 2007. In *Burkina Faso*, according to the RESEN¹⁷⁹, the amounts spent on the results of repetition and drop-out represent 31% of the resources allocated to the education sector and constitute a waste of public spending. Repetition is higher in the last year of each cycle, in particular at the end of primary school, which leads affected children to drop their studies, according to the ECA report. One of the objectives of the Letter on Policy Education ["*Lettre de Politique Educative*"] of Burkina Faso from July 2008 is to reduce the repetition rate in primary school from 12% to 8% by 2015.
- *Niger*, also a recipient of substantial amounts of GBS, shows drop-out rates above 10%, while the situation regarding repetition has improved steadily over the evaluated period, i.e., the

¹⁷⁹ RESEN is a Country Status Report on a National Educational System [« Rapport d'État d'un système éducatif national »]

repetition rate in primary education¹⁸⁰ decreased from 13% in 2001-2002 to 4.9% in 2006-2007. However, the following box highlights that this progress has also led to deteriorated operating conditions of secondary education in Niger, in view of the priority given to primary education.

Box 26: Niger: Disregard of secondary education

Drop-out rates have not declined during the period under investigation. They are in the range of 18% for the whole cycle, meaning that when 100 pupils enrol in grade 1, only 82% reach the sixth grade.

Repetition rates were already comparatively low at the beginning of the period, with 7.3% per year on average. They have slightly declined during the period, to 5% on average per year. They tend to be close to those of anglophone countries in Sub-Saharan Africa, and significantly below those of most francophone countries. Grade 6 is characterised by a higher rate – 29% in 2002, and still 19% in 2008. This is related to the fact that pupils who fail to pass the final exam tend to repeat, hoping to improve their chances of having access to junior secondary.

The decline of repetition cannot be interpreted as a signal of improved performance in terms of cognitive achievement. It is the outcome of a voluntary policy implemented by the Ministry of Education, based on the assumption that repetition generates limited benefits for a cost that is not negligible. Repetition is not a cost-effective policy. This view is shared by the donor community, and is even part of the FTI package. However, the EC contribution to the decline cannot be evaluated, and the same applies to other donors' contributions.

The situation is very different in secondary education. Repetition rates are quite high, irregular and on the increase during the recent period. In junior secondary, the average repetition rate is equal to 22% per grade, with a peak in grade 10 at 44%, generated by the willingness of pupils to have a second try at passing the final junior secondary exam, the BEPC. In senior secondary, it is even worse, with a repetition rate of 26.1% on average per grade, peaking at 59.7% in the last grade for the year 2008. Here again, it is linked to the low pass rate for the baccalaureate, and students are repeating to having a second chance. This bad performance is quite surprising, given the severe selection process for entering senior secondary, which has a transition rate below 5% of a given cohort. This alarming performance illustrates the deteriorated operating conditions of secondary education in Niger, in view of the priority given to primary education. During the period of investigation, there have been competing priorities, to the detriment of secondary education. EC support through GBS has not successfully contributed to avoiding such an unfortunate outcome.

In addition, some PDDE indicators have reached disappointing values, far below expectations. The PCR in primary has reached 39%, instead of 59%, the gender gap has hardly improved, and the amount of resources allocated to quality inputs has remained at a low level (11.7% of expenditure). The strategy for the initial and in-service training of teachers was not based on a clear vision.

Source: Country Note Niger

- *South Africa* faces drop-out rates of around 10%, with partially improving figures for repeaters. Between 2000 and 2007 repetition rates in primary education fell from 9 to 8% but they are still higher than *Ghana*, *Mozambique*, *Tanzania* and *Niger*. According to the assessment by the Country Note, the EC has done relatively little to directly improve efficiency measures, although capacity development to DoE could be viewed as an indirect and small contribution to this area.
- In *Tanzania*, drop-out rates are low, and among the best in the sample, with a clear improvement after 2000. Tanzania has higher drop-out rates for girls than for boys. Despite the fact that drop-out rates have fallen in recent years, one child in five entering Standard 1 still does not complete primary school. The EC may have contributed by its support to PEDP institutionalising School Improvement Plans. But in general exam pass rates have been steadily increasing in both Standards 4 and 7. However, it should be noted that repetition has increased, with more than three-fold increases in the percentage of repeaters in Standard 1 and a smaller increase in Standard 4. The primary drop-out rate decreased slightly between 2003 and 2006-2007, from 3.80% to 3.20%. In Tanzania, the Primary repetition rate was 5.30% in 2003 and decreased to 4.40% in 2006-2007.

The Caribbean

- The *Dominican Republic's* figures for drop-out rates are not convincing, with a considerable fluctuation over time, the same applying for repeaters, even with an increase over time. The Country Note estimates that most of the internal efficiency and quality problems of the Dominican Education System originate in the first cycle of primary education. In fact, although a very high number of children are enrolled in primary education, from the beginning of the cycle, the system is not capable of keeping its pupils. The connection between degree and age

¹⁸⁰ "Cycle de base 1"

decreases with regard to the age cohort of the pupils and only one third of the pupils finalises the first cycle at the right age, thus pointing to the magnitude of repetition and drop-outs.¹⁸¹

Another important indicator of quality-related internal efficiency is the over-age rate that is an indicator of potential school failure and drop-out, since people who are over the normal age are repeaters and pupils at risk. In the DR this rate shows an important reduction over the period 2003-2009: in primary education it dropped from 22.6% in 2003 to 9.2% in 2009 (- 13.4%) and in secondary education it has gone down even more dramatically from 51.2% to 15% (- 36.2%) respectively. The drop in the average rate can be interpreted as an increase in internal efficiency due to a better quality of education.

Overall, the Country Note concludes that there is no doubt that the EC system intervention, in synergy with other donor interventions, has contributed to producing this data. However, it emphasises that some attention should be placed on the quality and effectiveness of inter-grade trials at primary and secondary levels, in order to improve evaluation criteria.

Latin America

- In *Argentina*, drop-out rates are low and have remained low over the evaluation period, while the rate of repetition only scores medium. The EC, since late 2005, is supporting the programme PIIE FOPIIE, being part of the national policy for equality and inclusion aimed at ensuring quality education for all. The programme actions target state urban and primary schools, attended by socially vulnerable children. The June 2009 mid-term evaluation report concluded that the FOPIIE (as the project of support of the PIIE) has contributed to improving the quality of education, including the use of ICTs, while also promoting more inclusive education that contributes to reducing the rates of repetition, over-age and drop-out. Also, PTR rates in the country are at the level of OECD countries, which shows that the education system is well-developed and resourced with a good foundation for catering for quality.
- *Nicaragua*, on the other hand, faces considerable drop-out rates of around 18%, no improvement can be found over the evaluation period. There, also other quality indicators such as repetition rate, pupil-teacher ratio, proportion of unqualified teachers, and national and international student assessments, all show that little or no progress is being made. One important exception is the completion rate in primary school which shows a significant improvement. These results express the former priority given to quantity over quality. According to the CSE, it is not clear to what extent progress in education could be accelerated without reducing, at least partially, the budget constraints manifested by an almost fixed (and low) share of education in the national budget from 2000 to 2006, which at 15.2% was the same in 2006 as in 2000. However, the share of education in the budget proposal rose from 11.3% in 2006 to 13.4% in 2008.

European Neighbourhood countries

- *Tunisia* scores well regarding drop-outs and shows an improvement on repeaters for the evaluation period. Repetition has declined during the period under evaluation. As stated in the Country Note, this decline does not necessarily mean that pupils' competencies have improved, insofar as a new repetition policy was established aimed at reducing it automatically: repetition is allowed only once every two years. In primary education the repetition rate has declined from 9.6% in 2000-2001 to 6.5% in 2008-2009. It has not significantly changed in secondary education, because the two-year system could not be implemented. While the drop-out rate has declined to a low level in primary (1.3%), it remains quite high in both secondary cycles, namely around 10-12% in lower secondary (grades 7 to 9), and around 11-12% in senior secondary, without showing a declining trend during the period 2000-2009.

Although the majority of components supposed to be supported by the EC have been completed, they have not led to significant improvements with respect to drop-out rates and repetition rates. Policy dialogue has led to the conclusion that the best avenue for improving efficiency was the development of a solid TVET system.

Fragile/failed states

Information on quality-related efficiency measures is rather scarce for the sample failed/fragile states.

¹⁸¹ In 2008 repeaters in primary education were 8.4 % of the total, as compared to 7.2% in 2002. In secondary education the 2008 rate was 6.6 % while in 2002 it was 9.4 %. The drop-out rate in primary education in 2008 was 3.4 % and 6.6. % in secondary as compared with the 2002 rate of 5.6 % for primary education and 9.4 % for secondary. (Source: Statistics Department MINERD)

While the *Occupied Palestinian Territory* scores at among the lowest drop-out rates among the desk study countries, *Eritrea* faces drop-out rates between 6 and 10%, with an increase towards the end of the evaluation period. The government is planning to conduct a study in 2010 to find reasons for this increase in drop out.

As for *Somalia*, data from the EC SWAp presentation shows that on drop-out, retention and completion rates are extremely worrisome and point to poor quality and performance levels in the system. However, one has to consider in this context the high levels of insecurity, even in urban areas, shortages of water and flooding, poor health and nutrition and drastic levels of poverty.¹⁸² However, the small attempts to rectify these constraints with the SISED for example by (re)constructing school buildings meant that some provisions were made for ensuring a minimum quality of education for children in difficult circumstances¹⁸³. The huge extent of demands in Somalia were far beyond the reach of limited project interventions and EC support appeared to merely be scratching the surface of meeting the actual needs of the country.

4.3 JC43: Qualifications and competencies of teachers and school leaders enhanced

The qualification and competencies of teachers is an important ingredient for ensuring quality and enhancing learning outcomes. A lack of qualified teachers remains a major barrier to achieving the desired education outcomes, especially among marginalised groups.

The Commission Staff Working Document stresses that the sine qua non for quality is the availability of a corps of competent teachers. But shortages in qualified teachers are widespread. Globally, some 10.3 million additional primary teachers will be needed before 2015 if the MDG for education is to be met. Some studies estimate that teacher absence due to sickness, travel to collect salaries, the need for a second job, lack of motivation etc. is around 20% on any one day. Some countries have tried to address shortages of teachers by contracting temporary and / or unqualified teachers or by reducing the time required for pre-service training (PRESET) but have been unable to put in place a more permanent solution.¹⁸⁴

Teacher professionalisation is a process along a continuum of learning. At the systems level, teacher development strategies are long-term and on-going, and they depend heavily on school based in-service programmes which should link training and upgrading to a career-path structure. This entails a range of incentives for different stages of a teacher's career so as to attract suitable candidates to teaching. These incentives can be direct monetary benefits (e.g. teaching salary or allowances) indirect monetary benefits (e.g. professional training, instructional supervision, subsidised housing, food and transportation) or non-monetary benefits (e.g. professional status in the community, location of teaching position and recognition of performance). Ministries must therefore consider a range of formal and alternative teacher preparation programmes such as mentoring, induction and support programmes as well as establishing standards accreditation.

Moreover, salary and accreditation policies can be considered as an obstacle to effective support for teachers. In many cases the salary differences between qualified and non-qualified teachers are so small that there are few incentives to obtaining qualifications. Government budgetary constraints to increasing salaries are another obstacle; teachers need side jobs and are less motivated.

In order to capture this JC the following indicators will help:

¹⁸² Winnefeld, Manfred (2007) 'SWAps in FS – case of Somalia from 2007. ACP – Health & Education Workshop, Brussels, Nov. 2007, Sector Wide Approaches in Fragile States? The Case of Somalia', Presentation by EU Delegation Nairobi, Somalia Operations p. 4.

¹⁸³ Contract Signed: 27/12/2006, Start Date Planned: 01/01/2007, end date: 31/12/2008, commitment: € 3,500,000, disbursed: € 2,690,000 (June 2009), implementing partner: Africa Educational Trust (AET). This programme supports secondary schools and secondary teacher training. It is providing new classrooms, textbooks and equipment and teaching materials as well as training secondary school teachers. 50 new classrooms were planned to be built, new materials were to be provided in English with support from the BBC, a 6 week bridging programme was to be instituted and in-service teacher training, pre-service training and an examination project were all part of this project's remit. The follow-on programme was entitled 'Strengthening of Secondary Education and Teacher Training (SOSETT)' and started implementation in July 2008 with a commitment of € 1.7 M. In terms of achievements, according to ROM data for SOSETT it was generally agreed that SISED failed to meet its female enrolment targets or achieving enough qualified women on leaving the schools to enter teaching (and other) profession/s and that access could not be improved, especially in Somaliland without an expanded class room building programme and an increased output of trained teachers.

¹⁸⁴ Commission Staff Working Document-More and Better Education in Developing Countries, p.10.

- I-431: Percentage of primary school teachers who are certified to teach according to national standards (teacher accreditation)
- I-432: School, cluster based or district-based in-service teacher upgrading institutionalised
- I-433: Training of school leaders on managerial skills in place and implemented

4.3.1 I-431: Percentage of primary school teachers who are certified to teach according to national standards

Qualified teachers are key to improving quality. That was reflected in JC 41 “Availability of strategies and resources to improve quality of education”. One of the indicators is the pupil-teacher ratio which should be such that teaching can be pupil-centred. In many countries, enough teachers are available to meet minimum thresholds for PTR, but there are large discrepancies between this ratio in urban and rural areas. In terms of fully qualified teachers this discrepancy is even bigger. The discrepancy between centre and periphery is not only striking in terms of access to education but even more in terms of access to quality education. In most EC supported sector support programmes, as well as in Sector Budget Support, teacher rationalisation is one of the approaches to coming to a fair distribution of teachers. This has been the case in e.g. in *India* and *Pakistan*. In India, during DPEP (1994 - 2003), it proved to be a cumbersome exercise, even within the same district, as teachers are not willing to move with their families to another residence. However, redeployment of teachers whether or not supported by incentives, proves to be complex. The strong position of politicised teachers’ unions is often detrimental to those efforts.

A second approach followed is to recruit and train new teachers to meet the demands also in rural and remote areas. Most EC sector support programmes, including SBS and GBS provide support to partner governments to be able to meet budgetary requirements in situations, especially in LDCs, of extreme budgetary austerity. This leads to the dilemma of both long lead time for training qualified teachers and further adding to the teacher salary part of the recurrent budget which already leaves too few resources left for quality approaches (for instance, targeted budget support in *Cambodia* was faced with this dilemma). Based on these considerations, contract teachers, assistant teachers are recruited at lower cost meeting the requirements of the enrolment expansion. Among the countries applying this with EC support are *Niger* and *India*. Several countries, with EC support, have embarked on accelerated programmes for teacher qualification (*Tanzania* and *Bangladesh*) requiring qualification as a basis for teacher accreditation linking this to salary level.

The following table shows the trained primary teacher percentage in the sample countries. This indicator helps to shed light on one aspect of quality, as without a sufficiently well-trained teacher corps, the quality of education cannot be warranted. It should be stressed that the table relates to trained teachers which do not necessarily need to be fully qualified. The table covers the number of teachers (total, male, female) who have received the minimum organised teacher-training (pre-service or in-service) required for teaching at the primary level of education in the given country, expressed as a percentage of the total number of teachers (total, male, female) at the primary level of education.¹⁸⁵

Table 28: Percentage of trained primary school teachers (2000 and 2007, sample countries)

Country Name	2000			2007		
	F	M	T	F	M	T
ASIA						
Bangladesh	57	55	56
India
Indonesia
Tajikistan	87
Vietnam	82	74	80	99	94	98

¹⁸⁵ Qualified teacher: Initial teacher education and training is the programme of studies which leads to qualified teacher status according to the official standards of a country. It is the basic or first level of qualification for a teacher. It may be taken as a pre-service programme (before a trainee teacher begins work as a teacher) or an in-service one (while an untrained teacher is working as a teacher).

Country Name	2000			2007		
	F	M	T	F	M	T
Sub-Saharan Africa						
Botswana	91	83	89
Burkina Faso	91	86	88
Ghana	86	60	69	70	45	53
Mozambique	71	59	63
Niger	97	97	97	99	98	98
South Africa	70	62	68
Tanzania	100	100	100
Uganda	94	93	93
Caribbean						
Dominican Republic	90	81	88
Jamaica
Latin America						
Argentina
Nicaragua	77	54	73	76	61	72
European Neighbourhood countries						
Tunisia
Russian Federation
Fragile States						
Eritrea	62	78	72	82	92	87
Somalia
Pakistan	75	92	84
Occupied Palestinian Territory	100	100	100	100	100	100

... = Data missing

Source: Data Source: UNESCO Institute for Statistics

Unfortunately, no or very little statistical information is available for *Argentina* and *Jamaica*, for *India* and *Indonesia*, for *Tunisia* and the *Russian Federation*, as well as in the case of *Somalia*, i.e. for 7 out of the 23 sample countries. Moreover, available data on the percentage of trained primary school teachers sketch a far too gloomy picture because in virtually all sample countries, training and properly budgeting qualified teachers is a great problem, far transcending the state of affairs depicting problems in *Bangladesh*, *Ghana*, *Mozambique* and *Nicaragua* only. Moreover, concerns remain over the often low percentage of pupils to trained teachers. In addition, national average pupil/teacher ratios and percentages of trained teachers can conceal large disparities, as, for instance, between rural and urban areas in *Eritrea*, *Tanzania* and *Uganda*, *Liberia* and *Pakistan*.

However, the following can be **summarised**, in relation to EC support.

- From the analysis made, it appears that EC support has yielded positive effects regarding the improvement in teacher qualifications in *Bangladesh* and *India*, i.e. in a number of **Asian countries**. All of these effects are linked to sector support given, thus somewhat demonstrating the possible leverage effect of such forms of support.
- In **Sub-Saharan Africa**, while data is sketchy, the percentage of the trained teacher force might have increased in a number of countries, all of them having received substantial GBS support (*Mozambique*, *Burkina Faso*, *Ghana* and *Tanzania*), out of which at least Niger managed to cope with additional teacher requirements through contract teachers. While in *South Africa*, teacher qualifications are generally higher than in other Sub-Saharan African countries, poorer and rural areas still struggle to attract qualified teachers, and school leaders. However, in the period under evaluation, the EC has done relatively little to directly address these issues, apart from the infrastructure work that aimed at providing a better physical environment for both learners and teachers, especially in rural areas.
- For the *Dominican Republic*, the field visit hints at the lack of on-the-job follow-up after the training of teachers and school leaders that has undoubtedly weakened its impacts and sustainability. However, EC support through PAPSE I has played a role by providing a better level of resources to be invested and the training of teachers has also increased, but still not enough.
- It should be emphasised that in **fragile states**, the EC provided support to teacher training that mattered both in *Eritrea* and *Somalia*, as it helped to train considerable numbers of middle-

school primary teachers respectively. Moreover, EC support also is in the process of helping to improve teacher competencies in the Sindh Province in *Pakistan* where quality aspects are a major part of the support, comprising indicators for tranche releases related for instance to issues like adherence to merit-based teacher recruitment policy, development, approval, and gradual implementation of a teacher education and professional development programme, and introducing a system of regularly monitoring teacher attendance. As not all benchmarks set had been met, the payment for the first tranche of EC SBS had been set on hold in 2009. In the meantime, it has been released.

At a more **detailed level**, the following findings, mainly for the sample countries and mainly based on field visits, ECA reports, CSEs and further desk study, underpin the summary made:

Asia

- In *Bangladesh*, the backlog of untrained teachers (teachers without Certificate-in-Education training) was reduced significantly. This is also reflected in PEDP-II, which, according to the Mid-Term Review (2007), had made good progress on some of the key reforms. Teacher recruitment and teacher transfer rules and processes had been improved substantially. In addition, the backlog of untrained teachers (teachers without Certificate-in-Education training) was reduced significantly. At the time of the MTR, over 45,000 new and existing teachers had received one year Certificate-in-Education training with another 19,000 undergoing this training out of a target of 90,000, resulting in better trained teachers placed in schools. However, the need for more direct classroom follow-up and support was noted to ensure theory-into-practice application in classrooms.
- In *India*, EC support to DPEP has assisted in strengthening the infrastructure at State level for in-service teacher training by the strengthening of District Institutes of Education (DIETs) and assisting in accommodating the backlog caused by the expansion of schooling provision to out-of-school youths, often in remote areas. A large number of states have started experimenting with the appointment of para-teachers. Appointment of pay-scale teachers to fill up all teacher vacancies as per teacher-pupil norms would require sources that state governments are finding increasingly difficult to find. The para-teachers in most states are being appointed by the Zila Panchayats or School Committees; Gujarat and Madhya Pradesh have resolved the legal issues of appointment of para-teachers. The situation in Madhya Pradesh is interesting as the State Government launched the Education Guarantee Scheme.¹⁸⁶ During *Sarva Shiksha Abhiyan*, the following **quality-related norms** which have implications for budgeting and resource allocations have been established, with EC support to accommodate these requirements: one teacher for every 40 children and schools within one kilometre of every habitation.
- EC targeted budget support to pro-poor basic education in *Cambodia* covered both PTRs and the non-salary share of the budget among the indicators for flexible tranche release., The dilemma between budgetary requirement for teachers and quality is well illustrated here¹⁸⁷. A compliance mission assessed compliance with the following indicators:
 - o Pupil–teacher ratios for grades 1-6 and Grades 7–12 change to 50:1 and 30:1 respectively by 2005. EMIS data revealed a PTR of 55:1 for primary and 24:1 for lower secondary education. According to the Ministry of Education Youth and Sport (MoEYS) the ESP strategies seemed to be consistent with achieving these targets at the national level. However, it proved to be difficult to fully implement teacher re-deployment especially at the rural level. Given the MoEYS conviction that this target may be reached, the mission considered that this may be the case by the start of the 2005/06 school year (target met).
 - o The target on share of non-salary of budget scheduled to increase from 38% in 2003 to 45% by 2005 could not be met. The MoEYS indicated that improving working conditions of teaching staff and education personnel in this complex reform is an essential pre-condition for success. Performance-based incentives are vital in order to decrease informal payments and overhead charges being made all through the system as supplementary income mechanisms. The Ministry indicated that ESP 2004–2008 financing strategy sets a target of non-personnel spending to be reduced to around 24% by

¹⁸⁶ District Primary Education Programme (DPEP), thirteenth Joint Review Mission, April 19-May 5, 2001

¹⁸⁷ Second EC Independent Technical Monitoring Mission targeted EC support to pro-poor basic education reforms in Cambodia, July 2004

2008 and recommended that this indicator to be revised.. However, the compliance mission concluded non-compliance.

Sub-Saharan Africa and the Caribbean

- *Botswana's* figures seem to reflect the government's efforts put into education, and the same seems to apply to *Niger*, but also to *Burkina Faso* and *Uganda*. In Botswana, in EDF8 and 9 programming documents, emphasis has been placed on quality. For SBS under EDF10, according to the CSE, exam results in mathematics and science, and the quality of primary school teachers, have been specified as indicators, acknowledging that the quality of education and training is the main challenge for the coming years. An upgrade of the formal qualifications of the teaching force is intended in NDP10. The CSE evaluation notes that explanation was given by the Ministry on the decline of exam results with the fact of "nationalisation" of the teaching profession: Foreign teachers have been replaced by national teachers during recent years. The increase in the quality of education and training, and not only in its relevance, is the main challenge for the coming years. An upgrade of the formal qualifications of the teaching force is intended in NDP10. It may not be enough just to monitor the number of teachers possessing a certain formal qualification as intended in NDP10 and EDF10 SPSP. Teacher training must also impart skills for organising pupil-centred learning situations; and this must be manifested in classroom teaching and finally at the level of competencies at pupil level in relation to such key skills as problem solving (discovering and defining a problem, analysing it and identifying strategies for improvements), planning, implementation, and observation (monitoring) of outcomes.
- For *Burkina Faso* and *Mozambique*, both being countries that have received substantial GBS support, the percentage of trained teachers has increased between 2000 and 2007. However, from different levels. Mozambique also here scores among the worst performing countries in the sample (64% in 2007).
- In *Ghana*, during the various GBS supported by the EC, especially during the period of the Multi-Donor Budget Support (2005-2007), access to education services has improved significantly with a 5% growth in the number of public schools and an 8% growth in the number of teachers on the payroll between 1999/00 and 2004/05. However, as the 2007 MDBS evaluation states, it proved more difficult to achieve improvements in the distribution of qualified teachers, with the 40 most deprived districts having only 55 % of qualified teachers in 2005/06 as compared with over 80% in other districts and a national average of 70%. This highlights the need for catering for deprived regions. Overall, the rate of trainer teachers is the worst among the sample countries (53% in 2007).
- In *Namibia*, despite recent improvements, 28.9% of the teachers in primary school and 9.9% of the teachers in secondary are still under-qualified, i.e. with less than three years of tertiary education, of which 8.8% of those working in primary, and 2.6% of those working in secondary, have completed less than 12 years of schooling. According to the ECA report, the adequate provision of qualified teachers, which clearly affects the quality of the education, is off-track when compared with the targets set by Vision 2030 and the targets set by the MoE for the fiscal year 2007/2008.
- In *Niger*, in the framework of the Souteba programme¹⁸⁸ 2005-2009, the EC has supported the upgrading of three Technical Training Centres (TTCs) in the pilot regions covered by the project. The Country Note indicates that the support has included the physical rehabilitation of the facilities, the equipment of the facilities, and the retraining of trainers, but has concentrated its efforts on the training of teachers to be assigned in bilingual schools. As only 5% of public schools are bilingual, and as the TTCs concerned are addressing the needs of four out of the 10 national languages to be utilised in bilingual schools, the impact of SOUTEBA does not cover more than 2% of existing schools in the country. The Country Note also stresses the decreasing quality of education caused by the recruitment of about 24,000 contract teachers to cope with the demand. The following box provides more details. Moreover, EC GBS covered salaries of contract teachers but it is not within the realm of GBS to link support to contract teachers to quality improvements.

¹⁸⁸ "Programme d'appui au secteur de l'éducation de base"

Box 27: Niger: Coping with the increased demand in enrolment

The PDDE policy aimed at accelerating the pace of access to the education for all objectives, with the support of donors, has introduced a new approach to teacher recruitment. The sustainability of the EFA policy was not compatible with the former level of teacher remuneration.¹⁸⁹ Previously, teachers were civil servants whose yearly remuneration was equal to 15 times the GDP per capita, while the FTI indicative framework recommends a level of remuneration in the range of 3.5 times the GDP per capita. In order to reduce teachers' costs, it was decided in 2001 to recruit contractual teachers at a lower level of qualification – after finishing junior secondary, and with one year training in a TTC (recently extended to two years). These contractual teachers have a level of remuneration equal to 5.5 times the GDP per capita (social contributions included).

Consequently, from 2001 to 2008, there have been 29,000 contractual teachers trained in TTCs. The training lasted one year (two years since 2008-09). The majority of them have been recruited by the Ministry of Basic Education (MEBA) as teachers; of the 33,175 teachers in primary education in 2008, 23,782 are contractual teachers (72%). The number of civil servants is declining, because some are leaving the profession through "natural wastage" (death, retirement, etc) and no new civil servants are being recruited as replacements. Teaching staff are, therefore, quite young on average, with 11 years of initial educational training (six years of primary school, four years of junior secondary, and one year of TTC). This is three years less than previous civil servants, and six years less than most common international standards.

In-service teacher training is organised in the same TTCs as those dedicated to initial training. During the period under investigation, 1,300 teachers have been exposed to some in-service teacher training, which can be seen as a modest participation level (4% of the teaching staff involved) but can be explained by the fact that the majority of teachers have been only recently recruited.

The EC SOUTEBA project has supported the upgrading of three TTCs, at Dosso, Tillabery, and Tahoua in the pilot regions covered by the project. This intervention has included the physical rehabilitation of the facilities, equipment of the facilities, and the retraining of trainers, but has concentrated its efforts on the training of teachers to be assigned in bilingual schools. As only 5% of public schools are bilingual, and as the TTCs concerned are addressing the needs of four out of the 10 national languages to be utilised in bilingual schools, the impact of SOUTEBA does not cover more than 2% of existing schools in the country.

With regard to the capacity of contractual teachers to perform better than previous civil servants, surveys measuring pupils' competencies, such as PASEC, show that the influx of new teachers has generated a negative effect. Their pupils have an average score four points below that of pupils taught by the former civil servants (RESEN p. 105), other factors being constant. It is the highest negative factor among all other factors affecting pupils' competencies. It is marginally explained by the fact that contractual teachers have less experience than civil servants, having been only recently recruited (minus 0.3 point), but the bulk of the decline is linked to the lower qualification of contractual teachers.

It is clear that Niger's education policy has given a higher priority to quantitative development, in line with the MDGs, at the expense of the objective of improved quality. The only way to achieve the MDGs, given the budgetary constraints of the country, was the reduction of unit costs, and the contractual teacher policy was developed for reducing unit costs. While the origin of this policy might be more on the donor side than on the country's side, Niger has accepted this policy because it was a condition for receiving a significantly higher contribution from donors, which has been the case with the fast track initiative.

Source: Country Note Niger

- In *Tanzania*, there are not sufficient qualified teachers available to meet the demand. The NSAs/CSOs active in the sector also share the perception that enrolment rates were increased during the last decade at the expense of education quality. There is still a lack of qualified teachers and the quality of teachers is deteriorating due to the recruitment of under-qualified teachers (all primary school teachers became secondary school teachers), very limited tutoring at schools and short, condensed programmes to train teachers. As regards the EC contribution, the PEDP programme financed under the 8th EDF, which supported primary education, showed considerable achievements in terms of new teachers trained and recruited (77% of PEDP targets).

¹⁸⁹ The share of GDP dedicated to the remuneration of primary teachers is generally between 1% and 2%. In Niger, this share is already close to the high side by international standards, with contractual teachers costing 5 to 6 times the GDP per capita. With previous salaries of civil servants, the cost per teacher was around 15 times the GDP per capita. That would entail a share of the GDP for supporting primary teachers in the range of 5% of the GDP. Such a level is not sustainable.

Box 28: Tanzania: Quality suffers from expansion requirements

For Tanzania, already the CSE of 2005 indicates that Tanzania's general progress has been marred by a lack of progress in two areas in particular; namely on the quality of education and in relation to corruption. In part, the low quality of education in Tanzania also results from low teacher qualifications.

This is confirmed by Woods (2008), who indicates that several micro-research studies have shown that teachers in government schools had poor teaching methods, in contrast to the programmes initiated by some NGOs, in which teachers have been trained and supported to improve their teaching methods. Moreover, the author continues by emphasising that the push for UPE was the major cause of a deterioration of quality at all levels of education in Tanzania. "UPE", pronounced 'oopay', became a colloquial term associated with low quality education rather than with universalisation.

It should also be noted that expansion of primary was not accompanied by expansion of secondary, leading to reduced transition rates, which was perceived by parents as reflective of reduced quality of primary schooling. The expansion of primary education also caused a high demand for teachers, to the extent that there were not enough secondary graduates to supply the demand, and primary teachers were drawn from populations who had not attended secondary school.

Woods continues by arguing that a kind of vicious circle undermines quality, as the limited secondary education system led to a very limited pool from which to draw teachers for both secondary and primary levels. "Many of those have gone into teaching have passed through a very weak education system, achieved low academic grades themselves, and so the cycle of poor teaching continues."

Sources: CSE Tanzania 2005, Woods, Eric (2007): *Tanzania country case study. Country profile prepared for the Education for All Global Monitoring Report 2008. Education for All by 2015: will we make it?* (2008/ED/EFA/MRT/PI/79)

- In *South Africa*, in wealthier and more urban areas, teacher qualifications are generally higher, whereas poorer and rural areas struggle to attract qualified teachers. However, the EC has done relatively little to directly address these issues, apart from the infrastructure work that aimed at providing a better physical environment for both learners and teachers, especially rural areas. School Governing Bodies (SGBs) and School Management Teams (SMTs) received training in order to ensure the optimal utilisation and maintenance of the improved infrastructure. This should assist in attracting (or retaining) qualified teachers and school leaders to rural areas, although a plethora of other factors obviously also interfere.
- In the *Dominican Republic*, according to the Country Note and based on SEE-MINERD data, almost 90% of the primary school teachers are qualified according to national standards. However, several studies and even ministerial analysis show that there is no correlation between the investment made and the results in terms of learning. A regional diagnosis of the Dominican Republic indicates that there are 46,173 teachers, of these 8.2% have a bachelors qualification; 9.6% come from the Escuelas Normales, 45.0% have professional diplomas from a University; 35.3% have graduate studies at the level of Licenciaturas; 1.1% have postgraduate studies and 0.7% have a Master's degree.¹⁹⁰ The debate in focus groups held during the field visit hints at the lack of on-the-job follow-up after the training of teachers and school leaders that has undoubtedly weakened its impacts and sustainability. However, EC intervention has played a role by providing a better level of resources to be invested and the training of teachers has also increased, but still not enough.

Latin America

Nicaragua faces considerable quality problems, part of them based on proportion of unqualified teachers. However, the CSE shows that the salary policy can be considered as the main obstacle to effective support for teachers. The salary differences between qualified and unqualified teachers were considered being small, so that there are few incentives to obtain qualifications or even enrol in in-service training programmes. The GoN began to apply a new salary increase programme from 2007, but this was hampered by an increase in inflation.

¹⁹⁰ Polanco, F. (2001): La formación de los recursos del sector educativo. Situación Actual y Perspectivas: 2001:125/126

Fragile/failed states

A reasonable amount of statistical data analysed in this section is only available for *Eritrea* and the *Occupied Palestinian Territory* and for *Pakistan* among the failed/fragile states selected as samples.

- In *Eritrea*, the EC through its support to the education sector aims at delivering a major contribution to the much needed quality drive in primary and secondary education. However, a major constraint in improving both access and quality of basic education in Eritrea has been the lack of trained teachers. Under the EC Support to Education project, 200 untrained elementary teachers (Grade 1-5) are being trained through a combination of self study, peer-to-peer study and face-to-face sessions conducted in the school holidays. A large number of elementary trained teachers are currently working in middle schools (6-8) but do not possess the appropriate training qualification – a Diploma. It is the Ministry of Education’s intention to make the Diploma (a two year full-time equivalent) the minimum teaching qualification for Grades 6-8. The EC intervention is to arrange for 1,500 middle school teachers to be upgraded to Diploma level by end of project as well as revised course design and supporting materials for upgrading middle school teachers to Diploma level taking into account prior learning and experience and the needs of middle school pupils as described in the new National Curriculum Framework. The MTR of 2008 notes that a draft National Curriculum has been developed together with draft standards and gender guidelines. In addition, attention has been given to addressing special needs. Subject material development activities in English, science, mathematics and social studies are in progress.
- In *Somalia*, teacher training has been a critical component of EC interventions aimed at improving quality of education at different levels. Through the SCOT Programme, 3,338 teachers enrolled in training programmes in both Somaliland and Puntland, and 2,767 completed the training course in 2008. 571 dropped out (39% in Puntland, and 3% in Somaliland), but 1,329 sat final examinations (82.5%), passed the exams and were certified. Numbers of teachers trained are fewer in the more populous but less accessible South Central Somalia in view of insecurity: only 1,040 enrolled in 2007, and training was suspended in some areas in June 2008.¹⁹¹
- As for *Pakistan*, in EC support to the Sindh Province (which started only towards the end of the period under evaluation) quality of education and of teacher competencies is a major part of the support, comprising indicators for tranche releases related for instance to issues like adherence to merit based teacher recruitment policy, development, approval, and gradual implementation of a teacher education and professional development programme, and introducing a system of regularly monitoring teacher attendance. As not all benchmarks set had been met, the payment for the first tranche of EC SBS had been set on hold in 2009. In the meantime, it has been released (see following box).

¹⁹¹ European Commission, Delegation of the European Commission in the Republic of Kenya, Somalia Operations Unit (2009): Overview of EC support to Capacity Building and Technical Assistance in Somalia. By Edda Costarelli.

Box 29: Pakistan: Sindh Education Sector Reform Programme (SERP), major features and the role of quality of teaching

Regarding disbursements, in 2009, during the monitoring mission, EC has approved and disbursed the first tranche based on fulfilment of the DLIs required for approval of disbursements of Tranche 1.

For Pillar 4, in 2009, the progress related to the four DLIs was as follows:

- Adherence to merit based recruitment policy (with gradual improvement/inclusion of teacher competencies in recruitment tests) as validated by a third party: After few hick ups in the beginning policy had finally been implemented and 7,000 teachers had been recruited in the first round. A Third Party Validation has been commissioned by the World Bank and its work is ongoing. *Benchmark for SEDPC-II already met.*
- Development, approval, and gradual implementation of a teacher education and professional development program: Draft Teacher competencies developed (2008). Draft competency tests spot tested (2008). Adoption of the desired competencies for recruitment and professional development of teachers is agreed in principle, and can be included in next round of tests. *Benchmark partially met. Adoption of new competencies needs to be explicit.*
- Approval of reform program for revision of IT system, adoption of a needs based continuous professional development system and framework for certification and accreditation of public and private teacher training program: Reform Policy for Teacher Education agreed at the level of Department of Education. Approval is being sought from Cabinet. The policy and road map have already been prepared. *Benchmark for SEDPC-II is likely to be met. Comment: It is a process indicator where no time limit is fixed for its commencement.*

Related to the fulfilments of SEDPC-II requirements for EC Tranche 2 disbursement the report concludes, that the majority of the “SEDPC-II requirements, including some global requirements such as merit-based recruitment of teachers have been met with exceptions of some lapses that the GoS has committed to rectify. However, some critically important requirements relating to (i) sustainable fiscal and budgetary framework (ii) tenure of Executive District Directors (Education), District Officers Education, and Deputy District Officers Education, (ii) teachers absenteeism, and (iii) structural reforms of Sindh Education Foundation for revitalizing the public-private partnership in development of affordable quality education, especially in rural areas, have not been met. Meeting each of these requirements will have global impact on educational reforms. Therefore, GoS should be pursued and provided technical assistance, wherever required, to meet the remaining SEDPC requirements. So overall, none of Pillars 1-4 requirements were met. Therefore, the disbursement of EC Tranche 2 was set on hold until the GoS fulfils all the agreed requirements of all four Pillars.

Sources: SER-TA (2009): External Monitoring of SERP. Sindh Province– Pakistan. 4th of February – 18th of February 2009. Mission Report; Country Note Pakistan.

The information from the sample countries can be complemented by some findings of the ECA report for *Liberia*, which underpin the challenge identified in numerous countries related to producing an adequately trained teacher force. The ECA report noted that an estimated 60% of the teachers in primary and 42% of the teachers in Junior High School are characterised in the 2007 school census as “un-trained”. In terms of the GoL’s allocations, some 2% of total public spending on education in the financial year 2007/2008 was spent on teachers’ training. The recruitment and training of qualified teachers constitutes one of the seven strategic objectives of the Government of Liberia in education for the 3-year lifetime of the Liberia 2008 PRS). In that regard, the EC-funded ECSEL (2006-2010) covers six result areas and project funded activities deemed essential to improve both access and quality of primary education, including primary teacher training among others¹⁹². A number of system-relevant studies and assessments have been implemented in order to ensure training and upgrading. Mainly due to the limited institutional capacity of the GoL and the EC’s own capacity constraints, the ECSEL was designed to be managed through long-term Technical Assistance (TA).

¹⁹² Primary school teachers trained and continuously professionally upgraded (at least 30% women) on the basis of generic teacher competencies” constitutes one of the results of the ECSEL. As of 1 March 2010, according to the ECA report, only one of the planned activities, Teacher- Training Planned and Undertaken (5.2), had been implemented. Such activities comprised: The development of a status report providing an overview of teacher supply and demand on a national basis (still on-going in September 2010); the contribution to a scoping exercise to ascertain potential teacher-training modalities, suitable teacher-training providers and funding sources; The assistance in evaluating the suitability of potential teacher-training providers; the provision of significant resources for in-service teacher-training. However, the implementation of the other activities planned, i.e. Policy and strategy developed for teacher-training (5.1) and Quality Assurance Improved (5.3) required ECSEL extension to be implemented. Under the activity 5.1., the sub-activities planned are mainly focused on teacher-training,

4.3.2 I-432: School, cluster based or district-based in-service teacher upgrading institutionalized and I-433: Training of school leaders on managerial skills in place and implemented

In-service upgrading teacher qualification programmes are part of many EC interventions, but the necessary government funds to sustain and institutionalize the training are often lacking. In several EC supported programmes such as DPEP/Sarva Shiksha Abhiyan in *India*, BEC/TF in *Indonesia*, ESDP *Tanzania*, cluster or block based in-service training has been applied and cluster resource centres or, in *India*, block resource centres have been set. In many **sector support programmes** benefiting from EC support training of school leaders on managerial skills has or is being implemented.

In *Bangladesh*, EC support assisted in strengthening teachers' competencies and school principals' capacity. In *India* in-service training was EC supported through strengthening the Block and Cluster Resource centres and Sarva Shiksha Abhiyan established in-service training norms. In *Tunisia*, the majority of teachers followed some sort of in service training under the EC supported SBS (on average 10 days). In *Eritrea*, through EC support, cascade training for teacher trainers is being given as well as school management training through distance education modules. In *Liberia*, through ECSEL, primary teachers receive upgrading training. In *Pakistan*, in the Sindh programme, training of school leaders on managerial skills is planned by the EC's TA, and is linked to the Education Sector managers training. Overall, these are signs of emphasis being put in EC support on teacher and school leader training, shown also in indicators related to the subject. However, they seem to occur mainly in support that is directly geared towards the sector, be it still at project level, as in *Eritrea* and *Liberia*, or embedded in broader sector support under the umbrella of SPSP or SBS (*India*, *Bangladesh* and *Tunisia*). From the analysis made, it seems that there are no triggers and indicators related to the teaching force in the EC supported GBS programmes.

At a **more detailed level**, the following findings, mainly for the sample countries, help underpinning these trends identified:

- In *Bangladesh*, as assessed by the Country Note, EC support to formal education, along with other donors, helped in strengthening teachers' competencies and school principals' capacity to lead in the schools. A BRAC survey indicated that 30% of teachers working in Non Government Primary Schools and 31% in Registered Non Government Primary Schools (RNGPS) had received subject-based training, whereas 38% of all teachers had received training in teaching methods in classroom in 2006.

EC support in the non formal subsector contributed significantly to enhancing non formal teachers' quality of teaching through training, workshops, etc. BRAC and other implementing agencies undertook regular programmes for competency development of all teachers who are all females. While often the non-formal schools are criticised for their teachers with low educational qualification, the EC MTR (2009) reported that, according to the stakeholders, 'these NGO teachers are very child-friendly, cooperative and punctual, are able to keep children cheerful in the classroom.' Documents and discussions with both government and NGO people support this view.

- In *India*, in-service training and pre-service training of assistant teachers was EC supported in DPEP through strengthening the Block and Cluster Resource centres. The block is responsible for identification, selection and training of master training, teacher training; 20 days in-service training for all teachers; 60 days refresher for all teachers; 30 days orientation for freshly recruited teachers.
- In *Tunisia* the majority of teacher trainers followed some sort of in service training (on average 10 days), but according to the opinion of their union representatives it was insufficient to master properly CBA. According to the Country Note, the introduction of CBA has generated huge in-service training needs for teachers. One of the conditionalities included in the EC support was related to the minimum number of 10 days to be provided to each teacher. For each year, about 10,000 teachers were concerned, for a total of 100,000 person/days. The condition has been considered as satisfactory by the evaluation of the basic education support¹⁹³. The training had taken place in renovated regional institutions called the Centres régionaux de formation continue (CREFOC - Regional Center For Training of the staffs of the Ministry of Education and Training The renovation included a new internal organisation (condition satisfied), an improved professionalisation of training capacity (condition satisfied), a new decree concern-

¹⁹³ Commission européenne (2005): Evaluation finale du programme d'appui à la réforme de l'éducation de base Basnet

ing the operation of CREFOC (condition satisfied with a new decree of December 9, 2003), the retraining of trainers in CREFOC, which was organised in a newly created institution called the Centre National de Formation des Formateurs de l'Education (CENAFFE), created by a decree dated September 10, 2001). The training had been implemented as planned, but its impact is mixed. An evaluation was carried out recently on the implementation of the CBA in Tunisian schools¹⁹⁴. It has revealed a disappointing level of appropriation by teachers.

Also, in **fragile states**, efforts have been made in EC support to enhance teacher and school leader competencies, with rather mixed results, at least in the sample countries:

- In *Eritrea*, trainers are trained at central level and these trainers in turn train trainers at the decentralised (zoba) level. As highlighted by draft review report of June 2010¹⁹⁵, this cascade training, given by European experts and professors, and financed by the EC, is not always the most effective and not all teacher training reaches the school level. School management training, schools administration and curriculum development training is given by distance education modules to educational managers at central and decentralised levels.
- In *Liberia*, as mentioned above, "Primary school teachers trained and continuously professionally upgraded (at least 30% women) on the basis of generic teacher competencies" constitutes one of the results of the ECSEL.
- In *Pakistan*, in the Sindh programme training of school leaders on managerial skills is planned by the EC's TA, and is linked to the Education Sector managers training. Moreover, in order to increase competencies, the Northern Pakistan Education Project catered for training on leadership, management, planning and supervision for head teachers and mentors (see also above).

4.4 JC44: Provisions made to ensure minimum quality education for children in difficult circumstances and ethnic minorities

This JC complements the JCs of EQ2 dealing with access as it looks further into more specific issues that aim at decreasing disparities, be they regional or ethnic. COM (2002-116) already addresses this issue by stating: "*Recognition of these urgent needs should be reflected by the construction of more schools closer to areas in which disadvantaged population groups live, and by the training of more teachers in these areas.*" This criterion will therefore *mainly* seek to address how and where provisions have been made for quality education in remote areas or for ethnic minorities, in terms of legislation and education sector plans. The following indicators will help in assessing this JC:

- Upgrading of school buildings and construction of additional classrooms in remote areas
- Incentive schemes operational for teachers in remote and disadvantaged areas
- Provision made for consideration of different mother tongue languages within a country

It should be noted that data has remained rather sketchy, especially regarding the two last indicators, despite efforts made during the field phase.

4.4.1 I-441: Upgrading of school buildings and construction of additional classrooms in remote areas

This indicator seeks to focus on remote areas only, as the issue of access in general is already covered in EQ2. **In sum, the upgrading of school buildings and construction of additional classrooms in remote areas has not been a major focus of EC support, and results observed are rather mixed.** In this context, it is important to stress that EC support is linked to partner country priorities, which means that if the latter make serious efforts to reach the considerable number of out-of-school children not enrolled and often living in remote areas, and this emphasis is reflected in the PRSP, then EC support can match this PRSP requirement. This has been the case in *India* with regard to EC DPEP support to the Education Guarantee Scheme in the state of Madhya Pradesh¹⁹⁶, where small multi-grade schools have been established as a low-cost way of improving children's ac-

¹⁹⁴ Ben Fatma, Mohamed and Lafontaine, Louise (2009): Etude sur les réformes curriculaires par l'approche par compétences en Afrique: le cas de la Tunisie, 99 p

¹⁹⁵ Particip GmbH, Edinburgh Consultants (2010): Ex-post evaluation of programme-estimates and annual monitoring of the project "EC Support to the Education Sector" – Eritrea. EuropeAid/126248/D/SER/ER. Service Contract 9th EDF – account no. 9.ACP.ERY.9. Monitoring Mission Report. Draft Final Report. Volume 1.

¹⁹⁶ In India, scheduled castes (SC) and tribes (ST) are scattered on the periphery of several states, but there is a big concentration in the largest state, Madhya Pradesh.

cess in rural areas. In *Bangladesh*, ethnicity, poverty and post-insurgency problems are coinciding in the Chittagong Hill Tracts, with EC support to an education component that includes school construction and improved learning conditions for Tribal children from poor and marginalised communities. Post-emergency and post-conflict rehabilitation has generated EC support in, for instance, *fragile states such as Somalia, Pakistan and Eritrea*, but also in the *Dominican Republic* and in *Uganda*. In *Pakistan*, the EC-supported Aga Khan Foundation implemented the Northern Education Project in Chitral and parts of AJK, which established community schools with community self-help.

At a more **detailed level**, the following findings, mainly for the sample countries, underpin the summary:

Asia

In Asia, EC support had a focus on construction and rehabilitation of schools and classrooms in remote areas in *India, Indonesia and Bangladesh*.

- In *Bangladesh*, in the CHT, between 2004 and 2009, the EC had supported a project with the aim that “tribal children from poor and marginalised communities effectively complete basic education” (€ 749,517). The project included the establishment of primary schools staffed with teachers from the local communities who are educated in Bangla but speak the same language as the children. According to a ROM monitoring report from 2007, in terms of outputs, “100 schools have been established, 200 teachers have been selected and trained, 2,815 students (in pre-school, grade 1, 2, 3 and 4) are enrolled”. The report further claims that the learning environment is friendly, with local teachers speaking the children’s own language.
- In *India*, in the EC-supported state of Madhya Pradesh, within in the framework of DPEP small multi-grade schools have been established as a low-cost way of improving children’s access in rural areas. Moreover, distance and population norms have been modified to allow the opening of additional small schools¹⁹⁷ as part of the Education Guarantee Scheme initiated in Madhya Pradesh. However, the *India* CSE made the point that sustainably high enrolment rates can be achieved only if schools are made more attractive by increasing quality and learning outcomes, instead of merely increasing inputs (i.e. funds, schools and, nominally, teachers). Despite this, the evaluation¹⁹⁸ still accepts that there is an argument for expanding schools in remote areas (often tribal in India) in order to balance out the differences between urban and rural settings. Some EGS schools are still without buildings that provide adequate shelter or space, but all EGS schools are expected to have good buildings within two to three years.¹⁹⁹
- In *Indonesia*, RENSTRA’s medium-term goals for the basic education subsector include special schools and “one roof” schools to provide a basic elementary education service in remote areas and sparsely-populated islands²⁰⁰.

Sub-Saharan Africa and Caribbean

- In *Uganda*, according to the ex-post ROM report on SUPE 2007, “quantity had eroded quality”. However, ample attention has been given to special needs groups, such as students in isolated or conflict areas, internally displaced people (IDP), physically disadvantaged children, traumatised children, orphans, poor families and girls.
- In the *Dominican Republic*, according to the Country Note, construction, repair and maintenance of school buildings and classrooms is a priority for SEE-MINERD as the availability of education spaces is likely to promote an increase in quality by reducing shifts and increasing the average school time. Over the period 2007-09, according to SEE-MINERD data, 1,209 new classrooms were built and 1,114 repaired. It should be noted that the construction of 4,189 classrooms had been foreseen for the end of 2009, and that 1,066 classrooms were under construction and 1,325 under repair. However, in this field it cannot be said that EC support has worked properly. In fact, out of the school reconstruction projects, in the first phase (8 ACP 13 DO) and second phase (9 ACP DO), these projects can be characterised by several problems related to low quality of project design, incorrect technical decisions, and, for the latter, by problems related to the aid modality (project support) that has produced a duplication in structures and delays in implementation. However, some 100 schools have been

¹⁹⁷ Govinda, R. (2007): Reorienting Elementary Education.

¹⁹⁸ CSE India

¹⁹⁹ District Primary Education Programme (DPEP), Thirteenth Joint Supervision Mission, April 19-May 5, 2001

²⁰⁰ CSE Indonesia

built under the two projects.²⁰¹ This intervention targets the needs of children in difficult circumstances as the schools reconstructed are located in the Eastern Area of the country, affected by Hurricane George in 1999 and most prone to natural disasters. Moreover, most of the schools are located in very remote areas.

European Neighbourhood

In *Tunisia*, concerning pupils in difficult circumstances, the most visible intervention during the period under evaluation was aimed at rural schools where the majority of pupils originate from a low socio-economic background. About 700 schools had been identified as requiring additional means to compensate for their specific difficulties. They have been upgraded in terms of comfort (access to electricity, water, canteens, etc.), and the vast majority of schools are properly equipped (see Country Note).

Fragile/failed states

It appears that efforts to ensure education provision in **remote areas** often battered by conflict and natural disasters have been especially important in fragile/failed states:

- In *Eritrea*, the interventions that the EC supported served to rehabilitate and reconstruct war-damaged infrastructure programmes. In EDF 8 and 9, 25 primary schools were planned to be built or rehabilitated, and all schools were completed accordingly. Out of the 25 schools, 14 were damaged in the border war, and these were all rehabilitated, thus allowing for returning IDP children to attend school and continue their studies in their home villages. When using double shifts, the total capacity of these schools is over 4,000 pupils.
- In *Somalia*, the EC supported the SISED (2007 to end of 2008) with an amount of € 3.5 million. This programme supports secondary schools and secondary teacher training. It is providing new classrooms, textbooks and equipment and teaching materials, as well as training secondary school teachers. Fifty new classrooms were planned to be built, new teaching materials were to be provided in English with support from the BBC, a six-week bridging programme was to be instituted, and in-service teacher training, pre-service training and an examination project were all part of this project's remit. The follow-on programme was entitled 'Strengthening of Secondary Education and Teacher Training (SOSETT)' and started implementation in July 2008, with a commitment of € 1.7 million. In terms of achievements, according to ROM data for SOSETT, it was generally agreed that SISED failed to meet its female enrolment targets or achieved enough qualified women on leaving the schools to enter teaching (and other professions), and that access could not be improved – especially in Somaliland – without an expanded classroom building programme and an increased output of trained teachers. However, these were small attempts to rectify constraints and were certainly not able to satisfy the huge extent of demands in Somalia.
- In *Pakistan*, as stated by the Country Note, the entire EEAP might also be considered from the angle of supporting children in difficult circumstances, in that the EC's funding support helped considerably in the upgrading of school buildings and the construction of additional classrooms in remote areas²⁰². The EC and ADB funds in the education sector component of the EEAP are being used mainly for the reconstruction of partly and completely damaged government middle schools building.

The EC-UNICEF MDTF Pakistan Education Programme in the earthquake-affected districts of NWFP and AJK provided temporary structures (primarily tents) to bridge the gap until permanent structures can be built. Tents were made suitable for winter weather (winterised) and equipped as fully as possible to act as temporary schools for a minimum of three years.

Also, the Northern Pakistan Education Project covered a Self-Help Community Construction Programme, especially in the Northern Areas, and this constituted, according to a ROM report, a viable and sustainable model for school construction. In Sindh alone, especially in remote district areas, almost a quarter of primary and one-fifth of the middle schools do not have their own buildings.

²⁰¹ This is in sharp contrast to the Multi-phase Programme for Equality in Basic Education funded by the IDB. It is based on rural education, access and equality in marginal areas, improvement of the education management, and a fund for innovations in education. Under this programme, 136 schools have been built, most of them in rural and isolated areas and in marginalised communities where schooling opportunities were previously very scarce.

²⁰² Pakistan field mission report Global evaluation of EC support to education, 2010

4.4.2 I-442: Incentive schemes for teachers in remote and disadvantaged areas operational

As part of teacher rationalisation and deployment, teachers willing to move from a post in their home area to a remote or disadvantaged region are being provided with incentive payments. In the past, these payments were often covered by development partner systems, but they are hard to sustain in the long run. Alternative measures are to train girls (mostly) from remote villages or ethnic minorities who went through secondary education as teachers for remote schools, and to build teachers' quarters, often with community support. These teachers will be more likely to remain in the villages and are more "community owned". While in some countries, incentives for regular teachers have been provided, the expansion of enrolment to cover remote areas – with often small villages in *India* as a whole, but especially in the state of Madhya Pradesh – has been achieved, with EC support, by recruiting and training a cadre of informal assistants at low rates.

While such incentive schemes seem not to be very widespread, some examples could be found from our documentary analysis and field visits:

- In *Indonesia*, according to the CSE 2007²⁰³, the Teachers Law is an important instrument for quality improvement and for establishing minimum standards for teacher qualification and certification. It also incorporates the Government's new policy of providing additional financial incentives for teachers working in remote schools. However, this incentives approach, combined with certification, still needs to be embedded within the framework of a much broader civil service reform, which seems to be in an embryonic stage.
- In *Namibia*, CSE 2009²⁰⁴ complains that no figures were available to track the trends in teacher availability across regions. It noted that ETSIP is "currently promoting the development of an incentive system to attract teachers with scarce qualifications to underserved areas and retain good performers in these areas. The establishment of this system is one of the prior actions whose completion determined the release of the next tranche of EC funding. As of April 2008, this incentive system was still being developed and its instalment was in danger of being delayed."
- In *Niger*, a strategy for providing specific incentives to teachers assigned to such areas has not yet been developed. In fact, given the pace of implementation of the PDDE, the country has so far not faced a serious problem in recruiting teachers assigned to the new schools.
- In *South Africa*, there are no incentive schemes for teachers in rural areas. In fact, there are disincentives, such as the housing benefits schemes for teachers, which are premised on house ownership. In rural areas, tenure systems complicate house ownership, which in turn limits the effectiveness of the housing benefits schemes, as few teachers can buy houses in these areas. While the South African constitution states that all its people have the right to "to receive education in the official language or languages of their choice in public educational institutions where that education is reasonably practicable", the scarcity of teachers and of teaching materials in several languages has substantially undermined this right, and there are also questions surrounding the cost-effectiveness and opportunity cost of enforcing this right in the education sector. The EC has made limited efforts in this area. Again, the school infrastructure programme is one avenue where the EC has attempted to address quality issues, especially in rural areas, but this obviously addressed only one dimension of quality – the others being weak accountability and governance around school and teacher management, especially in poorer and rural schools.
- In *Pakistan*, an EC TA-supported comprehensive review in Sindh of needs for school-based teachers, including ratios and redeployment, proposed that teacher redeployment indicators should be adopted. The Pakistan Education Programme in the earthquake-affected districts of NWFP and AJK (EC/UNICEF) recruited and trained additional "para-teachers" to ensure adequate staffing of temporary schools. Their salaries are to be covered for a fixed period of time, with a clear phasing-out strategy (see Country Note).

4.4.3 I-443: Provision made for consideration of different mother tongue languages within a country

Education systems seldom reflect linguistic diversity. Many countries stress the importance of children learning in their mother tongue or home language. However, according to the EFA GMR 2010, about

²⁰³ ECORYS (2007): Evaluation of the Commission's support to Indonesia, Country Level Evaluation. Final report

²⁰⁴ ECO Consult (200): Evaluation of the European Commission's co-operation with Namibia, Country Level Evaluation. Final report, Volume 2: Annex

221 million school-age children speak languages that are used at home but not recognised in schools or official settings. The degree of alignment between home and school language has a critical bearing on learning opportunities. Children who study in their mother tongue usually learn better and faster than children studying in second languages. Pupils who start learning in their home language also perform better in tests taken in the official language of instruction later in their school careers. The benefits extend beyond cognitive skills to enhanced self-confidence, self-esteem and classroom participation.

Disadvantages associated with language are found across all regions. In countries where the official language is not the most common language spoken at home, there are strong links to marginalisation in education. There are some 30 countries in Sub-Saharan Africa where the official language is not the most common home language. This means that, in many cases, children are taught at primary school in a language other than their mother tongue, which contributes to extreme language-based disparities.

In the sample countries, such provisions would be relevant for almost all countries, as the following table shows.

Table 29: Number of local languages in sample countries

Country Name	Number of local languages	Country Name	Number of local languages
Asia		Caribbean	
Bangladesh	6	Dominican Republic	No data
India	134	Jamaica	2
Indonesia	179	Latin America	
Tajikistan	6	Argentina	14
Vietnam	27	Nicaragua	3
Sub-Saharan Africa		European Neighbourhood countries	
Botswana	9	Tunisia	2 (modern and Tunisian Arabic)
Burkina Faso	23	Russian Federation	99
Ghana	24	Fragile States	
Mozambique	9	Eritrea	10
Niger	8	Somalia	2
South Africa	14	Pakistan	20
Tanzania	34	Occupied Palestinian Territory	2 (modern and Palestinian Arabic)
Uganda	19		

Source: *The World Atlas of Language Structures Online*; <http://wals.info/index>

Some evidence could be collected during the field visits related to changes in provisions made for consideration of different mother tongue languages within a country, and especially what role EC support has played. While the example of *Bangladesh* shows the possible benefits of instruction in mother tongues, the *Niger* case tends to reveal that, while pupils could gain some benefits from bilingual education, overall results so far have been mixed. Overall, these findings do not allow clear conclusions to be made. However, when considering successes of NGO-supported projects in increasing access to education in remote areas or for disadvantaged groups (see EQ2), the approach to addressing mother tongue education in **remote areas** by NGOs seems to have been appropriate²⁰⁵.

- In *Bangladesh*, the BEP Mid-Term report of 2007 observed that in terms of retention and quality, the non-formal schools are outperforming government primary schools and are of a good standard. BRAC, with the support of the EC, undertook an education programme for the ethnic minority in Chittagong Hill Districts to provide primary education in mother tongue language. An MTR review team noted that “*the expansion of education of ethnic children is impressive, despite the fact that many constraints and obstacles are faced by schools in ethnic areas*”.

²⁰⁵ Also in *Cambodia*, as revealed by the video-conferences, mother tongue pilots are implemented by NGOs in remote areas.

Furthermore, the overall performance of NGO students (especially BRAC) was slightly better than that of students from government primary schools (see Country Note).

- In *India*, by Constitutional Amendments a list of 26 Scheduled languages were established that can be used as languages of instruction, besides Hindi. In states such as West Bengal, Bihar and Uttar Pradesh, implementing schemes such as the EGS in the EC-supported DPEP state of Madhya Pradesh, assistant teachers from the local community were recruited and trained and the local language was used as a basis for further teaching and learning Hindi. Extending education to remote villages with ethnic minorities is proved to benefit from recruiting teachers speaking the local language.
- In *Eritrea*, the medium of instruction and for textbooks in primary school (grade 1-5) is one of the seven local languages.
- In *Niger*, the potential difficulties that a policy of introducing vernacular languages might face is highlighted, and that EC support has to address policy changes. It should be noted that Niger is one of the few countries where provisions have been made for consideration of different mother tongue languages within a country through the EC-funded SOUTEBA project.

Box 30: *Niger: The challenge of introducing vernacular languages*

The Government adopted a "Programme Décennal de Développement de l'Éducation" (PDDE) in 2001, based on three major objectives: improve access to basic education, both formal and non-formal; improve the quality of basic education; and strengthen the institutional capacities of the Ministry of Education. GBS is a major feature of EC assistance to Niger, and it has a focus on education characterised by variable tranches based partially on the achievement of education indicators directly related to the achievement of MDG objectives. Insofar as Niger used to belong to the group of countries with the lowest school participation rate, the priority was given to access. Budget support was largely utilised for the construction of new classrooms, and for the hiring of new teachers, mostly on a contractual basis instead of as civil servants. Quality improvements were expected to come from curriculum reform, in particular a competency-based approach, and more reliance on the utilisation of vernacular languages as mediums of instruction. Even though Niger is a multi-cultural country with a number of different national languages, the education system remains traditionally in the French language.

Niger started the introduction of mother tongues in education in the 1970s on an experimental basis. The SOUTEBA project²⁰⁶ (amounting to € 8.7 million) was identified in 1998, suspended following the 1999 coup, and finally signed in 2002. The implementation was postponed to 2004 after a long process for the recruitment of the international consultant. It was closed in 2009. The aim was to supporting a programme of pedagogical innovations in two education zones, those of Tahoua and Dosso. This project was supporting the implementation of some aspects of the 1998 Education Law – namely, support to bilingualism and support to extracurricular activities, or "activités périscolaires (APS), a restricted interpretation of the practical and productive activities ("activités pratiques et productives"), as described in the law. It should be noted that the programme was aligned with the 1998 education law, but the 2002 PDDE set up new objectives for the education system, and the EC project became de facto outdated.

SOUTEBA aimed to provide access to an adapted education for disadvantaged children in rural area, in particular by providing a bilingual education and practical extracurricular activities. Teachers have been trained in order to be able to teach in four different national languages. Textbooks have been created and published for four of the 10 mother tongues, and guidelines for teachers have been produced in four different national languages.

Presently, more than 1,000 schools are involved in the scheme, out of a total of 12,000. An action plan has been developed for introducing this scheme throughout the country, but it has not yet been validated by the government.

An evaluation of the bilingual education provided by SOUTEBA has shown that the results of pupils who benefited from this bilingual education have improved, but results are still mixed.²⁰⁷ This study indicates that the support from SOUTEBA has been largely wasted within Niger's dysfunctional education system. One of the strategic aspects of the second phase of PDDE (2008-10) is to diversify the provision in primary education by developing bilingual education.

Sources: Country Note Niger, ECA Report Niger

4.4.4 I-444: Provisions made to ensure minimum quality education for children in difficult circumstances and from ethnic minorities

Education systems have to perform a delicate balancing act. First and foremost, they need to create the enabling conditions for effective learning. Ideally, this implies learning the official language as a subject in primary school, while receiving instruction in the home language. It also implies a school

²⁰⁶ SOUTEBA is officially called "Programme de Soutien à l'Éducation de Base" (8 ACP NIR 43), but has been executed by using project procedures, with a Project Implementation Unit following EC procurement regulations.

²⁰⁷ République du Niger (2008): Rapport d'évaluation des écoles soutenues par SOUTEBA, Mai 2008

curriculum that teaches the majority population respect for ethnic minority language and culture. But education systems also have to ensure that children from disadvantaged minority backgrounds learn the skills – including language skills – they need to participate successfully in social and economic life.

It is therefore important that provision is being made in legislation, and that education sector plans cater for the needs of these vernacular languages. This has also been emphasised by COM (2002/116), and was reiterated by Council Conclusions related to the preparation for the World Summit for Sustainable Development²⁰⁸, which notes that the specific needs of indigenous peoples should be addressed, particularly through bilingual intercultural education. However, although the importance to reach minority groups of children is subscribed to in policies and strategies, governments have their hands full in organising quality education for the majority of their students. The last 20% is very difficult to reach.

There are **three categories of EC support**:

- **Support** matching political and economic priorities **linked to broader participation of minorities in the fabric of society**.
- **Support through EC-supported NGOs** implementing projects reaching out to those areas and target groups.
- **Post-conflict and post-emergency projects**.

The first situation is reflected in *India*, where support to DPEP and Sarva Shiksha Abhiyan succeeded in reaching out to scheduled castes (SC) and scheduled tribes (ST), living often isolated at the margins of society. This example relates to EGS in the EC DPEP-sponsored state of Madhya Pradesh, where the great majority of teachers are working with multi-grade classes, with the EGS approach specifically designed for this reality. The new integrated materials for all schools incorporate some aspects of a more inclusive approach, while not fundamentally adapting the formal syllabus, since the latter is a longer, more complex process.

In *Pakistan*, support through the Aga Khan Foundation in the Northern Area and Chitral (Northern Pakistan Education Project) is a combination of the second and third categories. The project arranged for many quality-supporting strategies, including head teacher training, the associated development of school self-evaluation and school development planning, which will have an impact on improving the whole school in due course. Subject training in mathematics and science has led to some improvement in quality, and recent improvements to course outlines and training manuals will further improve effectiveness in future. Courses to support English proficiency among teachers will become increasingly important as the government moves towards further strengthening English as a medium of instruction.

Overall, it appears that, during the period under evaluation, the EC has been assisting in drafting policies and strategies, and in those safeguards that minorities are not overlooked, the actual implementation of these measures is often left to the NGOs, whether or not supported by the EC – hence, the EC-supported BRAC (*Bangladesh*) and the Agha Khan Foundation in the Northern Pakistan Education Project (*Pakistan*). In addition, EC-supported sector programmes such as DPEP in *India* helped by establishing alternative schools (several states) and Education Guarantee Schemes (Madhya Pradesh). Moreover, in the post-conflict and post-emergency support, apart from school and classroom construction and rehabilitation, EC support focused on education system re-engineering, including teacher training and quality-enhancing measures, such as in *Pakistan*, *Eritrea* and *Somalia*.

4.5 Overall assessment

Without even further increasing support to education, especially to LDCs in **Sub-Saharan Africa**, EC support to access has left little room to impact on improved quality of learning and teaching. The support provided, especially through GBS, has often assisted governments to meet bare necessities of education system survival, including recurrent budget financing of teacher salaries, while quality, at least initially, did not play a significant role. Given attempts to meet the 1 to 40 ceiling for the PTR, enrolment increases often required recruitment of new teachers, thus further burdening the education recurrent budget. Here, EC SBS support has been shown in a number of cases (such as *Dominican Republic*) to further quality-enhancing strategies for which it can be specifically earmarked.

As for working in remote areas, the degree to which EC support can enhance quality is determined by socio-economic status. LDCs have tried to move towards education system survival, with EC support

²⁰⁸ FROM MONTERREY TO JOHANNESBURG: PREPARATION FOR THE WORLD SUMMIT ON SUSTAINABLE DEVELOPMENT - Council Conclusions, p.28.

through GBS providing assistance for teacher salaries and textbook provision (e.g. in *Niger, Burkina Faso, Mozambique* and *Uganda*). On the other hand, countries scoring relatively high on the HDI, such as *Botswana, Tunisia, Indonesia* and *India*, are, with EC support, systematically attempting to improve quality. Apart from nation-wide system broad support to both improve access and quality, the EC has mobilised NGOs – such as BRAC (*Bangladesh*) and the Aga Khan Foundation (*India* and *Pakistan*) – to enhance quality, especially in *Asian* countries.

Compared to other countries, **fragile/failed states** represent an even greater challenge for EC support to succeed in establishing strategies for improving quality of teaching and learning. For such countries, analysis revealed interesting approaches of EC support to quality improvements, linking EC support to major World Bank investment programmes in *Eritrea and Pakistan*, and through projects implemented by NGOs in *Somalia* (the Strengthening of the Capacity of Teacher Training Programme – SCOT).

Another specific aspect that would significantly contribute to improving quality is how **hard-to-reach children** are accommodated in the system. There has not been a major focus in EC support to partner countries in reaching out to children in difficult circumstances or from ethnic minorities to provide access to schooling and minimum quality of education. From the findings, it seems that, in most countries, hard-to-reach children from ethnic minorities will remain marginalised, even though the EC has assisted in cases where partner countries have given priorities to creating minimum conditions for quality education in those areas for this target group. Broadly, with regard to enhancing quality to arrange for education meeting minimum quality requirements, three categories of EC support could be identified:

- **Support matching political and economic priorities linked to broader participation of minorities in the fabric of society.** This involves different modalities – i.e. sector support (DPEP, *India*), SBS (*Uganda, Tunisia, Pakistan*), GBS (*Niger and Dominican Republic*), but also project support in the Chittagong Hill Tracts (*Bangladesh*);
- **Support through NGOs** implementing projects reaching out to those areas and target groups – e.g. BRAC Education Programme under NFPE in *Bangladesh*, or the Northern Pakistan Education Project in *Pakistan*;
- **Post-conflict and post-emergency project**, for instance in *Somalia, Liberia, Eritrea* and *Pakistan*.

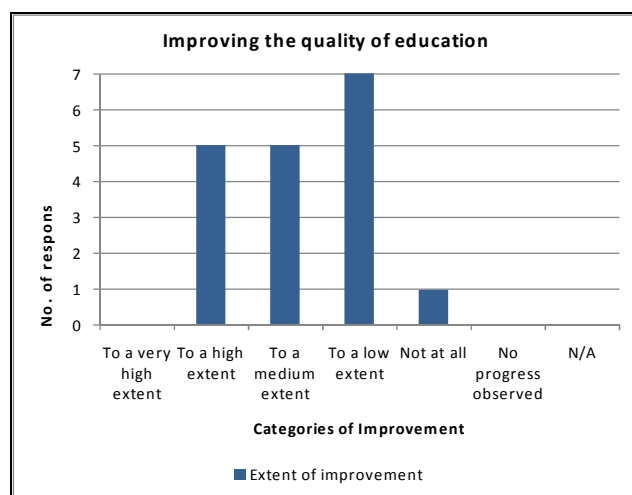
From the findings, it appears that, during the period under evaluation, in most cases where EC support relied on projects implemented by NGOs for situations when government was not (yet) in the position to ensure quality, these approaches have worked well. However, quality is a matter for governments to ensure, and should not be delegated to NGOs. Findings show that, with support of the EC, government emphasis is slowly shifting towards an increased attention to quality, as shown by the rather successful cases of *Bangladesh* and *India*. As for other modalities, GBS has assisted in meeting recurrent cost expenditures in LDCs in **Sub-Saharan Africa**, which, besides teacher salaries, may include important quality-enhancing variables, such as textbook production and distribution. SBS, as shown by *Tunisia* and *India*, has assisted partner governments to tackle quality issues in a systematic way.

Overall, some progress related to the quality of education was noted through EC support, especially to **Asian** countries, for more and better teachers and school leaders. In general, it was found, underpinned by evidence from EC-supported programmes assessed, that EC support is frequently supporting both access and quality, but real quality improvements linked to EC support do not always occur as a consequence of support.

Overall, EC support to quality has been important, without having contributed to systematic quality improvements. This is partly due to many governments not allocating key priority to quality improvements, given remaining commitments related to access. The costly agenda of enrolment expansion boosting the recurrent budget has left little space for non-salary, quality-related strategies as part of the recurrent budget. Where the EC has used the NGO channels, improvements can be noted, but these are not systemic and nation-wide. However, medium-growth economies are gradually moving from an emphasis on access to embarking on quality approaches, and EC support plays a solid role in that respect.

The survey of EUDs helps corroborate the assessment made of EC contribution to improving quality through desk study, analysis of CSE and ECA reports, and field visits. The following figure depicts the responses of the EUDs:

Figure 11: Results of survey to EUDs: Rating of the EC's contribution to improving quality of education in the country



Source: EUD survey

Overall, it is striking that only five out of 18 EUDs indicate that the EC has contributed to a high extent in increasing quality, and surprising that among these countries are *Argentina* and *Tajikistan*, which only received rather limited EC support during the evaluated period.

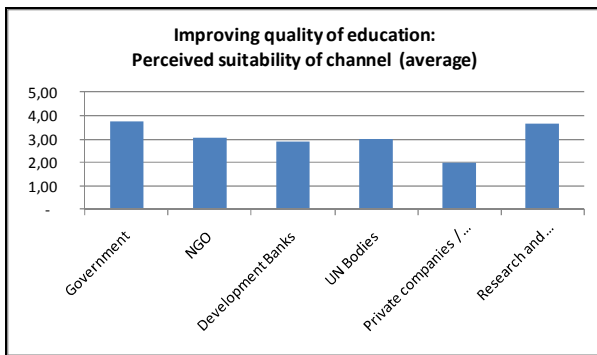
For the vast majority of countries that have received quite substantial support, impacts of EC support on increasing quality are considered to be rather limited. This confirms the fact that, in most cases, quality was not the initial focus of EC support, but rather access. Moreover, survey respondents also reconfirmed that the lack of focus on quality was partly due to the MDG political bias on quantity (*Ghana*), and that quality needs time to be improved, thus indicating that in countries where support started quite recently, such as in *Indonesia* or in the *Occupied Palestinian Territory*, this progress could not yet be observed.

These findings are also corroborated by the results the video-conferences with another “set” of EUDs for countries other than the sample countries. There, the majority of participants (seven out of 12) indicated that the EC had significantly contributed to access to basic education, but had neglected quality aspects²⁰⁹.

When looking at perceptions regarding the **suitability of channels for improving quality of education**, the EUD survey reiterates that government is the channel best suited to dealing with this issue; moreover, it is within its responsibilities. In terms of the average score for each channel’s suitability with regard to improving the quality of education, both the government and the research and education institutions score highest, with scores above 3.5 but under 4 – thus indicating quite a high level of suitability. NGOs, Development Banks and UN Bodies are all perceived to have a medium suitability on average, while private companies and “development agencies acting as such” are seen as rather less suitable. This picture does not fully reflect the suitability of NGOs for work under difficult circumstances, which is better reflected in the scoring given by the EUDs for NGOs under the heading “Improving access to education for disadvantaged groups” – as, for NGOs, both access and quality aspects are usually very much linked (see EQ2 and Annex 3).

²⁰⁹ Five out of 12 participants were of the opinion that that EC support has significantly contributed both to improved access and quality of basic education in the country.

Figure 12: Results of survey to EUDs: Improving quality of education - perceived suitability of channels

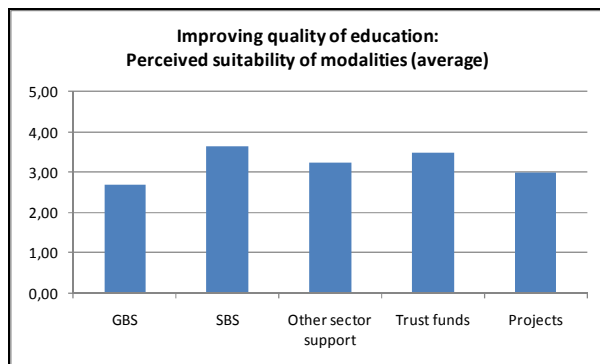


Channel	5	4	3	2	1	W
Government	6	4	2	4	0	3.75
NGOs	0	4	7	3	0	3.07
Development Banks	0	3	3	0	2	2.88
UN Bodies	0	2	2	0	1	3.00
Private companies / dev. agencies acting as such	0	0	1	2	1	2.00
Research and education institutions	2	3	2	0	1	3.63

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low; W = Weighted average

The perception regarding the suitability of channels partly corresponds to the EUDs' perception of the **suitability of aid modalities for improving quality of education**. In terms of the average score for each **aid modality's suitability with regard to improving the quality of education, SBS ranks highest**, with a score higher than 3.5, followed by trust funds, other sector support, projects, and then GBS with a score of above 2.5. The latter seems to reflect experience with the difficulties of quality-related indicators being met in GBS, as especially highlighted above and in EQ9.

Figure 13: Results of survey to EUDs: Improving quality of education - perceived suitability of modalities



Modality	5	4	3	2	1	W
GBS	1	1	3	4	1	2.70
SBS	2	7	4	0	1	3.64
Other sector support	0	1	3	0	0	3.25
Trust funds	0	2	2	0	0	3.50
Projects	0	5	4	3	1	3.00

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low; W = Weighted average

The outline above, underpinned by the EUD survey responses, confirm the problems involved for partner countries, especially poor ones, to make substantial quality improvements, and for EC support to those countries to contribute significantly to it. However, it is certainly difficult to attribute quality improvements directly to the EC support, and the analysis from *Pakistan* may very well apply to many more partner countries. That analysis shows that the EC SBS to the Sindh Education Sector Project has had a leverage effect on putting quality enhancing systems in place and on stimulating the Government of Sindh, through performance related to DLIs (in particular, Merit-Based Teacher Recruitment), to move towards performance-based systems. Here, and in a good number of other cases, the EC's TA has played a crucial role in assisting the RSU to address compliance requirements, although not all could be met.

5 EQ5-skills: To what extent has EC support to education contributed to enhancing basic education skills, especially literacy and numeracy?

The question focuses on the degree to which basic education prepares pupils for further education, adulthood and useful and gainful employment. Major achievements have been noticed in the access drive, leading to a substantial decrease in out-of-school children. This has now to be matched with a quality drive that ensures a proper return of investments in education through the mastery of literacy, numeracy and essential life skills. Therefore, there is increasingly emphasis on measuring learning achievements not only to measure what is actually being learned but also how well the education system is working. Article 4 of WCEfA, Jomtien, in March 1990 focussed on learning acquisition and states that *“whether or not expanded educational opportunities will translate into meaningful development – for an individual or for society - depends ultimately on whether people actually learn as result of those opportunities, i.e. whether they incorporate useful knowledge, reasoning ability, skills, and values.”* This message is still valid.

In many countries, especially in LDCs and fragile states, basic education systems are wastage systems characterised by low internal efficiency. This low efficiency is based on a low cohort survival rate as indicated by low completion rates (see EQ2) and relatively high drop-out rates already starting in grade 1 (see EQ 4). It is often difficult to obtain good insights into learning outputs, as systematic standardised tests of learning achievements are often not used on a nation-wide basis. Proxy indicators for quality and adequate levels of learning outcomes are being used given a lack of minimum levels of learning (MLL) being integrated in the curriculum and measured through end of year examination and primary school leaving examinations. FTI uses primary school completion (in fact last grade primary entry) as a proxy indicator for quality.

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Serious data constraints exist for cross-country monitoring of education quality; the scale of the problem is increasingly apparent. Absolute learning levels are so low in many developing countries that millions of children complete primary school without acquiring basic literacy and numeracy skills. International learning assessments point to very large gaps between developed and developing countries. These gaps are mirrored by large within-country disparities in learning achievements. Moreover, education quality problems are often exacerbated by the dilapidated physical state of schools in many countries and by severe shortages of teachers (see EQ6).

Given this very heterogeneous situation, the following approach was applied:

- A proxy for basic education skills so far is the PCR (also accepted by FTI). See EQ2 and 3 for a description of PCR in the sample countries. The shortcomings of this proxy though are obvious and hence the evaluation team will not further elaborate on this indicator.
- For literacy and numeracy enhanced (JC 51), some results from surveys were studied, and some data on primary school-leaving examinations could also be collected during the field visits.
- Some data related to improved core learning achievements (JC52) through pass rates for final examinations in maths and sciences have been examined. They are though not easily accessible and sometimes there has been doubt about their validity. If valid and available in a standardised way, enabling the comparison of time series, then these would be the only effective indicator of quality of learning yielding better results as expressed in examinations.
- Data from international surveys on literacy, numeracy and life skills were collected during the field visits. The restrictions met in interpreting these data are discussed in JC 52.

Based on the available information, trends related to literacy and possible EC contributions will be discussed.

The answer to this EQ is built on the following JCs:

- JC51: Literacy and numeracy enhanced
- JC52: Improved core learning achievements

5.1 JC51: Literacy and numeracy enhanced

Literacy rate, adult (% of people 15+)	Literacy rate, adult (% of people 15+) is the percentage of people (total, male, female) aged 15 and older who can, with understanding, both read and write a short, simple statement about their everyday life out of the whole population (total, male, female) aged 15 and older. (Data Source: Estimates from the UNESCO Institute for Statistics)
Literacy rate, youth (% aged 15-24)	Literacy rate, youth is the percentage of people aged 15 to 24 who can, with understanding, both read and write a short, simple statement about their everyday life. (Data Source: Estimates from the UNESCO Institute for Statistics)
Numeracy	Numeracy is the ability to reason with numbers and other mathematical concepts.

This JC is measured by the following indicators:

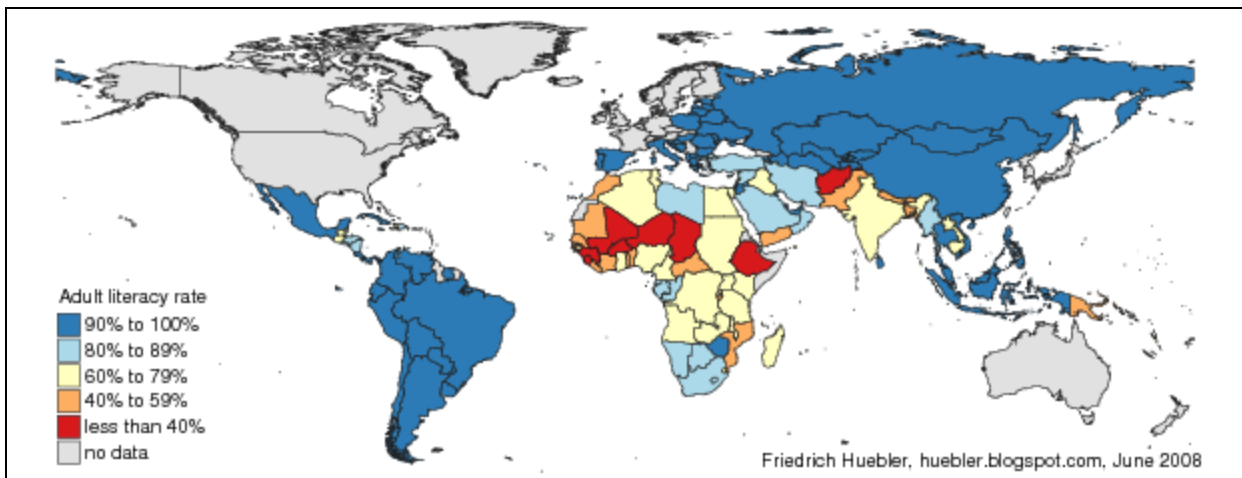
- I-511: Literacy and numeracy rates
- I-512: Results from surveys on literacy, numeracy and life skills
- I-513 Primary School – grade passing and school leaving examination results

In view of the scarcity of data, and the fact that they are linked, the two latter indicators will be assessed together under JC52.

5.1.1 I-511: Literacy and numeracy rates

The UIS Data Centre offers the adult literacy rate for 145 countries and territories. For 115 countries, data from 2007 is available. The map below displays the adult literacy rate for all countries with data.

Figure 14: Adult literacy rates by country, 2007



Source: UNESCO Institute for Statistics, Data Centre, May 2008

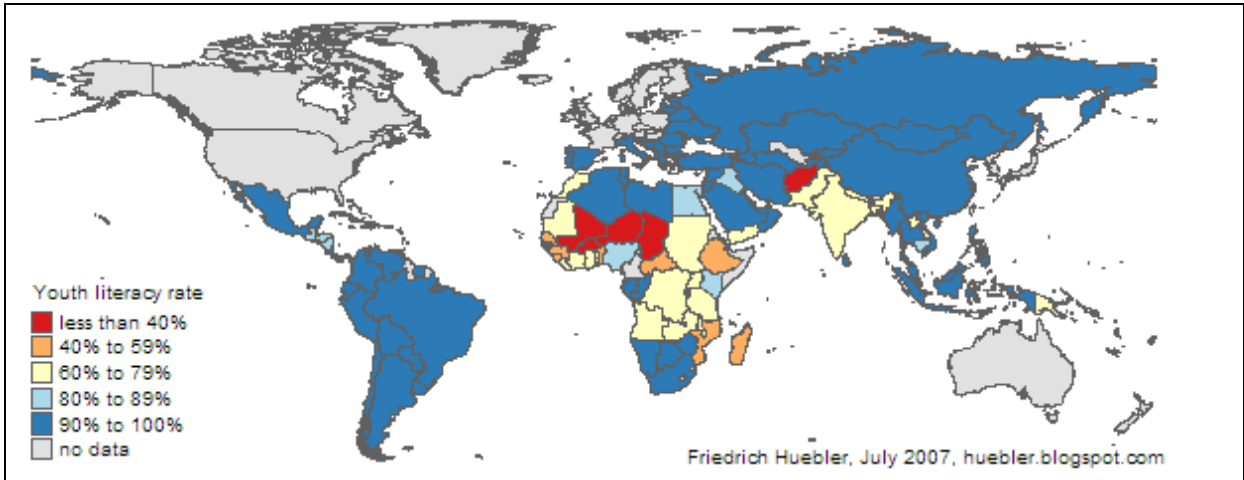
The average adult literacy rate is 81.2%. In 71 countries - including most of **Eastern Europe, East and Southeast Asia, and Latin America** – 90% or more of the adult population can read and write. However, among the desk study countries are numerous cases with very low literacy rates, most of them in **Sub-Saharan Africa and Asia**, e.g. literacy rates below 40% can be found for: *Burkina Faso* (28.7%), *Niger* (30.4%), while *Mozambique* (44.4%), *Bangladesh* (53.5%) and *Pakistan* (54.9%) have literacy rates between 40 and 60%. Finally, the world's two largest countries in terms of population have very different literacy rates. In *China*, the adult literacy rate is 93.3%. In *India*, only 66% of the adult population can read and write.

Regarding youth literacy, UNESCO provides national data for 133 countries. The youth literacy rate is usually higher than the adult literacy rate, especially in developing countries, where the education system has expanded over the past decades. In a country where school attendance rates increase over time, persons born in a later year are more likely to attend school and to become literate.

The figure below displays the youth literacy rate for each country with data. The picture is comparable to that of adult literacy: out of 133 countries with data, 87 report youth literacy rates between 90 and

100%. 10 more countries have literacy rates between 80 and 90%. In five countries, less than 40% of the population between 15 and 24 years are literate, among which *Burkina Faso* (33.0%), and *Niger* (36.5%). In eight countries, the youth literacy rate is between 40 and 60%, among which is *Mozambique* (47.0%), while in the remaining 23 countries, youth literacy is between 60 and 80%.

Figure 15: Youth literacy rates by country, 2007

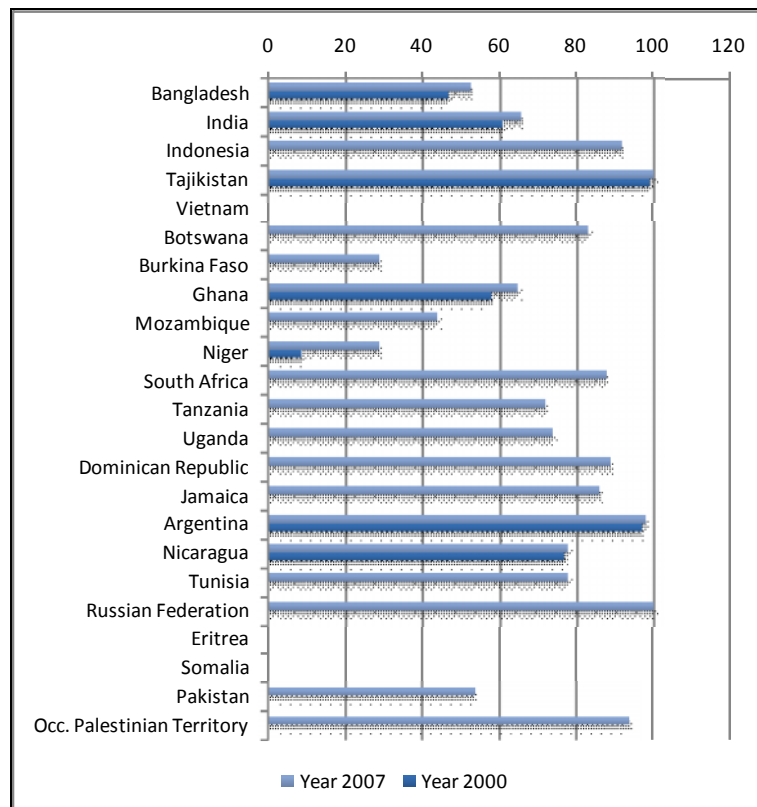


Source: UNESCO Institute for Statistics, Data Centre, May 2008

Given that direct EC support to education focused on basic education, one would expect that literacy rates among youth at least (not necessarily those among adults) to have improved during the period under evaluation. The same effect should happen in countries with GBS support related to education, as often release triggers for the flexible tranches relate to net primary school enrolment rates, usually disaggregated by gender, or the primary school completion rate is a typical indicator. Other (less frequent) indicators are primary school dropout rates and transition rates from primary school to secondary school, while indicators that relate to the quality of education are less frequent.

The following trends can be derived from the figures above and below that have rather limited data sets:

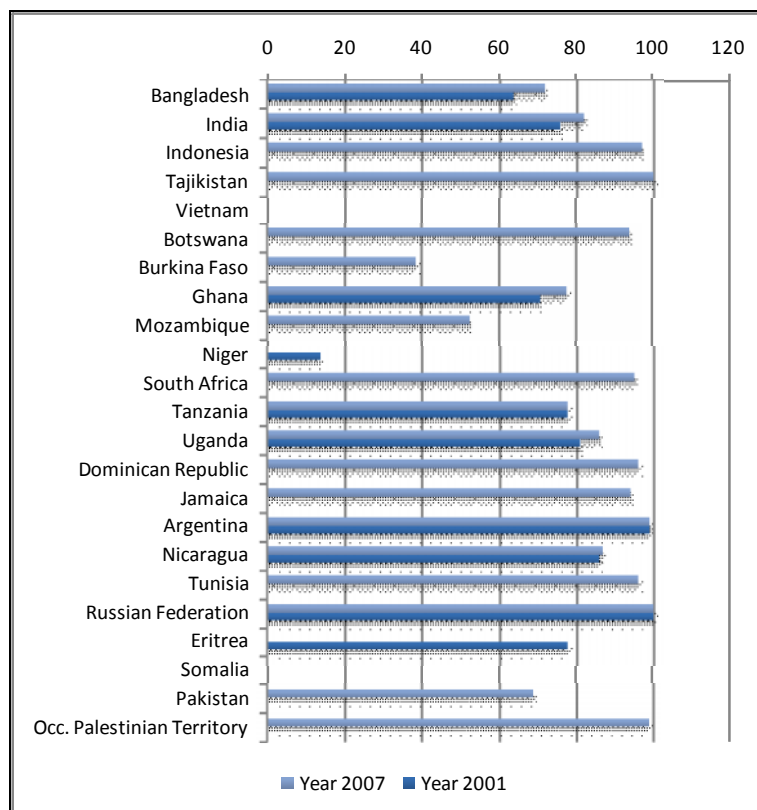
Figure 16: Literacy rates, adults (% of 15+), 2007, sample countries



Source: Based on World Bank Edstats

The pattern of adult illiteracy as shown above has not significantly changed between 2001 and 2007: adult illiterates remain especially concentrated in LDCs in **Sub-Saharan Africa** and **South Asia** with significantly more adult females being illiterate. There is a correlation between low adult literacy and low enrolment in that in those countries where enrolment is still far from meeting MDG 2 adult literacy remains high. Less than 50% of adult females in 2007 were literate in *Niger*, *Burkina Faso* and *Mozambique* in Sub-Saharan Africa and more than 40% in *Pakistan* and *Bangladesh* in South Asia.

Figure 17: Literacy rates, youth (% aged 15-24), sample countries



Source: Based on World Bank Edstats

Even though some progress has been made in reducing illiteracy among youth, still a similar pattern occurs with relatively large numbers of youth still illiterate in **Sub-Saharan Africa** (28%) and **South Asia** (21%). Also here, females are overrepresented in the group illiterate youth. Data are extremely scattered and sometimes scarce but *Niger* and *Burkina Faso* can be referred to as an illiterate society both for youth and adults. On the more positive side are countries ranking rather high on the HDI, such as *Botswana*, which has a constant literacy rate of 94%, but where regional disparities are considerable, as the CSE indicated. The same applies to *Namibia's* youth (15-24 year olds), where the literacy rate (93%), is largely on a par with other countries in the region, including *South Africa* (95.4%). Illiteracy among adults and youth match, with a strong correlation between the number of non-enrolled school-aged children and the illiteracy rate among young people. This is the case e.g. in *Bangladesh* and *Pakistan* and to a lesser degree in *India*. It should be noted that, when partner countries through EC supported programmes are given priority and allocate resources for out-reach programmes for out-of-school children, this will have an effect on the statistics on illiterate youth only in the medium to long-term. It is often stated that investing in female literacy, especially of mothers, yields a good rate of return in terms of enrolment and retention of their children.

It should be stressed though that adult literacy, and in some countries youth literacy, falls outside the mandate of the Ministry of Education. Basic and functional literacy programmes, often region and mother tongue specific, are in many cases community-based and implemented by NGOs, apart from nation-wide literacy programmes in which governments have often invested through loans provided by development banks.²¹⁰ The EC is not giving emphasis to literacy acquisition for adults in its response strategy. The focus is on out-of-school illiterates and on early school leavers prone to relapse into illiteracy and especially on low quality education systems generating graduate primary school leavers

²¹⁰ E.g. *Ghana* Basic and Functional Literacy Programme in fifteen languages, managed by Literacy House under the Ministry of Education, with World Bank and Norad; *Bangladesh* literacy programmes for rural poor in poorest districts sometimes combined with co-operative development with ADB assistance.

with poor literacy and numeracy skills. It is here that the EC is providing support through a wide range of modalities, using both government and non-state actors as channels of support to programmes bringing out-of-school children into school. Successes can be noted in *India and Tanzania*.

Basic literacy acquisition of youth with EC support is mainly through projects implemented by NGOs. The key emphasis, though, is on enrolling out-of-school youth and improving quality and hence on supporting literacy acquisition and retention through schooling. If, among education indicators for flexible tranche release there are literacy-related indicators, GBS may support literacy acquisition if funds disbursed are used for literacy acquisition programmes.

At a more **detailed level**, the following findings aim at underpinning the summary made regarding literacy and numeracy, as measured through various means.

Asia

In *Asia*, considerable increases in literacy can be observed, some of which can be linked to EC support. In *Bangladesh*, EC support through PEDP II focuses on improving the quality of education and retention and hence literacy and numeracy acquisition through BRAC and NGOs reaching out to out-of-school youth. In *India*, this has been materialising through DPEP and Sarva Shiksha Aabyan enhancing primary school completion and as a side effect contributing to decreased illiteracy levels in former DPEP districts.

- For *Bangladesh*, the EC contribution to enhancing the acquisition of literacy skills can be summarised as follows: the EC focus of giving support to non-formal primary was valid, as literacy rates were the highest among those in non-formal primary schools, as assessed in the so-called CAMPE report. Moreover, EC funded programmes were a part of that range of support needed to promote literacy and acquisition, at a time when there was a vacuum with regard to non-formal education in the public sector. Finally, when looking at EC support in terms of the '3Rs' (reading, writing & arithmetic) and with a view towards wider pro-poor outcomes, EC support, although not quantifiable, has, according to the assessment made in the Country Note, assisted Bangladesh in its PRSP aims to achieve improved quality of life and lifelong learning. The following box provides further details in these regards.

Box 31: *Bangladesh: EC support contributes to enhancing literacy and numeracy*

The Government of Bangladesh has taken a rights-based approach to literacy and lifelong learning with emphasis on the unreached illiterate and disadvantaged who are to be provided with access to quality learning skills. A survey report on the literacy status of Bangladesh (Literacy in Bangladesh: CAMPE 2003) indicated that the literacy rate of the population 11 years and above (as opposed to 15 years and above) was 41.4% but that 21% were literate only at the initial level. Furthermore, there was a gender difference favouring boys and there was a geographical difference favouring urban areas (63.6%) over rural areas (37.2%). The adult literacy rate increased from 37% in 1990 to 54% in 2006. The proportion of pupils starting Grade 1 who reach Grade 5 was 43% in 1990 (base year) and had risen to 53% in 2005 (Bangladesh MDG Progress Report 2007). This figure, however, is conservative when compared with the World Bank's 2000 estimate of 66% (World Bank, 2004). It is also noted that the Social Sector Performance Survey (2006) reports that "*Many teachers do not appear to have a firm grasp of basic literacy, numeracy and non-verbal reasoning skills and are therefore unlikely to be able to effectively convey these to their students. There are also clear weaknesses in the overall management of primary schooling, both in schools and at higher levels*" (p.21).

EC support with regard to enhancing the acquisition of literacy skills is briefly assessed in terms of the following:

Access to education: EC support to primary non-formal education programmes (CHT; NFPE III; Dhaka Ahsania Mission; BEP and SHIKHON) as well as through PEDP-2 has undoubtedly contributed to enhancing the acquisition of literacy and numeracy skills through non-formal channels. It has also provided support to hard-to-reach communities such as the CHT programme which developed literacy courses in local languages and utilised teachers from among the various ethnic groups.

Quality of education: the primary education system (formal and non-formal) is the main means through which children acquire literacy. However, it is also noted that learners who have acquired only 'initial' level literacy need opportunities for post-literacy learning to make their literacy self-sustaining for a wide range of learning. This was especially true of girls (13.3%) who lagged behind boys (28.1%) with regard to 'advanced literacy' as well as with numeracy. Thus, sustainability of literacy skills is dependent upon retention rates in schools and is associated with those who make the transition from the primary to secondary school cycle. Hence, literacy acquisition must also be associated with the quality of the education provided in schools, rather than having a pre-occupation with access.

Management of literacy programmes: EC education support through projects implemented by NGOs must be seen as part of a wider literacy programme²¹¹. The management of literacy and non-formal education needs to be

²¹¹ The literacy Programme under the NPA-II consists of (i) non-formal basic education for post-primary 11-14 years age-group, (ii) out-of-school adolescent and youth of 12-19 years age-group, (iii) young adults of 15-24

based on government-civil society partnerships. The CAMPE report noted that “*It is neither necessary nor very efficient to have all or most programmes managed by an NFE agency in the public sector such as DNFE (Directorate of Non-Formal Education). Many activities can be carried out by private sector, NGOs, and community organisations with appropriate financial incentives and technical support to the government and other sources*”.

EC funded programmes were a part of that range of support needed to promote literacy and acquisition and at a time when there was a vacuum with regard to non-formal education in the public sector. The government’s NFE literacy programme had been generally regarded as ineffective, which led to the discontinuation of the government’s basic literacy programme and the closure of the Directorate of Non-Formal Education in 2003.

Finally, EC support in terms of the ‘3Rs’ (reading, writing & arithmetic) must be viewed in terms of wider pro-poor outcomes which are difficult to measure quantitatively. The acquisition of literacy and numeracy impacts upon the personal development of individuals but it also contributes to the development of society at large. It promotes occupational development for improving earning potential; it fosters improved education as ‘literate parents’ encourage and are able to help with their children’s study; and it enhances the quality of life as persons are able to access information on health, sanitation, child welfare, etc. In that sense, EC support has assisted Bangladesh in its PRSP aims to achieve improved quality of life and lifelong learning.

Source: Country Note Bangladesh

- *India* has made some progress as well between 2001 (76%) and 2007 (82%). Among the CSEs analysed, only the India CSE dealt with the issue of literacy, specifying that EC support to education shows some impacts. In that context, the CSE noted that EC support to DPEP led to a drop in illiteracy levels of 7% in DPEP districts, whereas non-DPEP districts saw a drop of almost 4%. More impressive is the change in levels of completed primary education, which increased by more than 6% in DPEP districts, compared with only marginal improvement in non-DPEP districts. The CSE considers these as major achievements of DPEP.

However, it also showed that discrepancies arose in terms of regional differences, gender variations, as well as differences for marginalised groups. The more populous the state (e.g. Bihar, Madhya Pradesh, Uttar Pradesh and West Bengal), the lower the level of human development and the higher the level of gender and caste discrimination, the more this becomes noticeable in education outcomes such as literacy. In particular, the populous Northern states of Bihar, Madhya Pradesh, Uttar Pradesh and West Bengal are mired in low human development, poor quality of public governance, entrenched gender and caste discrimination, and significantly lower growth rates than the rest of India. For example the female literacy in Kerala (a Southern state) – a state which has placed education high on its priority list for a long time – lay at around 88%, whilst the figure for Bihar was 34% in 2001²¹².

Sub-Saharan Africa

In *Sub-Saharan Africa*, positive effects which may relate to EC support are noticed in terms of improved youth literacy rates (*Burkina Faso, Ghana and Uganda*). However, progress is still slow (*Tanzania* consolidation rather than progressed) and it seems that urban rural discrepancies remain. In Burkina Faso and Ghana, the literacy rate is among the indicators for the education-related flexible tranche release within the GBS. However, no insight could be obtained about the effect on disbursement in case of non-compliance with the release indicator and whether disbursed funds are actually used for literacy acquisition. On the other hand, in Burkina Faso, literacy rates are not complying to set targets and it is hoped that urban rural discrepancies in literacy acquisition will decrease due to EC GBS fostering access to primary education in rural zones. In *South Africa*, the EC supported basic literacy through its Technical Support to the Department of Education (TSP-DoE, € 17 million, 1997 to 2004 to Adult Basic Education and Training - ABET) even though this initiative suffered from a lack of institutionalisation.

- In *Burkina Faso*, the literacy rate of adults over 15 years old increased from 18.4% in 1997 to 28.7% in 2007. In the framework of the education component of the ABRP 2005-2008, funded under the 9th EDF, significant progress has been achieved regarding literacy. However, the literacy rate of only 28.7% in 2007 is far from the objective set of 39.1% in 2008. Even if a large gap between urban and rural areas remains, the literacy rate in rural zones has doubled during the last decade (from 10.8% to 19.5%) and according to the ECA report, it is predictable that the gap between the rural and urban areas will decrease, thanks to widespread access to primary education in rural areas. Moreover, the auditors noted the importance of analysing the qualitative aspects of literacy. According to the RESEN in Burkina Faso, the literacy probability

years age-group, (iv) adults of 25-45 years age-group, and (v) post-literacy and continuing education. The government’s literacy programme also includes disadvantaged groups such as primary school drop-outs, never enrolled adolescent and young adult, children living in remote locations, disabled, ethnic minorities, population suffering from social exclusion, and general illiterate adults.

²¹² National Literacy Mission, 2001 figures

for an adult between 22 and 44 years old who had been to school for 6 years was only 45% in 2007, whereas the average was 68% in Africa. The ECA report concludes that this indicates the lack of quality of educational learning. EC support helped but literacy rates have remained low.

- *Ghana*, the recipient of a considerable degree of budget support funding, the entire period covered by the MDDBS had a focus on enrolment and expanding education services. At the same time, literacy among youths and adults has also increased to a certain extent. However, not yet to a sufficient degree, as the Consultative Group meeting of 2008 rates the adult literacy rate still among the overarching indicators to be monitored under GPRS II, with a baseline of 53.5% in 2004/05 and targets of 63.3% in 2007, and 68.2% in 2009. EC support triggered by literacy related indicators has mattered but not to the degree envisaged by the indicators.
- *Tanzania* shows rather identical figures for literacy in 2001 and 2007 indicating that out-of-school youths and pockets of under-enrolment are hard to address. Universal literacy constitutes one of the objectives defined by the government. The Tanzania Development Vision 2025²¹³ targets a high quality livelihood for all Tanzanians through the eradication of illiteracy among others. Universal literacy among women and men is also one of the operational targets of the National Strategy for Growth and Reduction of Poverty (NSGRP)/ MKUKUTA.
- *Uganda* has seen a considerable increase in youth literacy from 81 to 86% between 2002 and 2007 and this may be based on the ESSP giving high priority to improving the quality and relevance of primary education through pupils mastering basic literacy, numeracy and basic life skills. EC support may have played a role through supporting the quality of education and out-reach to out-of-school youths.
- For *South Africa*, according to the Country Note, the most direct attempt to increase literacy rates has been the support to ABET under the TSP-DoE (€ 17 million, 1997 to 2004)²¹⁴. It was focussed on supporting the South African National Literacy Initiative (SANLI). However, SANLI was poorly anchored institutionally and relied heavily on donor funding and volunteers, both of which undermined sustainability and ownership of the initiative. This combined with high turnover of DoE staff involved in ABET generally, and SANLI in particular, was detrimental to successful implementation and long-term sustainability of the SANLI component of the project.²¹⁵

5.2 JC52: Improved core learning achievements

According to the “Commission Staff Working Document – More and Better Education in Developing Countries” the quality of schooling is found to account for 38-42% of the income difference between the richest and poorest quintiles of countries. Moreover, the Working Document clearly acknowledges the need for improved core learning achievements.

Even though much progress has been made in the access domain, with a shift being made towards quality and learning achievements, this has only recently been matched by setting quality and learning outcomes related performance indicators as a basis for tranche release in EC supported SBS and GBS. Still increasingly, developing countries, especially middle-income ones, are participating in international learning assessments at lower and upper secondary level as a means of assessing whether their education system is catering for graduates capable of meeting national human resource needs.

The examples of results of learning achievement in EC supported programmes are in general not encouraging. It should be stressed that it is virtually impossible to link EC support within interventions directly to progress made in literacy, numeracy and life skill acquisition. Results of learner assessment are a key indicator of quality of education and hence EC support to quality improvement can be assessed in terms of its effectiveness through improved learning and retention of pupils (see EQ 4).

The EFA GMR 2010 states, that education systems capable of retaining a larger proportion of their pupils to grade 5 are performing better, on average, in international tests. The survival rate to grade 5 seems to be associated even more strongly with learning outcomes in lower secondary school. More-

²¹³ According to information provided on the home-page of the Ministry of Education and Vocational Training.

²¹⁴ This was confirmed by the EUD survey where the respondents from South Africa indicated that none of the projects supported during the period under evaluation focused on learner performance in literacy and numeracy, but emphasised that performance continued to deteriorate during the period, as evidenced by the results of national assessments as well as regional and international comparative assessments.

²¹⁵ EC: Final Evaluation of TSP-DoE. 2004. It should be noted that prior to SANLI, the ABET component did undertake a relatively successful if limited pilot called the Rivoningo Project. However this pilot paled in comparison with the nationwide ambitions and intended reach of SANLI.

over, the report also assessed the relationship between learning outcomes and two other proxies of quality. Learning outcomes are positively associated with the extent to which the teaching force is trained. In *Latin America* and *Sub-Saharan Africa*, countries with a higher proportion of trained teachers also show better student scores. In both cases, the proportion of variation in student scores explained by teacher training is lower than that explained by survival rates to grade 5.

This evaluation has to rely on existing data on basic education skills, literacy and numeracy as a basis for its analysis. **Availability of coherent and complete sets of data including results of international assessment programmes has remained an obstacle to fully answering this EQ, and to a satisfactory level of detail.** While numerous regional and sub-regional efforts exist to capture learning achievements, they are difficult to compare, as they relate to different years, and more importantly, a considerable number are rather outdated²¹⁶, thus not allowing to draw substantial conclusions on trends in learning outcomes between 2000 and 2007 and possibly the influence of EC support on these trends. Still, the results captured, even though somewhat snapshot in character, provide insights into the performance of education systems and hence the degree to which EC support contributed to these results.

Moreover, it should be noted that, overall, most assessments made of EC support so far remain relatively silent in relation to **core learning achievements**, be it CSEs or the ECA audits. So with regard to all indicators, information has remained somewhat scarce despite efforts made by the evaluation team during all phases, also during the field phase.

As indicated above, two indicators from JC51 can rather be linked to this JC, so that it comprises the following indicators that are dealt with together below in one single section, with the following sequence:

- I-512: Results from surveys on literacy, numeracy and life skills
- I-522: Results from surveys on mathematics and science
- I-513: Primary School – grade passing and school leaving examination results
- I-521: Pass rate for final examinations in mathematics, sciences and in the main language at Lower/Upper Secondary at School Leaving Examination level

The measurement of educational quality – in terms of measuring cognitive, creative and emotional skills – is rarely done. What is generally measured is enrolment and attainment, although more countries are participating in regional assessment programmes such as PASEC (West Africa) or (SACMEQ) (Southern Africa) or joining international assessment programmes such as TIMSS, Programme for International Student Assessment (PISA) or PIRLS, which allow them to judge their progress in certain subject areas against other countries. In many developing countries, less than one in ten graduates of lower secondary education is able to pass a low benchmark of basic literacy in maths and science (defined as a score of 400 or more in TIMSS testing)²¹⁷.

The evaluation team has examined the scope and coverage of these surveys as well as the time series available. It proved that most sample countries were covered; but that results were sometimes outdated or not published. The EC has so far not launched quality-related specialist missions and hence the evaluation team could not avail of available analysis of assessments of learning achievements. It would be time consuming and not relevant to analyse in detail discrete results of these assessments. Still selectively some results will be presented.

The picture is as follows:

- Some 120 countries have participated in different surveys measuring learning achievements.
- During the 1990s, about 36 developing countries participated in international assessments. The figure rose to 77 in 2007.²¹⁸

²¹⁶ This applies to the TIMSS -Trends in International Mathematics and Science Study; PIRLS; OECD PISA-Programme for International Student Assessment; SAQMEQ - Southern and Eastern Africa Consortium for Monitoring Educational Quality; PASEC - Programme d'Analyse des Systèmes Educatifs of the Conference of Ministers of Education of French-Speaking Countries (CONFEMEN), LLECE - Latin American Laboratory for Assessment; LLECE-Latin American Observatory for Assessment of the Quality of Education; MLA and (EALAS).

²¹⁷ See Hanusheck, E.A., Woessmann, L. (2008): Education and Economic Growth. Chapter prepared for the International Encyclopedia of Education, 3rd Edition.

²¹⁸ A synopsis of international learning assessments can be found in: Altinok, N. (2008): An international perspective on trends in the quality of learning achievement (1965-2007). Background paper prepared for the Education for All Global Monitoring Report 2009. Overcoming Inequality: why governance matters. 2009/ED/EFA/MRT/PI/01.

Annex 25 gives an overview on the different countries among the sample countries that participated in the surveys. It is not possible to make relevant and coherent comparisons for these countries from this sketchy and partly non-comparable data. **Several sample countries have participated in international and regional learning assessments** and the results of these will be referred to below.

In sum, scores on learning assessment tests and final examinations (described separately) are the only valid quality related outcome indicators. They are, however, very rarely applied as a basis for in-depth monitoring but increasingly as indicators for flexible tranche release. It can be stated that given the quality crisis, EC support to quality improvements (see EQ 4) so far has not yielded sufficient results in terms of improved learning. Based on available data from the field and the desk study, complemented by insights obtained from the ECA audit, the mastery level in most countries is alarmingly low, revealing a serious quality crisis with no significant improvements found between 2000 and 2007. Several countries, including *Niger*, *Burkina Faso*, *Namibia*, *South Africa* and the *Dominican Republic*, show low achievement scores, which have rather tended to deteriorate than to improve. In Burkina Faso, PASEC studies show that the proportion of pupils that achieve at least 40% of good answers to a set of questions (percentage considered as a minimal threshold of knowledge) was 60% in 1997, whereas it was only 34.8% in 2007. The ECA report concludes that, even if a direct comparison cannot be done, the quality of learning appears to have decreased while the number of teachable children has increased. In Niger, the surveys indicate that the level of pupil's performance is very low by international (and regional) standards. In *Namibia*, many students are leaving school without the minimum educational skills. In the TIMSS mathematics assessment 90% or more of students from South Africa and Ghana did not reach the low international benchmark. In SERCE²¹⁹ grade 3 assessment, the Dominican Republic has been classified at the lowest level (average scoring in Mathematics is lower than the average). Its average scoring is lower than that of all other countries studied. Students from the Dominican Republic score below level one, meaning that they have not been able to complete the most simple tasks in Mathematics. For *Botswana*, low scores in TIMSS on mathematics and science but still better than in South Africa and *Ghana*. In *Tunisia*, the poor results of grade 4 pupils in TIMSS 2007 may indicate a decline in Tunisia's position after the introduction of the reform. *Indonesia* saw a significant rise in reading performance in OECD-PISA 2006 compared to PISA 2000 but, from a comparative point of view, is still ranking low.

The picture related to the quality of education as measured by international and regional learning assessment tests is gloomy, in countries benefiting from substantial EC support to improve their education system performance in the quality domain.

The following insights were obtained from the desk and field study countries participating in **international learning assessments**, where possible related to EC support:

In *Asia*, *Indonesia* saw a significant rise in reading performance in OECD-PISA 2006 compared to PISA 2000, with an average score of 393, ranking 51st among the 57 countries. Compared to other countries under evaluation, *Tunisia* scored lower (ranked 53rd) but the *Russian Federation* (ranked 40th) higher.²²⁰

In **Sub-Saharan Africa** three countries, *Botswana*, *Ghana* and *South Africa* participated, among a total of 46 countries, in the TIMSS 2003 study on achievements in mathematics and science abilities at Grade 8, junior secondary level. In mathematics, all three countries scored well below the international average, while 90% or more of students from South Africa and Ghana did not reach the low international benchmark. Botswana scored considerably better but still remained far from the international average.²²¹

- In *Botswana*, test results and reports on TIMSS confirm the low achievements of Botswanan students compared to other countries, in which Botswana was rated 42nd for mathematics and 43rd for science out of 46 countries.
- In *Burkina Faso*, the PASEC study published in 2009 on the educational learning in 2007 has analysed the real learning level of pupils in 5th year of primary school and their knowledge in French and mathematics. The objective of the test was to obtain the proportion of pupils that achieve at least 40% of good answers to a set of questions (percentage considered as a minimal threshold of knowledge). In a previous PASEC study from 1997, this proportion was

²¹⁹ LLECE- Segundo Estudio Regional Comparativo y Explicativo (SERCE) 2006 - Second Comparative and Explanatory Study on student's performance in Mathematics, Spanish and Sciences

²²⁰ PISA Programme for International student assessment 2006, OECD, 2007

²²¹ World Bank (2008): World Curricula, Examinations and Assessment in Secondary Education in sub-Saharan Africa. Bank Working paper no. 128.

60%, whereas it was only 34.8% in 2007. The ECA report concludes that, even if a direct comparison cannot be done, the quality of learning appears to have decreased while the number of teachable children has increased.

- In *Namibia*, the SACMEQ studies²²² have shown generally the low competence of learners and teachers, especially in mathematics and English, with many students leaving school without the minimum educational skills.
- *Niger* has participated in two international surveys. They indicate that the level of pupils' performance is very low by international standards, but cannot be used for evaluating the evolution of the scores. The following box and table highlight further details of these assessments.

The Country Note concludes that, with regard to the impact of GBS on quality, it is difficult to detect obvious links, as EC GBS was mostly justified by the necessity to support the salaries of new contractual teachers. As performances of contractual teachers tend to be lower than those of former civil servants, it is quite unlikely that GBS has contributed to quality improvements. It is accurate to say that during the period under investigation, the PCR has improved, but this improvement is not associated with an improvement in pupils' cognitive competencies.

Moreover, the SOUTEBA project has promoted innovations aimed at improving quality, with mixed results. An evaluation carried out in 2008²²³ showed that although reading competencies at the end of the first grade of bilingual schools are better than in regular schools using French from the first grade, the problem of the transition to French has not yet been solved. French becomes the language of instruction from grade 4, and competencies in French are far below expected levels. The study concludes that the general introduction of bilingual schools should be delayed as long as pupils do not perform better during the transition to French.

Box 32: Niger: Access to education increased but pupils' cognitive competencies on the decline

Niger has one of the lowest literacy rates of the adult population in the world. Only 13.6% of the population above the age of 15 were literate in the year 2000. The rate increased to 15.3% in 2002, 17.6% in 2005, and 28.2% in 2009. However, there is a huge difference between genders, with a female rate of 15.1% compared with a male ratio of 42.9%.

The quality of education, as measured by pupils' competencies, is on the decline. Innovations, namely, support to bilingualism and support to extracurricular activities, have been applied in too few schools to have an impact on the average scores of pupils. The large majority of pupils have not been exposed to innovations. With regard to the impact of GBS on quality, it is difficult to detect obvious links, as EC GBS was mostly justified by the necessity to support the salaries of new contractual teachers. As performances of contractual teachers tend to be lower than those of former civil servants, it is quite unlikely that GBS has contributed to quality improvements. It is accurate to say that during the period under investigation, the PCR has improved, but this improvement is not associated with an improvement in pupils' cognitive competencies.

Niger has participated in two international surveys measuring pupils' cognitive competencies – PASEC (in 2002), which has been applied to francophone West African countries, and Monitoring Learning Achievement (MLA) (MLA1 for grade 4 pupils in 2000 and MLA2 for grade 8 pupils in 2003), a UNESCO initiative that has been carried out in a significant number of Sub-Saharan African countries, not limited to francophone countries. Both are "one-shot" exercises, and both provide similar results for Nigerien pupils in mathematics and French. From these two surveys, one can appreciate the relative position of Niger with respect to similar countries, but not the evolution of pupil performance over time.

Unlike the PISA or the TIMSS surveys, PASEC is not standardised for presenting average scores based on the average of all participating countries. In PISA and TIMSS, the scores are adjusted in such a way that the average score of a country can be interpreted as higher or lower than the average of all participating countries, which implies that some countries have a score above the average of the whole set of countries, and some below. In the following table, all countries that participated in PASEC are below the average, because the results have not been adjusted. The best performing is Cameroon, followed by Côte d'Ivoire, Gabon, and Burkina Faso. Niger is penultimate, and only Mauritanian pupils perform at a lower level than those of Niger.

These surveys indicate that the level of pupil performance in Niger is very low by international standards, but cannot be used for evaluating the evolution of the scores.

This can be derived from a survey called EDS (Enquête démographique et de santé), in which the reading ability of participants (a representative sample of adults in participating countries) is tested. The following table shows reading scores by categories of age (2006).

²²² SACMEQ stands for Southern and Eastern Africa Consortium for Monitoring Education Quality. It is a network of fifteen ministries with a coordination centre in Harare providing monitoring and evaluation of the quality of their basic education systems.

²²³ République du Niger (2008): Rapport d'évaluation des écoles soutenues par SOUTEBA, Mai 2008

Country	Age category		
	15-24	25-34	35-44
Niger	26.1	36.8	41.2
Regional average	59.0	58.9	62.3

Source: RESEN (Rapport d'Etat sur le Système Educatif National, 2009 draft version World Bank)

In the case of Niger, it is therefore possible to compare the reading capacity of adults of different ages who attended school for six years. When comparing Niger with the regional average, a number of observations can be made. In the region as a whole, the average score is 59 for the age category 15-24, 58.9 for the age category 25-34, and 62.3 for the age category 35-44. The differences between age groups are minor, but the situation in Niger is quite different. The scores are much lower: less than half the regional average for the youngest age group, and 50% lower for the oldest age group. But the most interesting conclusion is the fact that the younger the participants, the lower the scores. This result can be interpreted as a declining trend in the level of reading competencies of primary school leavers in the country.

The conclusions to draw from the quality of education are quite pessimistic: the scores for Niger are among the lowest in international comparisons, and they are still declining.

As stated above, GBS has not been focusing on quality inputs, but on quantitative development of primary education. The SOUTEBA project has promoted innovations aimed at improving quality, with mixed results. An evaluation carried out in 2008²²⁴ showed that although reading competencies at the end of the first grade of bilingual schools are better than in regular schools using French from the first grade, the problem of the transition to French has not yet been solved. French becomes the language of instruction from grade 4, and competencies in French are far below expected levels. The study concludes that the general introduction of bilingual schools should be delayed as long as pupils do not perform better during the transition to French.

Source: Country Note Niger

Table 30: Average score in mathematics and French in the PASEC surveys (Different years between 2001 and 2005)

Country	Average score in Maths/French (max: 100)	Country	Average score in Maths/French (max: 100)
Cameroon	46.1	Senegal	36.0
Côte d'Ivoire	46.0	Mali	33.9
Gabon	45.8	Chad	30.9
Burkina Faso	45.6	Benin	30.4
Madagascar	44.7	Niger (2002)	25.4
Togo	43.8	Mauritania	19.7
Guinea	41.9		
Average score	37.7		

Sources: PASEC and RESEN (Rapport d'Etat sur le Système Educatif National, 2010 draft version World Bank)

- For *South Africa*, the key international measurements such as SACMEQ, TIMSS and PIRLS combined with internal assessments, in particular the systemic evaluations organised annually by the DoE, show limited progress over the evaluation period. This is clearly very disappointing, given the extremely low initial scores of the schools in poorer areas, which constitute the majority of all schools. Literacy levels have been benchmarked internationally by the PIRLS in 2006, with South Africa coming at the bottom of the 40 countries participating, with OECD characterising literacy skills as 'extremely disappointing, with the majority of learners at the age of 12 not having mastered the basic learning skills'.²²⁵ Numeracy scores are even worse, with only half of Grade 6 learners able to master a simple two step addition or subtraction, and only 20% at the level required for Grade 6 mathematics.²²⁶ The racial divide is perhaps most evident in mathematics, with extremely poor results in formerly blacks-only schools, due to a legacy of complete neglect of mathematics in these schools. TIMSS scores for 1995, 1997 and 2003 show a consistent low level of mathematics achievements with no significant improvement over time.

According to the Country Note, the EC has attempted to address these issues mostly indirectly by e.g. supporting the ECD pilot and the ECD audit (under TSP-DoE). Ever since this pi-

²²⁴ République du Niger (2008): Rapport d'évaluation des écoles soutenues par SOUTEBA, Mai 2008

²²⁵ OECD (2008): South Africa – Review of National Policies for Education, Paris 2008.

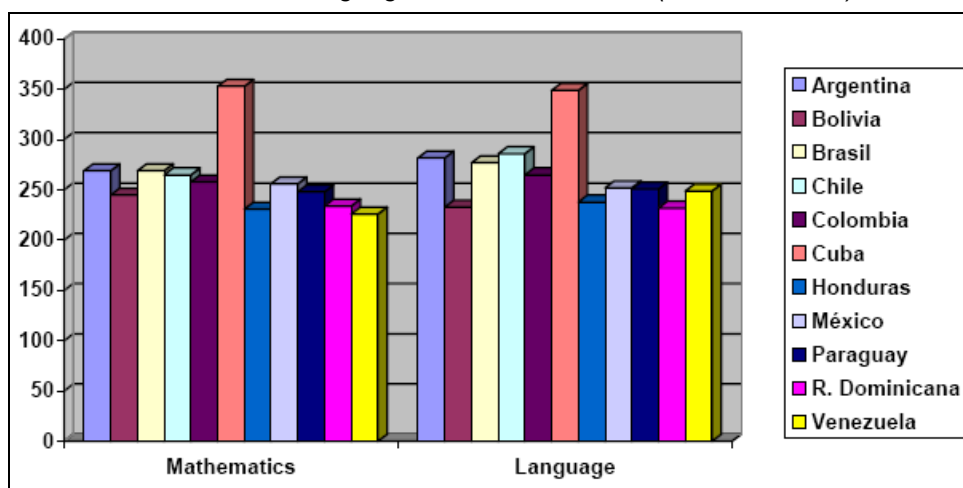
²²⁶ The Southern and Eastern Africa Consortium for Monitoring Educational Quality (SACMEQ) report on South Africa 2006

lot and audit, education authorities have focussed on rolling out Grade R nationwide, with the EC now providing support under sector budget support to education.

Caribbean and Latin America

The *Dominican Republic* and *Argentina* participated in the Latin American Laboratory for Assessment of the Quality of Education (LLECE) in 2006, under the coordination of the Regional Office of Education of UNESCO Latin America and the Caribbean (UNESCO Santiago) with quite disappointing results. The test examined the skills of third and sixth-grade students in 16 Latin American countries, including Argentina, Costa Rica, Chile, Uruguay, Panama, Peru, Cuba and the Dominican Republic.

Figure 3: *International Comparative Study on learning outcomes of students from Latin American countries in Language, Math, and Science (UNESCO 2008)*



Source: UNESCO, 2010

The results are distressing: less than 30 % of the region's third-grade students scored at the top two levels in reading and maths; more than 30 % scored at level one or below in reading: either they cannot read, or they can read only at the most rudimentary level. Nearly half scored that low in maths. It means that most of Latin America is doing a poor job of educating its children. However, Cuba scored way above the rest of Latin America, while the Dominican Republic scored way below. In third-grade reading, for example, nearly half of Cuban students scored at the highest level, compared with 1% in the Dominican Republic. This is due to historical factors: Education in Cuba has been highly ranked for many decades and the Revolution did not change the priority²²⁷. For the past forty years, education has been a top priority for the Cuban government. Cuba maintains twice the amount of public spending on education as its more wealthy neighbours, at 10% of GNP. This is, for example, shown by a teacher ratio of 12 to 1, which is approximately half of the Latin American average. In addition, the youth illiteracy rate in Cuba is close to zero, a figure unmatched by all other Latin American countries.

The *Dominican Republic*, apart from participating in LLECE also participated in SERCE²²⁸, the Second Comparative and Explanatory Study on student's performance in Mathematics, Spanish and Sciences. As revealed by the Country Note, student performance in mathematics, science and Spanish is very weak (see following box). It has to be noted that PAPSE TA started in 2007 and the SERCE results are from 2006. The EC has so far focused its efforts rather at the central level, mainly through the Technical Assistance of PAPSE, to lay the basis for improving the effectiveness of the education sys-

²²⁷ See Schugurensky, Daniel (2008): History of Education. The main characteristics of the Cuban Education System are: a) quality basic education and universal access to primary and secondary school; b) comprehensive early childhood education and student health programs (established as part of the commitment to basic education); c) complementary educational programmes for those outside school-literacy, adult and non-formal education (again as part of the basic education commitment); d) mechanisms to foster community participation in management of schools; e) great attention to teachers (extensive pre- and in-service training, high status and morale, incentives, transparent system of accountability, strategies for developing a culture of professionalism, rewards for innovation); f) low-cost instructional materials of high quality; g) teacher and student initiative in adapting the national curriculum and developing instructional materials locally; g) carefully structured competition that enhances the system rather than the individual; h) explicit strategies to reach rural students and students with special needs; i) strategies to link school and work; and l) an emphasis on education for social cohesion and values education (see Gasperini, Lavinia (1999): The Cuban Educational System: Lessons and Dilemmas. Country Studies Education Reform and Management Publication. Washington, D.C.: The World Bank, LAC, Human Development Department).

²²⁸ LLECE- Segundo Estudio Regional Comparativo y Explicativo (SERCE) 2006

tem, e.g. by contributing to the formulation of the Ten Year Plan 2008-2018, by laying the basis for Curriculum Innovation and by laying the basis of the National Supervision System. However, with the PAPSE II to come, an increased focus will be on improving the quality of the teaching-learning process. In that regard, the issue of quality is also of specific relevance to the EC SBS mechanism. A negative result of the forthcoming (July-September 2010) National Trials is likely to affect the disbursement of the forthcoming tranches of SBS and the decision-making process about PAPSE II. This means that the planning of the SBS considered learning achievement as an important element of the programme, with specific indicators highlighting this importance such as; average final marks in 4th grade; average final marks in 8th grade and students per section. Thus, possible improvement can be envisaged through national efforts facilitated by EC SBS.

Box 33: *Dominican Republic: Weak student performance in Mathematics, Spanish and Sciences*

SERCE showed the following results:

MATHEMATICS

For Level 3

- The Dominican Republic has been classified at the lowest level (average scoring in mathematics is lower than the average). Its average scoring is lower than that of all other countries studied²²⁹;
- Students from the Dominican Republic score below level one, meaning that they have not been able to complete the most simple tasks in mathematics.

For level 6

- The Dominican Republic has also been classified at the lowest level (average scoring in mathematics is lower than the average), with an average scoring also lower than that of all other countries studied;
- Out of four levels including a scale of mastery (scoring upper than average, upper than average but lower than a standard deviation, equal to average without statistic difference, lower than average) only 7.1% of the students from the Dominican Republic are classified in the two upper levels.

SPANISH (READING)

For Level 3

- The Dominican Republic has again been classified at the lowest level, with the average scoring also being lower than that of all other countries studied;
- Out of the four levels above, 31.4% of the students from the Dominican Republic have been classified at the lower level, meaning that they are not able to identify specific and unique information in a short text even if they are isolated and reiterated.

For Level 6

SCIENCES

- The Dominican Republic has been classified at the lowest level. Its average scoring is lower than that of all other countries studied;
- 47.8 % of the students from the Dominican Republic have been classified as being at level 1, meaning that they are able to understand and repeat only simple and isolated information whose meaning is unique and that are positioned at the beginning or in the final part of a short text.

Concluding, the position of the country among the countries considered is very low and the study shows a very low level of mastery of the learning process by Dominican students.

Source: Country Note Dominican Republic

European Neighbourhood countries

For *Tunisia*, the Country Note concludes that, there is little data on which to assess the impact of the reform supported by the EC on pupils' performances. Data based on surveys testing Tunisian pupils before the reform indicate that Tunisia is more or less at a performance level in keeping with its level of socio-economic development – unlike most other Arab countries, which tend to be below their expected ranking. However, the poor results of grade 4 pupils in TIMSS 2007 may indicate a decline in Tunisia's position after the introduction of the reform. That may be a temporary output, as the early days of a reform cannot be expected to reach full impact; a thorough analysis in that regard might be helpful. The following box details the assessment.

Box 34: *Tunisia: Development of pupils' competencies*

Tunisia is an active participant in international surveys measuring pupils' cognitive achievement, in particular to TIMSS and to PISA (Programme International pour le Suivi des Acquisitions, an OECD project). The first participation in TIMSS in 1999 led to the conclusion that pupils' performances were too low, and required a strategy for improving the scores – hence the strategy supported by the EC SBS to primary education. In addition, it was observed that one of the reasons for the low performances of Tunisian pupils in mathematics and sciences was re-

²²⁹ The other countries considered are the following: Argentina, Uruguay, Paraguay, Chile, Brazil, Peru, Ecuador, Colombia, Panama, Nicaragua, Costa Rica, Guatemala, El Salvador, Cuba, Estado de Nueva León in Mexico)

lated to the lower share (about half the international norms) of the curricula dedicated to these disciplines in comparison to the rest of the world.

The TIMSS survey of 2007 measured pupils' competencies at the end of grade 4 in 43 countries, and at the end of grade 8 in 56 countries²³⁰. For the fourth grade, the tests were aimed at measuring proficiency in numeracy, geometric shapes and measures, in data display, mathematics (knowledge, application and reasoning), life sciences, physical sciences, earth sciences and proficiency in science knowledge, application and reasoning – namely, 12 dimensions of sciences and mathematics. For the eighth grade, there were some slight differences, with the addition of chemistry, algebra, and biology.

At the end of the fourth grade, Tunisian pupils performed poorly – about two standard deviations below the average of the 43 countries surveyed. Tunisia thus ranks among the lowest achievers, with only Qatar, Kuwait and El Salvador having lower performances.

However, the picture is quite different at the end of grade 8. Here, Tunisian pupils recorded an average score that is only one standard deviation below the average, and Tunisia is ahead of 13 countries in the study group. It must be mentioned that the countries that fared worse than Tunisia (by comparison with those in the grade 4 results), all belong to the low-performing group. As a consequence, the competition is somewhat easier. It is also worth noting that the majority of these lower-performing countries are Islamic (Bahrain, Egypt, Indonesia, Iran, Jordan, Palestinian National Authority, Qatar, Syrian Arab Republic, and Saudi Arabia).

Among Islamic countries, Tunisia is ranked second, after Lebanon. It is also interesting to note that Tunisia is ahead of Morocco at grade 8, but is behind at grade four. In all international surveys, higher scores are observed in developed countries, as opposed to intermediate level ones, and higher scores in intermediate level countries as opposed to low income ones. This correlation explains why Tunisian scores are lower when it is compared with developed countries, and better when Tunisia is compared with less developed countries. The comparison with Arab states indicates that although Tunisia is not, by far, one of the richest from an income point of view, it is one of the best in terms of education scores.

However, the 2007 TIMSS survey does not help to explain fully why the performances are so low at grade 4, and relatively good at grade 8. In 2007, all pupils of grade 4 had been exposed to the CBA reform, while grade 8 pupils had started their schooling in 1999, before the reform. If this interpretation is correct, the opinion of teachers who claim that pupils' performances are lower after the introduction of CBA could hold some truth.

The second international survey in which Tunisia was included is PISA 2006, managed by the Organisation for Economic Co-operation and Development (OECD), and initially developed for OECD members – that is, 30 developed countries. It has progressively included a significant number of emerging countries (about 27), but not yet included low income countries, with the exception of Kyrgyzstan. For Tunisia, the competition in the group is quite severe. PISA is intended to test grade 8 pupils in three domains: reading, mathematics and sciences. That means that Tunisian pupils tested in PISA in 2006 had not been exposed to the CBA reform, which was introduced later. In mathematics, Tunisia ranks 54th out of 57 (above Brazil, Qatar and Kyrgyzstan); in sciences, it also ranks 54/57, (ahead of Azerbaijan, Qatar, and Kyrgyzstan); and in reading, it ranks 53/57 (ahead of Indonesia, Qatar, Azerbaijan and Kyrgyzstan). Jordan is the only other Arab country to have participated in the survey, and ranks 48/57 in reading, 52/57 in mathematics, and 45/57 in sciences.

To conclude, there is little data on which to assess the impact of the reform supported by the EC on pupils' performances. Data based on surveys testing Tunisian pupils before the reform indicate that Tunisia is more or less at a performance level in keeping with its level of socio-economic development – unlike most other Arab countries, which tend to be below their expected ranking. However, the poor results of grade 4 pupils in TIMSS 2007 may indicate a decline in Tunisia's position after the introduction of the reform. That may be a temporary output, as the early days of a reform cannot be expected to reach full impact.

Source: *Country Note Tunisia*

Fragile/failed states

Pakistan and *Somalia* are participating in an on-going MLA but no results are accessible yet.

The evaluation team has also tried to obtain further insight into the degree to which quality improvements yield better results, by **assessing primary school grade passing and school leaving examination results and pass rates for final examinations in mathematics, sciences and in the main language at Lower/Upper Secondary at School Leaving Examination level (I-513 and I-521)**. At primary school level, it proved to be that data on pass rates are available. However, it is often difficult to obtain good insights into learning outputs as systematic standardised tests of learning achievements are often not used on a nation-wide basis. In some countries, primary school leaving examinations are standardised. In general, examination results are limited for their meaningfulness and score low on validity in terms of not being capable of capturing the mastery level of students. In *Tanzania*, pass rates are high but the University of Dar es Salaam developed their own test because the official examination results were not considered on par with quality.²³¹

²³⁰ Olson, Martin, Mullis, 2009, TIMSS 2007 Technical Report, IEA, International Study Center, Boston College

²³¹ World Bank (2008): *World Curricula, Examinations and Assessment in Secondary Education in sub-Saharan Africa*. Bank working paper no. 128.

Apart from the Primary School Leaving Examination a possible indicator would consist of **secondary education leaving examination results at the end of upper secondary**. These examinations are fully standardised and in e.g. *Namibia* and *Botswana* these examinations are still linked to the University of Cambridge Examination Board to ensure standardisation and validity. These examination results are accessible in all countries but given the small throughput through primary and secondary, the time span to be able to effectively identify possible impacts of EC support would be too long.

In sum, from the data analysed it appears that EC support can not be assessed in terms of discrete support to setting up systems for learner assessment but should cover an integral approach to quality improvement including curricula, setting up minimum levels of learning, upgrading teachers related to this and subsequently learner assessment and examinations. Such an approach is so far lacking even though in an embryonic form it could be observed in the *Pakistan Sindh SBS*.

In some of the countries analysed by the evaluation team and by the ECA audits, the pass rates for final examinations in mathematics, sciences and in the main language at Lower/Upper Secondary and at School Leaving Examination levels are part of the outcome indicators of the government and EC support, both in programmes of sector support such as in ETSIP *Namibia*, SBS in *Botswana* under EDF 10; *Tanzania*, the *Dominican Republic* and *Pakistan*. They also increasingly form part of GBS indicators for education related flexible tranche release in *Burkina Faso*, *Niger*, and *Uganda* (EDF 9). It should be stressed though that the incorporation of examination results related data as key indicators is relatively recent and in most cases starting under EDF 10. However, targets have only been met in *Namibia*.

EC support to *Botswana* and *Tanzania* includes pass rates and/or Primary School Leaving Examination results as indicators. Botswana experienced a slight drop in learning achievements in relation to the figures for 2007 compared to the two previous years for the Primary School Leaving Examination (PSLE).

This pattern of low achievements in international surveys is matched by results of Primary and Secondary School Leaving Examinations. For *Botswana*, the CSE stated that results in the 2007 Botswana General Certificate of Secondary Education (BGCSE) examinations were disappointing and that recent trends of small annual improvement have been reversed. 2007 PSLE results show a deterioration in performance at Grades A – C, compared to 2006 and 2005. In *Namibia*, the ETSIP contains two key performance indicators related to core learning achievements in mathematics, science and English. The percentages have risen between 2006 and 2008 and were in 2008 above the targets set except for English. In *Niger*, the results at national exams and the learning levels in mathematics and French are part of the internal efficiency indicators of the PPARP (2006-2008). According to the ECA report, the percentage of pupils that have reached the expected level in French and mathematics has constantly decreased since the beginning of the EC funded PPARP programme. In *South Africa*, the pass rate at senior secondary level has improved over the period, but disaggregated figures again reveal extreme disparities between learners from poor and better-resourced backgrounds, which partially still follow ethnic lines. In mathematics, fewer than 3% of candidates achieved a pass good enough to give them access to university courses such as engineering and accounting.

The improvements in *Tanzania*, on the other hand, showed that there have been consistent increases in exam pass rates for both Standards 4 and 7. Tanzania experienced great advancements on pass rates amounting to a doubling of figures: with 49% of primary school leavers passing their final year exam in 2004, more than double the rate from the year 2000. However, these good achievements could not be consolidated. It seems to be that after 2004 the examination pass rates deteriorated. Also, according to the ECA report, despite the government's efforts, the performance of secondary school students in national examinations is still modest as the low performance of pupils in sciences, mathematics and languages indicate. After an initial increase in Form 4, the examinations pass rate went down to 26.7% in 2007/2008, which is far below the target set of 70% by the MKUKUTA. In *Uganda*, EC support to PABS 5 had incorporated a mastery level performance indicator, i.e. "Percentage of pupils reaching defined level of competency in literacy and numeracy", linked to variable tranche releases. It seems that full amounts have been disbursed. In the 9th EDF GBS programme, the 'Competency and Literacy Levels in P6' has been selected as one of the education indicators. For the first variable tranche, the target was very comfortably achieved, dropping in subsequent years. However, according to the ECA report, neither the government nor the EC commented on how this high level of performance was achieved. Regarding the second tranche, the outcome only showed a very marginal improvement while no target was set for 2005-2006.

The EC has played a catalytic role in assisting the provincial Government of Sindh (*Pakistan*) to become the first Province to have developed and put assessment tools on trial. However, a lot still remains to be done in terms of developing competencies related to sample drawing, the development of an item bank and assessment processing and interpretation. This is the subject of an Action Pro-

gramme currently being implemented with EC TA assistance. Moreover, the SEPSP (EC SBS) contains triggers, and trigger indicators on “learning assessment”.

Detailed results are as follows:

- For Sub-Saharan Africa, for *Botswana*, the CSE stated that results in the 2007 BGCSE examinations were disappointing and that recent trends of small annual improvement have been reversed, with 40.7% of all grades awarded being at grade C or above, compared to 43.0% in 2006. Also, the percentage of students scoring grade C or above in the core subjects of Setswana, English and maths declined from 13.6% in 2006 to 12.4% in 2007. The number of candidates gaining grade C or above in five or more subjects also declined from 41.5% in 2006 to 38.7% in 2007. Given the levels of investment in education, the CSE authors are of the opinion that the levels of learning achievement are poor.

Moreover, the CSE notes that the issue of quality is related to relevance. In EDF8 and 9 programming documents, quality is discussed more as a matter of general education. Data for Primary, JS, and SS schools show declining exam results. The testing of double shifts in Senior Secondary schools led to a further decline in student performance. Until 2009, indicators for quality were referring just to exam results. The quality of the teaching and learning process or the performance of teachers had not been included in the list of indicators. It should be noted that for the SBS under EDF10, exam results in mathematics and science, and the quality of primary school teachers, have been specified as indicators.

Box 35: *Botswana: Trends in Primary School Leaving Examination results, related BGCSE*

2007 PSLE results show deterioration in performance at Grades A – C, 72.9% compared to 79.6% (2006) and 79.2% (2005) and the percentage of candidates achieving grades A and B has also gone down compared to the last two years. Also in 2007, 75.1% of candidates achieved grade A-C at the Junior Certificate Examinations (JCE) compared to around 76.5% in 2006 and 2005; the results show that females performed better than males in all core subjects except in integrated science.

Assessment of JCE ‘A-C’ results for maths and science have been declining and these also show regional variations. Assessment of JCE ‘A-C’ results for maths on a national basis confirms this gradual decline as follows. Overall rate for maths (A-C passes): in 2006 – 23.0%; 2007 – 22.8%; and 2008 – 21.8%. Hence, there has been a decline of 1.2% between 2006 and 2008 nationally. Assessment of JCE ‘A-C’ results for Integrated Science on a national basis also shows a decline: the overall rate for Integrated Science (A-C passes): in 2006 – 26.5%; 2007 – 25.0%; 2008 23.6%. Hence, a decline of 2.9% between 2006 and 2008 nationally with similar regional variations has also occurred. The low scores are especially marked in West Region where students are disadvantaged through L¹ – L² language barriers.

Results in the 2007 BGCSE examinations were disappointing and recent trends of small annual improvement have been reversed, with 40.7% of all grades awarded being at grade C or above, compared to 43.0% in 2006. Similarly, the percentage of students scoring grade C or above in the core subjects of Setswana, English and maths declined from 13.6% in 2006 to 12.4% in 2007. The number of candidates gaining grade C or above in five or more subjects also declined from 41.5% in 2006 to 38.7% in 2007. Given the levels of investment in education, levels of learning achievement are poor.

Tests have been conducted in 2003 and 2007. The Department of Secondary Education (DSE) is implementing (as of 2005) a maths and science programme (Strengthening Mathematics and Science in Secondary Education - SMASSE) to improve results. The DSE also noted that school performance is dependent on the quality of head teachers and teachers and it considered various deployment strategies either to transfer experienced teachers to schools having a high ratio of ‘inexperienced’ teachers or by ensuring that vacant positions in poorly performing schools are filled by senior staff.

Source: CSE Botswana 2009

- In *Namibia*, the ETSIP contains two key performance indicators related to core learning achievements in mathematics, science and English. The percentages of learners achieving D or better in mathematics, science and English in grade 12 are targeted to increase respectively from 32.7%, 38.4% and 31.1% to 54.7%, 59.3% and 52.1% in 2011. The percentages have risen between 2006 and 2008 and were in 2008 above the targets set except for English.

The percentages of learners achieving D or better in mathematics, science and English in grade 10 are targeted to increase respectively from 36.2%, 38.3% and 45.4% to 54.7%, 58.6% and 62.9% in 2011. The percentages have risen between 2006 and 2008 and were far above the targets set in 2008.

- In *Niger*, the percentages of pupils in CM2 (i.e. last year of primary school) that have reached the expected threshold levels in mathematics and French have both decreased between 2001/2002 and 2007/2008, respectively from 33% to 28.2% and from 31% and 27.6%.

The results at national exams and the learning levels in mathematics and French are part of the internal efficiency indicators of the PPARP (2006-2008). According to the ECA report, **the**

percentage of pupils that have reached the expected level in French and mathematics has constantly decreased since the beginning of the EC funded PPARP programme.

- Regarding core learning achievements, the Country Note for *South Africa* notes the following: pass rates for Grade 12 (giving access to University) were such that 49% of candidates passed in 1998, increasing to 55% in 2003 and 65% in 2007, dropping again to 63% in 2008. Thus, the pass rate has improved over the period, but disaggregated figures again reveal extreme disparities between learners from poor and better-resourced backgrounds, which partially still follow the racial divide. In mathematics, fewer than 3% of candidates achieved a pass good enough to give them access to University courses such as engineering and accounting.²³² The EC has done relatively little in this field to promote pass rates directly. Apart from the interventions outlined under JC 5.1, the support National Student Financial Aid Scheme (NSFAS, supported with ZAR 59 million under ESSP) may have acted as an incentive for poorer Grade 12 learners to make an extra effort, given the availability of funding to assist in higher education.²³³
- The improvements in *Tanzania*, on the other hand, showed that there have been consistent increases in exam pass rates for both Standards 4 and 7. Tanzania experienced great advancements on **pass rates** amounting to a doubling of figures: with 49% of primary school leavers passing their final year exam in 2004, more than double the rate from the year 2000.²³⁴ Moreover, more children leaving primary school are also being selected for secondary education. In 2004, 36% were selected, up from 22% in 2000. As the EC was the first of the major donors contributing to PEDP and second as lead partner on policy dialogue with Tanzania, these impressive records can be attributed to EC support, according to the CSE. However, according to the ECA report, despite the GoT's efforts the performance of **secondary school students** in national examinations is still modest as the low performance of pupils in sciences, mathematics and languages indicate. After an initial increase from the baseline value 25.8% in 2000 to 35.7% in 2006/2007, the Division 1-III in Form 4 examinations pass rate has decreased to 26.7% in 2007/2008, which is far below the target set at 70% by the MKUKUTA.
- In *Uganda*, the ESSP gives high priority to improving the quality and relevance of primary education through pupils mastering basic literacy, numeracy and basic life skills. This was essential given the low score of both primary and secondary students in the NAPE 1999 (National Assessment of Progress in Education) mastery level test.

Table 31: *Uganda: Achievement scores on 1999 and 2003 NAPE (% of random national sample)*

Year 1999	P3 English reading /writing	P3 English oral	P3 math	P6 English reading / writing	P6 English oral	P6 math
Sample size	2,930	1432	2,929	2,571	1,352	2514
Advanced	4.8	10.8	4.7	2.2	9.6	1.8
Adequate	13.4	40.9	33.9	11.0	69.5	39.7
Inadequate	81.9	48.3	61.4	86.7	20.9	58.5
Year 2003	P3 English reading/writing	P3 English oral	P3 numeracy	P6 English reading / writing	P6 English oral	P6 numeracy
Sample size	3,999	3,932	3,989	3,949	3,890	3,956
Advanced	4.7	10.8	5.5	1.1	18.7	0.3
Adequate	29.6	12.6	37.4	18.9	37.7	20.2
Basic	24.8	4.8	17.1	12.4	13.8	23.1

Source: *Financing Agreement and TAP for PABS 5*

EC support to PABS 5 had incorporated a mastery level performance indicator, i.e. "Percentage of pupils reaching defined level of competency in literacy and numeracy", linked to variable tranche releases. It seems that full amounts have been disbursed. This is important as there is a tendency to focus on quantitative access and enrolment related indicators. The Ugandan example may show that GBS can effectively include quality related indicators enhancing the mobilisation of the EC GBS variable tranche in support of improved learner achievement.

²³² Bloch, Graeme (2009): *The Toxic Mix*.

²³³ Overall the early EC support has been evaluated positively in the final evaluation of ESSP (2003).

²³⁴ As this data pertains to the first half of the evaluation period more or less, it would be useful to discover the degree of improvement since 2004.

In the 9th EDF GBS programme, the 'Competency and Literacy Levels in P6' has been selected as one of the education indicators. For the first variable tranche, the target was very comfortably achieved for the Competency Level for Literacy and Numeracy indicator (E3), 31.5% being reported against a target of 25%. However, according to the ECA report, neither the GoU nor the EC commented on how this high level of performance was achieved. Regarding the second tranche, the outcome only showed a very marginal improvement from 31.5% to 32% while no target was set for 2005-2006.

Moreover, the case of Uganda also shows that correlation between increased PTR and improved learning outcomes is not always given, as the following box highlights.

Box 36: Uganda: Correlation between PTRs and learning outcomes

An ex-post ROM report from 2007 on the SBS supported Support to Universal Primary Education (SUPE) in Uganda notes on the issue of effectiveness that 93% (+ 7 points) of children found their way to primary school at the end of the EC intervention period; the baseline was 86%.

- 23,541 classrooms (+ 39%) have been built in the same period.
- 24,409 teachers (+ 24%) were added to the government payroll. 89,989 local civil servants have been trained in management and finance.
- 78% (+ 16 points) of pre-service student teachers pass grade III examinations; that was only 62% at the outset.

While these results are positive, completion rates plummeted from 63% to 51% and proficiency in mathematics declined from 41% to 33% (read as 41% of P6 students met numeracy standards).

Quantity had eroded quality. Ample attention had been given to special needs groups such as students in isolated or conflict areas, IDP, physically disadvantaged children, traumatised children, orphans, poor families and girls.

However, progress related to gender equity had been slow. "An educated girl is a liability; an educated boy is an asset". In local villages, girls are still seen as sources of income through the dowry. While it seems as if girls have equal access to primary school – with enrolment for girls at 93% and for boys 90%, –of 100 girls entering primary school, 58 will have dropped out at the end of the cycle; that compares to 45 boys dropping out.

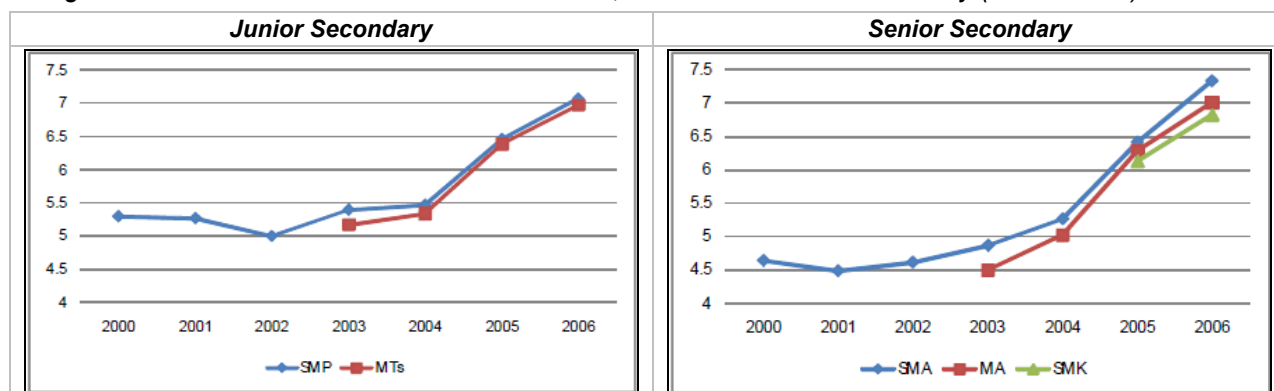
Moreover, numeracy levels with girls are much lower. In 2003, only 15.3% of girls met numeracy standards compared to 25.7% of the boys.

Source: Ex-post ROM report 2007

As for *Indonesia*, EC support during the period under evaluation mainly focused on assisting the Government of Indonesia to establishing a SWAp for a quality and access related decentralised education reform programme. However, through policy dialogue on issues like minimum standard of services and active involvement in the design of RENSTRA, the EC may have contributed to establishing key indicators of quality linked student performance in national examinations.

A new primary school examination was introduced in 2008, i.e. after the period under evaluation. For junior secondary, improvements in examination results have been encouraging, rising from 5.3 to 7.1 in 2006 with a levelling off at 6.9 in 2008. For senior secondary, exam scores have also risen from 5.3 to 7.2 over 2004-08. However, as the EFA-MDA and Renstra 2010-14 performance analysis indicate, there are significant provincial and district variations in exam performance, including noticeable variation between better performing public Ministry of National Education (MoNE) schools and less well performing private/Ministry of Religious Affairs (MoRA) schools. The Renstra 2010-14 and the Education Autonomy Law 9/2009 recognise that a challenge will be to ensure that admission to primary and secondary schools is increasingly academic merit driven, rather than by ability to pay. EC support and policy dialogue has assisted the government in this.

Figure 18: Indonesia: Examination Scores, Junior and Senior Secondary (2000 - 2006)



Source: MoNE 2007, EFA Mid-Decade Assessment

As for *Pakistan*, thus far, the country has not participated in international assessments of learning achievement, and the nation-wide assessments are only standardised from grade 9-12, culminating in the intermediate examination at the end of higher secondary (end of class 12). There is very little experience with diagnostic grade-wise or subject-wise surveys to assess the level of learning and constraints. The World Bank provides support to strengthening the capacity of the National Education Assessment System (NEAS)²³⁵ which also has branches in the Provinces as Provincial Education Assessment Centres (PEACEs) to carry out learning achievement tests throughout the country and provide feedback on the system to improve quality, initially at the elementary level.

In Sindh, a PEACE has been established and is being upgraded with the EC and the World Bank's support. Staffing is part of the World Bank's funding, while capacity building is being catered for under the lead of the EC Quality Assurance expert. Moreover, the SEPS contains triggers, and trigger indicators on "**learning assessment**", the trigger being "*Learning assessment of students; improving the regular measurement of learning*" and the indicators being "*Subject and grade for fielding of diagnostic assessment in district representative sample of public schools*", and "*Subject and grade for analysis report of diagnostic assessment*". The PEACE work on Development of diagnostic assessment tools in Sindh, implemented with EC support, is very important even though it is partly falling outside the scope of this evaluation. The EC has played a catalytic role in assisting the provincial Government of Sindh to become the first Province to have developed and put assessment tools on trial. However, a lot still remains to be done in terms of developing competencies related to sample drawing, or the development of an item bank and assessment processing and interpretation. This is the subject of an Action Programme currently being implemented with EC Technical Assistance.

5.3 Overall assessment

EC support focuses on getting more children into school, improving retention and arranging for education of such a quality that less relapse into illiteracy occurs. The emphasis is on sector support programmes whether or not applying SBS as a modality. This is the case e.g. in *India*, *Tanzania* and from EDF 10 in *Namibia*. Direct support to basic literacy acquisition of youth is given on a limited scale mainly through support to projects implemented by NGOs. In a number of cases, GBS has been supported literacy acquisition in some countries such as *Burkina Faso*, having literacy-related indicators in their GBS agreements. However, literacy acquisition per se is hardly at the centre of EC support, but somehow embedded when support to pro-poor education system reforms is given.

Improved learning achievements, which would be indicated by improved test results, are not really at the centre of EC support, but are supposed to emerge from the quality improvement component of education sector reform programmes. However, the overall results are gloomy and warrant the label "quality crisis" in almost all partner countries. Results of international and regional learning assessment tests, but also of primary and secondary school leaving examinations, reveal large shortages in terms of sometimes low benchmarks. These results have in many cases deteriorated between 2000 and 2007, indicating that increased access might have gone at the expense of quality. Only sometimes, more pronounced and better results obviously in *Asia* were noticed, *Sub-Saharan Africa* lagging behind everywhere.

Even though much progress has been made in the access domain with a shift to be made to quality and learning achievements this has not always been matched by setting quality- and learning outcome-related performance indicators as a basis for tranche release in EC supported SBS and GBS. Still increasingly, developing countries, especially middle income ones, are participating in international learning assessments at lower and upper secondary level as a means of assessing whether their education system is catering for graduates capable of meeting national human resource needs.

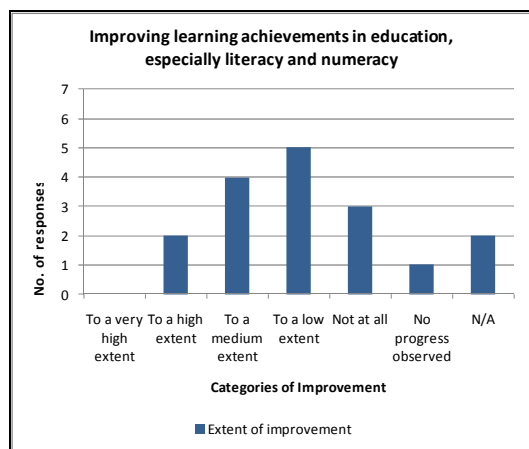
The diagnosis of serious knowledge gaps is not only through these tests but also given results not being in line with set SBS and GBS targets related to learning achievements. Examination levels are part of the outcome indicators of the government and EC support, both in programmes of sector support such as in ETSIP *Namibia*, SBS in *Botswana* under EDF 10; *Tanzania*, the *Dominican Republic* and *Pakistan*. They also form increasingly part of GBS indicators for education related flexible tranche release in *Burkina Faso*, *Niger*, and *Uganda* (EDF 9). It should be stressed though that the incorporation of data related to examination results as key indicators is relatively recent and in most cases starting under EDF 10. Meeting or missing targets provides a diagnosis but certainly in the framework of GBS support, curative approaches are outside EC control (apart from withholding disbursements.).

²³⁵ See Country Note Pakistan, Annex Development Partner Support to primary and secondary education in Pakistan.

The pattern sketched above is confirmed by the results of the EUD survey indicating little EC focus on improving learning achievements and SBS being the most optimal modality for such. It should be stressed though that EC support to improved learning achievements should be linked to EC support to quality improvements (EQ 4), learning achievements being an outcome indicator of effective support interventions.

Among EUDs, respondents perceive the EC's contribution to improving learning achievements, especially literacy and numeracy rather as low to medium. The two high respondent EUDs were *Nicaragua* and *Uganda*, the latter indicating that the issue of learning achievements was included in the PABS IV GBS.

Figure 19: Results of survey to EUDs: Rating of the EC's contribution to improving learning achievements, especially literacy and numeracy



Categories	Improving learning achievements in education, especially literacy and numeracy	
	No.	%
To a very high extent	0	0.0
To a high extent	2	11.8
To a medium extent	4	23.5
To a low extent	5	29.4
Not at all	3	17.6
No progress observed	1	5.9
N/A	2	11.8
Total observations	17	100.0

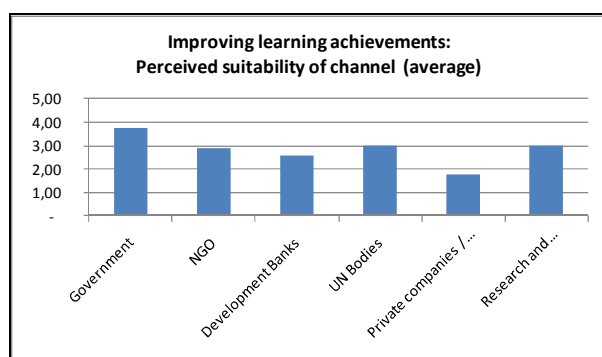
Source: EUD survey

On the other hand, according to the EUDs, the EC contribution to improving learning achievements in education, especially literacy and numeracy, has been rated as low for *Botswana*, *Ghana*, *Tanzania*, *India* and *Pakistan*. The response from the EUD Botswana confirmed that little attention had been paid to this issue up until the end of the evaluation period but subsequent policy dialogue has meant that this issue will be a priority for future support. Ghana again pointed to the MDG bias on quantity rather than quality and India remarked on the innovative approaches which had been developed under the PESLE programme and later replicated.

Bangladesh, *Vietnam*, *Tunisia* and *Argentina* remarked on medium levels of improvements on learning achievements but none of these countries backed up their scorings with commentaries.

In terms of the average score for each **channel's** suitability with regard to the improvement of learning achievement was highest again for the government, with a score of just below 4, i.e. high. NGOs, UN Bodies and Research and education institutions had a perceived average score of around 3, i.e. medium. Development banks scored around 2.5, and "private companies and development agencies acting as such" scored even below 'low'. This confirms that governments have to ensure learning achievements, but rating seems not to reflect the suitability of NGOs for NFE programmes aimed at increasing literacy and numeracy, as, for instance, demonstrated for the case of *Bangladesh*.

Figure 20: Results of survey to EUDs: Improving learning achievements - perceived suitability of channels



Channel	5	4	3	2	1	Aver.
Government	5	5	2	2	1	3,73
NGO	0	2	7	3	0	2,92
Development Banks	0	1	4	0	2	2,57
UN Bodies	0	2	2	0	1	3,00
Private companies / dev. agencies acting as such	0	0	0	3	1	1,75
Research and education institutions	1	1	1	1	1	3,00

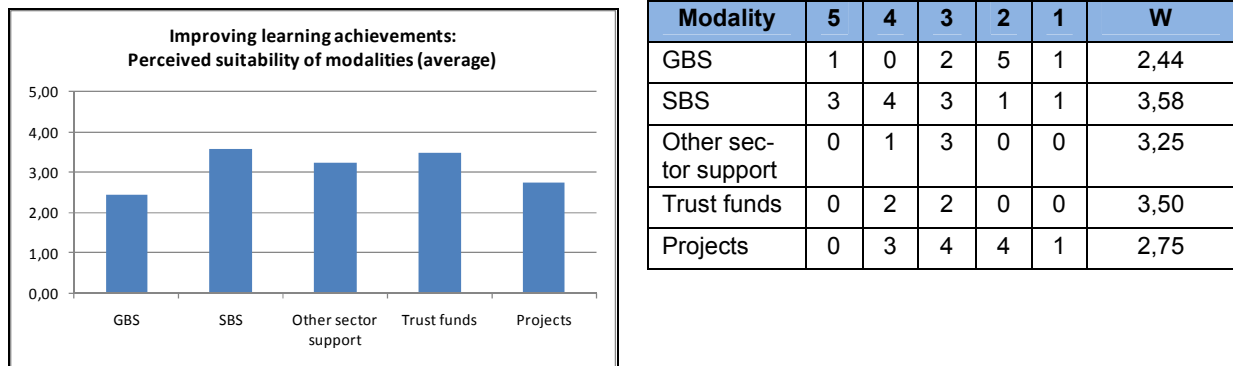
Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low

Source: EUD survey

The few qualitative answers elicited, mostly refer to previous statements made for other outcomes researched.

In terms of the average score for each **aid modality's** suitability with regard to improving learning achievements, again SBS ranks highest, but is closely followed by trust funds – both with an average score of around 3.5 indicating medium to high suitability. Other sector support also receives a relatively high scoring, clearly above medium suitability. Projects are perceived as nearly of a medium suitability, while GBS is ranked below 2.5 – indicating a low to medium suitability. This confirms that SBS may be the most appropriate modality.

Figure 21: Results of survey to EUDs: Improving learning achievements - perceived suitability of modalities



Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low

W= Weighted Average

Source: EUD survey

While, again, the qualitative responses with regard to the education sector outcome “learning achievements” are not very comprehensive, the EUD *India* also re-confirmed the positive experiences with the project approach with PESLE, thus underpinning the suitability of large NGOs to provide support related to improving the quality of education.

Finally, EC support to partner countries' efforts to get more young people previously excluded into schools and improve internal efficiency through higher retention rates may, in the medium term, help to improve statistics on basic literacy for young people. Still this will not automatically lead to improved learning achievements as overall results of international comparative assessments of learning assessments and final examinations show. They reveal a quality crisis not only restricted to poor **Sub-Saharan African** countries. EC support is trying to capture the impact of education on learning through increasingly applying examination results among the education related indicators for flexible tranche release. This though reveals the crisis without applying curative measures. The results indicate that the yield on EC investments to enable all children to enrol and complete basic education of a sufficient quality may be seriously jeopardised unless high priority is given to improving quality as indicated by improved learning. Beyond the time scale of the evaluation, such priority seems to be given by the EC, like for example expressed in policy documents such as the Commission Staff Working Document, “*More and Better Education in Developing Countries*”²³⁶.

²³⁶ European Commission (2010): Commission Staff Working Document: More and Better Education in Developing Countries. SEC(2010)121 final, Brussels, February 4, 2010.

6 EQ6-delivery: To what extent has EC support to education helped in improving education system service delivery and re-sourcing?

This question focuses on service delivery and the necessary increase and pro-poor targeting of resources for effective and inclusive service delivery. Improving system service delivery necessitates adjustments in the legal, regulatory and institutional framework, not only sector specific but also linked to decentralisation and public finance management in general.

Implementing pro-poor education sector reform necessitates the developing of capacities at both central and sub-national levels. In most developing countries expenditure on public education represents one of the largest demands on government resources. It is crucial therefore that education expenditure is effective in achieving government sector policy goals and that scarce resources are allocated in an efficient and pro-poor manner. In order to effectively implement pro-poor education sector reform, systems need to be in place in terms of procedures, guidelines and formats, as well as staffing. In order to become ready for the massive tasks ahead, competency gaps need to be filled and new mandates substantiated in view of decentralisation down to the school level. Often infrastructure for financial management and planning needs to be established. This is far from easy as such reforms require far-reaching transformation processes, especially in rural societies with rigid power structures and relationships of hierarchy and inter-dependency. Those innovative forms of system re-engineering towards the poor, and catering more for accountability depend on public sector reform and improved public finance management and strong inter-linkages between development partners and development banks.

To ensure long-term sustainability, education finance needs to be both adequate and predictable. The failure to link policy, planning and budgeting is the single most important cause of poor education budgeting outcomes in developing countries. Governance reforms are also required to ensure that funds are allocated as planned and ultimately reach the schools. Domestic resources are complemented by funds from external development agencies to be integrated into a sustainable and predictable fiscal and macro-economic framework such as MTEFs.

The key judgment criteria of this EQ are²³⁷:

- JC61: Sound pro-poor policy framework in place
- JC62: Resource allocations in line with education sector requirements
- JC63: Evidence of linkages between education sector reform and broader national reforms; decentralisation, civil service reform and public finance management reform
- JC64: Increased capacity for addressing education reform and management issues.

6.1 JC61: Sound pro-poor sector policy framework in place

EC Financing Agreements for Support to Sector Programmes and SBS make provisions for assisting partner countries to arrange for sound pro-poor policy frameworks being in place. Similar to the FTI appraisal process, the EC stresses the need for sector plans to produce the desired results. In GBS, a credible costed PRSP is a precondition for launching GBS.

The vision and strategy for education development is often embedded in the Education Strategic Plan. This is the basis for planning the education sector's contribution to achieving the Government's broader poverty reduction objectives and targets.

With its support to the education sector, the EC has worked towards creating conditions for effective service delivery in partner countries, i.e. by helping with the establishment of pro-poor policy frameworks, and, within constrained resource environments, by contributing financially to ensuring appropriate education sector allocations in line with the costed PRSPs.

²³⁷ The judgment criteria have been selected to relate to the eligibility criteria for General Budget Support: A "stability-oriented" macroeconomic policy is in place or is being put in place, exemplified by an approved three-year Poverty Reduction and Growth Facility (PRGF) arrangement with the IMF; A well defined national policy and strategy is in place or is being put in place, e.g. a Poverty Reduction Strategy; A credible Public Finance Management (PFM) programme is in place or under implementation, i.e. further progress is being made in strengthening PFM.

6.1.1 I-611: PRSP or comparable documents incorporate and budget pro-poor education strategies and measures, and I-612: Existence of a costed medium term strategic plan complementing education sector policy

In the majority of countries, the respective (broad) policy frameworks have been drafted, including PRSPs, with social sector chapters including education. PPSPs are often costed, thus enabling monitoring of the budget and implementation of pro-poor education measures. An operational PRSP is a pre-requisite for General Budget Support and for FTI funding²³⁸. It means that in all GBS and FTI countries some sort of PRSP will be available. The PRSP is to be linked to an education sector policy framework and strategy, preferably based on a medium term timeframe. However, co-ordination and consistency problems can arise with the coexistence of parallel policies and sometimes elusive policy objectives (mainly in relation to the financial resources available). Most countries have in place a more or less adequate pro-poor policy framework, apart from *Somalia* and *Eritrea*, and to a certain degree *Pakistan*, where a stable state and overarching pro-poor policy frameworks are lacking.

As is shown in the following table, most partner countries reviewed in the sample have developed PRSPs or comparable documents which are conditional for GBS, SBS and FTI funding, even most fragile/failed states. The drafting of some of these documents may have been supported by the EC (e.g. RENSTRA in *Indonesia*). Many, partner countries though, have observed a substantial funding gap for their education plans in PRS. Several partner countries are now embracing approaches to poverty reduction, with a focus on innovative education sector reforms. It is rather challenging to implement far-reaching reforms under austerity conditions. In many cases, revenue generation estimates appear to be too optimistic.

Given the availability of PRSPs, conditions for non-project support do exist in most countries, and in most cases the EC has embarked on such forms of support.

Given that there is considerable overlap between what might be defined as a “costed medium term strategic plan complementing education sector policy” and an MTEF, the contribution of the EC towards such endeavours will be discussed under JC62.

Table 32: *Existence of Poverty Reduction Strategies in sample countries*

Region	Country	PRSP or equivalent
Asia	Bangladesh	PRSP vision embedded in document “Bangladesh, Unlocking the Potential. National Strategy for Accelerated Poverty Reduction” (General Economics Division, Planning Commission 2005). Responsibility for rationalisation and allocation of revenue expenditure falls under purview of Ministry of Finance while that of development expenditure falls under the purview of the Planning Commission. Programme of Action 2001–2010 ²³⁹ , pledged to focus national policies within the next decade on “ <i>significant reduction in extreme poverty; developing human resources</i> ” to support long-term development; and to achieve gender equality and the empowerment of women. GoB drafted Medium-term Macroeconomic Framework to achieve sustained growth and poverty reduction as a step towards the attainment of the MDGs.
	India	Five-year plans support pro-poor strategies and these strategies are budgeted (centrally) and for each state in AWPBs.
	Indonesia	PRSP is in place that contains a well-elaborated poverty reduction strategy. PRSSP is linked to Medium Term Development Plan (MTDP 2005-2009) which is the basis for budgets for basic education. MTDP aims at decentralising governance and the management of education system and thereby improving access and quality.
	Vietnam	The EC programme has been aligned with the Government of Vietnam’s (GoV) aid policy under Decree 131 and the Comprehensive Poverty Reduction and Growth Strategy (CPRGS) which was the PRSP from 2002-2005, which was replaced by the GoV five year plan, the Socio-economic Development Plan (SEDP), from 2006-2010. The government committed to implementation of National EFA Plan. ²⁴⁰ EFA Plan generally considered a credible strategic framework, but also showing that Vietnam’s targets for EFA by 2015 will remain elusive without additional investment of at least €1.6 to 2 billion for the period 2003-2015. Medium Term Education Policy document in place that guides the activities of the

²³⁸ See ‘Guidelines on the Programming, Design and Management of General Budget Support’, AIDCO DEV RELEX, January 2007

²³⁹ Prepared for the IIIrd UN Conference on Least Developed Countries in May 2001

²⁴⁰ Approved in 07/2003 by Prime Minister; jointly reviewed and endorsed by international partners and NGOs in 09/2003.

Region	Country	PRSP or equivalent
		MoET and contributions of ODA in the education sector
Sub-Saharan Africa	Botswana	Overall guiding documents are the National Development Plans (NDP), the most recent being NDP 9 for the period 2002/3 to 2008/9, as well as the Vision 2016 whose general aim is poverty reduction. NDP9 includes an extensive chapter on education and training, which reinforces the Goals of Vision 2016 of continually providing sustained improvements in the relevance and quality of education, as well as access. More specifically the GoB has committed itself to providing improved access to pre-school education, the provision of ten years of basic education for all, to increase access to senior secondary education and expanding vocational and technical training, as well as the promotion of lifelong learning.
	Burkina Faso	Overall a PRSP has been in place since the year 2000, initially for the period 2000-2003, particularly emphasising access by the poor to basic social services (namely basic education and literacy). The PRSP for 2004-2006 placed education even closer to the heart of the country's most important development goals and its focus is to expand the coverage of basic education whilst at the same time also improving its quality, as well as providing literacy training to adults in general and women in particular (non-formal education also being employed).
	Ghana	The Ghana PRSP called "Growth and Poverty Reduction Strategy" (GPRS) constituted a framework for the preparation of the Education Strategic Plan (ESP) 2003-2015. ESP identifies ten key policy goals, under four thematic areas, including "Equitable access to education".
	Niger	The PRSP was approved in 2002 and emphasised access to basic social services such as education as one of the main priorities. The PRSP was updated in 2007 for the period 2008-2012 and endorses support for the Ten-Year Education Development Programme (PDDE), which emphasises three components of education – access, quality and institutional development. The focus is both on equitable access as well as on improving the quality of social services.
	South Africa	GoSA has produced many high-quality policy documents, medium term expenditure frameworks, strategy papers and three year strategic plans, which are ambitious, focussed on equity and generally aiming at improving educational outcomes, using modern and progressive pedagogical methodologies.
	Tanzania	The NSGRP (National Strategy for Growth and Reduction of Poverty) sets specific operational targets for ensuring equitable access to quality education, and is informed by the aspirations of Tanzania's Development Vision 2025 (Vision 2025). The NSGRP also mainstreams international and regional commitments like the MDGs. The strategy focuses on improving quality and expanding secondary, higher and technical education. Newer strategies/programmes which build on ongoing strategies /programmes are also directly supported, such as the Secondary Education Development Programme (SEDP).
	Uganda	The latest PRSP for Uganda has just been finalised in May 2010 for the period 2010/11 – 2014/15, which emphasises the investment priority of human resources development in the field of education. Uganda's strategies in relation to education are broad and ambitious; namely: (i) increasing access and equity; (ii) improving quality and relevance; and (iii) improving effectiveness and efficiency of primary and secondary education, as well as of business, technical, vocational education and training (BTVET). Previous PRSP's (2005) highlighted the challenge of ensuring quality in education and improving efficiency. The costed Poverty Eradication Action Plan (PEAP) from the year 2000 highlighted the issue of access, with free schooling for the first four children in a family to increase access as well as enhancing quality.
Caribbean	Dominican Republic	PRSP in place (the "Estrategia para la reducción de la Pobreza en la República Dominicana" (2003) that identified education among most important priorities ²⁴¹ . A new overall "National Development Strategy" (NDS) was still being formulated at the time of this evaluation.

²⁴¹ More recent policy developments that are outside of the temporal scope of this evaluation are expressed in the 10 Year Plan 2008-2018 which has further developed the above approach, namely: a) the GoDR has clearly expressed its willingness to improve institutional capacity and cross-sectoral collaboration between the Ministry of Education and Solidarity so as to monitor beneficiary compliance with programme co-responsibilities and education outcomes; b) the GoDR has started to calculate supply gaps in education services and is dedicated to progressively reducing these gaps through a targeted approach.

Region	Country	PRSP or equivalent
European Neighbourhood	Tunisia	Tunisia's PRSP's are contained in their national plans. The 9 th 'Plan National' for 1997-2001, focused on the country's general development goals including education and training and the transition to employment, whilst the 10 th national plan for 2002-2006 focuses on similar themes. Tunisia is strongly committed to serving the education needs of the poor. In the Loi d'Orientation de l'Education et de l'Enseignement Scolaire n°80 of July 23, 2002, it is stipulated that " <i>l'Etat garantit le droit à l'enseignement gratuit dans les établissements publics à tous ceux qui sont en âge d'être scolarisés et l'égalité des chances dans la jouissance de ce droit à tous les élèves...</i> ".
	Eritrea	An Interim PRSP has only recently been produced ²⁴² .
Fragile / failed states	Liberia	The 2008 Poverty Reduction Strategy (PRS) (and before that an Interim Poverty Reduction Strategy) takes into consideration the MDGs, including MDG 2, which is included in one of four priority "pillars" – Infrastructure and Basic Services.
	Somalia	Evidence was available that an Interim-PRSP was in the process of being developed in 2005 ²⁴³ with the World Bank but disagreements among regional governments have extensively delayed the process of reaching agreement. The process seems to be ongoing.
	Pakistan	A costed PRSP I from the year 2003 exists, providing a foundation for assessing education sector needs linked to the policy framework embedded in the National Education Policy. However, no education Medium Term Expenditure Framework exists.

6.1.2 I-613: Schemes to deploy teachers from places with over-supply to locations with teacher shortages (teacher rationalization and deployment)

The school system has been expanded into rural areas, but in most countries teachers are overrepresented in urban areas (discrepancy between urban and rural PTRs). Challenges in assigning teachers to hardship posts exist in many countries including *Pakistan* and *Niger*. *Tunisia* has employed an incentive scheme to make positions in certain areas more attractive to teachers, including the provision of cheaper apartments (subsidised rents). Further information is provided in EQ 2 and EQ 4.

In many countries, strategies have been developed for teacher rationalisation in order to reduce the steep rise in recurrent costs for teacher salaries caused by the enrolment boom. However, approaches towards teacher redeployment are faced with constraints, also due to the strong position of teachers' unions in most countries. In *India*, during DPEP, even teacher redeployment from one block to another in the same district was faced with heavy constraints. Partner countries have in some cases developed incentive schemes but these are difficult to sustain financially. In other cases, such as *Niger*, contract teachers were recruited, assisted by EC GBS funds, at lower salary costs. In *India*, locally recruited and trained teachers also facilitated the establishment of small multi-grade schools in rural remote areas in Madhya Pradesh and other States. This advantage was based on the teacher's lower salaries and was also made possible using EC financial support.

While, overall, only limited information on the existence and functioning of teacher re-deployment schemes could be retrieved for the sample countries, some examples show how the problem has been tackled under various environments, partly with EC support:

- In *Tunisia*, the situation is addressed by various incentives for teachers assigned to rural areas. They are encouraged to stay in the same school by incentives such as access to cheaper apartments (subsidised rents), and they can accumulate bonuses for their career when they stay at least four years in the same position (six years for headmasters).
- In *Niger*, there are no specific bonuses for teachers assigned to "hardship" posts. Several stakeholders interviewed during the field visit mentioned the reluctance of teachers to be assigned to remote locations. Their preferences are for assignments close to the "goudron", meaning that they want to be assigned to a school not far from a tarmaced road.
- In *Pakistan*, merit based teacher recruitment is part of the DLIs applied by EC SBS and the World Bank in supporting the Sindh Education Reform Programme (SERP) towards rationalising the teaching force. The World Bank is attempting to achieve the redeployment of teachers in Sindh. However, according to the Country Note, efforts at redeployment face substantial constraints in effective implementation.

²⁴² Particip GmbH, Edinburgh Consultants (2010): Ex-post evaluation of programme-estimates and annual monitoring of the project "EC Support to the Education Sector" – Eritrea. EuropeAid/126248/D/SER/ER. Service Contract 9th EDF – account no. 9.ACP.ERY.9. Monitoring Mission Report. Draft Final Report. Volume 1.

²⁴³ See http://www.planotes.org/documents/plan_05111.pdf

6.2 JC62: Resource allocations in line with education sector requirements

Preparedness for EC budget support implies, apart from a costed Poverty Reduction Strategy, that a PFM reform plan is also in place. This PFM plan will provide the parameters and possible approaches towards the finalisation of an MTEF. These preconditions for budget support provide a foundation for system development linked to improved education sector management. From the findings, it appears that receiving more flexible support in the form of sector or general budget support has acted as an important incentive for countries to engage in efforts to enhance budget predictability and to develop an MTEF.

Alongside national income, the domestic resource envelope available for public financing of the Education for All goals is ultimately determined by three factors.

- The share of national income collected as government revenue. That share rises on average with the level of per capita income, albeit with large variations by country that reflect policies on taxation, the level of natural resource exports and other national characteristics;
- The proportion of revenue directed into the overall education budget;
- The share of the education budget allocated to basic education.

The EFA Global Monitoring Report (GRM) 2010 applied a 'best effort' benchmark that was established to assess national financing capacity. Factoring in projected economic growth, a significant source of extra revenue, the report attempts to estimate the additional resources that can be generated by 2015, if the countries covered:

- Increase the average share of government revenue in GDP to at least 17%;
- Raise the share of revenue going to education to at least 20%; and
- Ensure that about 70% of the education budget is devoted to pre-primary, primary and lower secondary education.

Where countries are already exceeding these thresholds, the report assumed that current values are maintained up to 2015.

The EFA Global Monitoring Report 2010 showed that if every country covered in the study reached the above thresholds, it would expand the financial resource envelope for basic education on average by about 0.9% of GDP by 2015. Considering that the minimum benchmark for public education expenditure as a %age of GDP is 3%²⁴⁴, these amounts would provide slightly more than a third of the additional resources required to achieve the basic education goals by 2015.

However, there are significant differences between countries:

- Some, such as *Mozambique or Tanzania*, but also *Tajikistan*, are close to the 'best effort' thresholds in all target areas²⁴⁵.
- *Pakistan* performs poorly on all three accounts: government revenue represents a small share of national income, the share of revenue spent on basic education is among the lowest for any of these low-income countries and the share spent on primary education is the lowest in the group. The country has the potential to more than triple the share of GDP currently allocated to basic education, suggesting that governments have failed to address the education financing challenge with sufficient urgency. *Bangladesh, Burkina Faso and Eritrea* also have a considerable scope available to tap into additional domestic resources for education.
- *Vietnam, Ghana and Uganda* also still have some scope for increasing domestic resources.

²⁴⁴ Not taking huge differences of countries in terms of economic development (LDCs versus Middle Income countries) into consideration.

²⁴⁵ For *Tajikistan*, the Joint Staff Advisory Note on the Poverty Reduction Strategy for 2007–2009 November 6, 2007: refers to the government's plans to both increase expenditures on education and to improve their effectiveness with the aim of attaining the education MDGs. *Tajikistan* can achieve universal primary education if the government increases public expenditures in education from 4% of GDP in 2005 to an average of 4.2% of GDP during 2008–10, and improves the effectiveness of expenditures.

6.2.1 I-621: Appropriate budgetary resources allocated to the education sector (evolution of share of GDP allocated to education, and of share of education in public budget) between 2000 and 2007

The share of public expenditure on education varies considerably across countries, reflecting both the emphasis placed on education as a key factor for development and the difficulties in finding sufficient resources that are not lost in the system. In 1996, the Delors Report set a benchmark of 6% of GDP for public expenditure on education. However, in the sample countries, only *Botswana* (8%) and *Tunisia* (7%) are meeting this budgetary norm. Most countries spent only 3% of GDP on education, but the capacity of middle-income countries is obviously much higher – hence, 5% of GDP in *Mozambique* implies a much more restricted capacity for service delivery than a similar percentage for *South Africa* and the *Dominican Republic*.

Budgetary resources are based on domestic resources and depend on the level and capacity of the state in terms of tax generation and other resources, including budget support, which is reflected in the national budget. It is highly complex to fully assess modality mixes and their propensity for enhancing service delivery, including appropriate resource allocations. Nevertheless, it was found that GBS, through different modalities of Poverty Alleviation Budget Support, is helping to address budgetary requirements originating from the enrolment increase in LDCs in *Sub-Saharan Africa*. Even though this support seems to be essential for system survival, it does not in itself enhance conditions conducive to effective system delivery. The GBS support to the recurrent education budget especially covering teacher salaries is thus reflected in the tables below, e.g. for *Niger* and *Burkina Faso*.

The following tables depict the figures for public expenditure towards primary and secondary education. However, the information is relatively incomplete.

Table 33: *Public education expenditure as a percentage of GDP and a percentage of government spending (sample countries, 2000 and 2007)*

Country Name	As % of GDP		As % of Government spending	
	2000	2007	2000	2007
Asia				
Bangladesh	2	3	15	16
India	4	3*	13	
Indonesia	2***	3	11	18
Tajikistan	2	3		18
SSA				
Botswana		8		21
Burkina Faso		4		23
Mozambique		5*		21**
Niger	2***	3*		18**
South Africa	6	5	18	17
Uganda	2			
Latin America				
Argentina	5	5*	14	14**
Nicaragua	4		18	
Caribbean				
Dominican Republic	2	2	13	11
Jamaica	5	5	11	
ENPI				
Tunisia	7	7*	17	21**
Russian Federation	3	4*	11	
Fragile States				
Eritrea	3	2*		
Pakistan	2	3		11

* = Total in 2000

*** = Total in 2001

** = Total in 2006

Source: World Bank Edstats

Table 34: Share of public expenditure for primary and secondary education (percentage of total public education expenditure), sample countries (2000 and 2007)

Country Name	Year 2000		Year 2007	
	Primary	Secondary	Primary	Secondary
ASIA				
Bangladesh	46	36	46	41
India	38	40	35**	43**
SSA				
Botswana			28	44
Burkina Faso			59	16
Ghana			31***	39***
Mozambique			58*	29*
Niger	49*	24*	69**	22**
South Africa	46	31	42	33
Latin America				
Argentina	36	36	35**	40**
Caribbean				
Dominican Republic	55*		59	
Jamaica	311	34*	37	35
ENPI				
Tunisia	33	45	34***	42***
Fragile States				
Eritrea	27*	31*		20**

* = 2001

** = 2006

*** = 2005

Source: World Bank Edstats

Asia: In *Bangladesh* (sector support), *India* (sector support followed by SBS), and *Indonesia* (MDTF, sector support followed by SBS), the EC has complemented domestic resources for education.

- As the Country Note for *Bangladesh* indicates, the education sector budget accounted for 10% of the national budget in 2003/04 (Ministry of Finance, 2003). The total value of resources going into the primary education sector in 2003/04 was estimated at Tk 33 billion²⁴⁶, of which 61% is provided by government and 39% by private households.
- The *India* CSP 2008-2013 indicates that a major objective in the NCMP (National Common Minimum Programme) is the provision of universal access to quality basic education, while increasing the public spending in this sector to at least 6% of GDP, with at least half of this amount being spent on primary and secondary sectors. This would be a considerable increase compared to the period 1999-2001 when India devoted 4.1% of its GDP to education.
- Public expenditure on education in *Indonesia* has increased rapidly from 2.5% of GDP in 2001 to an estimated 3.5% of GDP in 2006. According to the PER spending on education is 16.5% of total spending, the highest share of any sector. Indonesia allocates 48% of total education expenditures to primary education. Sub-national governments are in charge of 70% of education spending but almost all goes into salaries (central government still dominates the investment budget). In 2001, 11% of the national budget went into education with a steep increase going up to 18% in 2007. In line with the agreement between the Government and House of Representatives, the budget target for education should reach 20% in 2009. Donor funding to the education sector in 2006-2008 amounts to almost USD 1 billion with a 62.6% share for basic education. It is worth noting that Indonesia suffered from a serious economic crisis in the year 2000. By 2006 (at the time of the CSE), the situation has been assessed as “post-crisis” and public investment reached pre-crisis levels of 7% of GDP.

Sub-Saharan Africa

EC support complemented domestic resources for education through different modalities and a mix of these. In *Niger* and *Ghana* this happened mainly through GBS, in *Tanzania* through sector support followed by GBS and SBS, in *Uganda* through SBS followed by GBS, and in *South Africa* (project support recently followed by SBS). For Sub-Saharan Africa overall, the share of education expenditure

²⁴⁶ 1,000 Tk (BDT) equivalent to € 11.18 (May 2010).

in relation to total government spending remains below the FTI benchmark of 20 % for all countries analysed, except *Namibia*²⁴⁷.

- In *Burkina Faso*, the share of Gross Domestic Product (GDP) allocated to education has slightly increased from 2.46 % to 2.84 % between 2001 and 2006 but remains far from the average of other countries in Sub-Saharan Africa (4%) and from the target of 6% set by UNESCO. However, the share of public expenditures in education on GDP per capita amounted to 4.3% in 2006 and represented one of the highest after Ghana. The financial resources in the education sector have been largely wasted in Burkina Faso, according to the RESEN²⁴⁸. It is also to be noted that 50% of the public resources in education go to the most educated, whereas in French and English speaking African countries in general it was respectively 44 % and 33 % on average.
- In *Ghana*, the education sector has seen a dramatic increase in resources between 2000 and 2005, growing in real terms by about 80%²⁴⁹. Its share of domestically financed discretionary expenditure has grown from 38.3% to 40.8% in the same time period. Actual expenditure as a percentage of GDP was 4.14% in 2000 rising to 5.24% in 2005.
- The Government of *Tanzania* allocates around 18-19% of its total annual expenditure to education. In recent years, the education sector's share of the total government budget has remained rather stable, varying between 18.8% in financial year 2006/2007 and 18.3% in 2009/2010. Tanzania stayed below the EFA target of spending 6% of GDP on education, even though it has increased from 5.3% to 5.8% between 2006/2007 and 2008/2009.
- Between 2005 and 2007, *Namibia* spent around a quarter of its total annual expenditure on education. This proportion is considerable even when compared with other governments in the region, such as the governments of Botswana and South Africa, where respectively 21% and 17.4% of total expenditure went to education in 2007. However, in Namibia the proportion of the budget that goes to education has gradually decreased over the last years, from 26.5% in 2005/2006 to 23.7% in 2007/2008. Reasons for this decline are not clear. Namibia reached the EFA GDP target by investing 6.5% of GDP in education in 2008²⁵⁰. This indicator does not appear specifically for the other countries in the ECA reports.

EC support to education in Namibia has been implemented through specific large scale projects under EDF7 and EDF8. Because of concerns over sustainability and in light with the GRN's efforts in developing a sector strategy, the EC decided to move towards SBS. The EC's actual contribution to education sector budget support constituted **0.8% of the total government expenditure on education in the financial year 2007/08**. This is not an "odd figure" and it stresses the need for modesty in attributing improvements in service delivery to EC support. Yet, in Namibia, as in most countries, EC support still "matters".

- In *South Africa*, 24% of the national budget was allocated to education; in the consolidated budget (including national, provincial and local Government), social services were allocated 48% of total resources, of which almost half for the education sector. Education expenditure rose only by about 20%, with some fluctuations, between 1995 and 2006 (in constant 2004 Rand). It should be noted that the recent (and largest ever) EC education SBS programme is only equivalent to 0.3% of the education budget. However, relative to the size of budgets for improving the quality of basic education, the potential impact can of course be much greater than this figure would suggest. In addition, according to the findings from field visits, the Norms and Standards for School Funding, that the EC supported, also assisted in improving resource allocations between schools and thus reducing inefficiencies and inequalities.

In terms of allocations to **the different sub-sectors of education**, if budgetary allocations to education are not meeting the requirements, it is clear that poor countries in particular cannot shift funding from primary to the secondary subsector (see also EQ3). Within their constrained budgets, the education budget does not even meet the needs of the primary subsector alone. In general though, allocations to primary and secondary are influenced by the enrolment and completion rate of primary education and those willing to progress to secondary education (subject to secondary education at a reasonable cost being available). When partner countries are still far from achieving universalisation of

²⁴⁷ According to the ECA report *Namibia*.

²⁴⁸ RESEN is a Country Status Report on a National Educational System [« Rapport d'État d'un système éducatif national »]

²⁴⁹ According to the evaluation of the MDDBS.

²⁵⁰ According to UNESCO Institute for Statistics.

primary education, they have to cope with population attrition, as well as reaching the out-of-school population. This puts a high claim on budgetary allocations for primary education, and hence a lower share is left for secondary education. In general, increasing the share of secondary education budget allocations might best be reached by reallocating from higher education budgets – especially in poor countries with low student numbers, and hence high per capita expenditures. In a pro-poor sector-wide reform strategy, such a resource shift would have to be justified by equity considerations.

In general, most countries, especially poor ones, have given priority to primary education, thus consuming the majority of the budget for education and neglecting secondary education, leaving a gap for the private sector. Private education is, in most cases, not government regulated, and hence does not cater for equity and pro-poor considerations in its provisions. In many countries, “primary education as a share of total expenditures” has increased steadily. Public expenditure per student in secondary education is generally higher than per primary student, which makes large-scale secondary education provision beyond the reach of most poor countries. However, systematic data across the sample study countries could not be compiled, given the scarcity of data (see table). Moreover, the high prevalence of private provision influences this figure.

This is described in detail for a number of countries below:

Sub-Saharan Africa

- *Tanzania* is the only country analysed²⁵¹ that reached the FTI target regarding the 50% share of the budget allocated to primary education. However, budget allocations for primary education in 2008 were 13% lower than in 2004²⁵². Moreover, in 2008 the budget share for secondary education dropped from 14.9% in 2004 to only 10.4%. On the other hand, the budget for University education has doubled since 2004. With its 26.3% share of the total education budget in 2008, the share for University education reached about 50% of the level of the primary education budget²⁵³.
- In *Uganda*, the share assigned to primary education has fallen from 20.6% in 2002/03 to 17.6% in 2006/07. The share for both secondary and tertiary education was increasing.

Caribbean

The *Dominican Republic* has benefited from SSP followed by parallel SBS and GBS. In 2005, the national budget assigned a total of 17.1 billion DOP (Dominican Peso) to education services (of which 15.3 billion to the Ministry of Education), which represents only 8% of the total budget and only 2.1% of GDP. The EC, through the PAPSE I project, channelled around € 54 million, out of which € 48 Million was direct budget support and € 6 million in Technical Assistance.

Table 35: Dominican Republic: Expenditure on education as a share of public expenditure

Macroeconomic data	2004	2005	2006	2007	2008	2009*
GDP*	777,187,546,430	884,938,976,486	1,018,564,760,000	1,327,087,525,000	1,550,000,000,000	1,643,191,306,350
Total Public Expenditure*	142,062,220,568	188,832,617,987	220,618,316,387	270,803,210,998	328,999,387,390	328,999,387,390
% of GDP	18.28%	21.34%	21.66%	20.41%	21.23%	20.02%
Expenditure in Education*	11,724,658,673	15,352,992,539	17,783,386,727	24,110,360,724	27,809,335,787	33,432,215,710
% of Public expenditure	8.25%	8.13%	8.06%	8.90%	8.45%	10.16%
% of GDP	1.3%	1.7%	1.8%	2.1%	2.2%	2.4%

* = Dominican Peso

Source: Data processing on the basis of National Budget Data

Latin America:

Nicaragua benefited from EC education sector support mainly through SBS and projects. Here, constant but slow progress has been made in relation to almost all quantitative indicators of education, and total expenditure increased significantly. Total expenditure on education increased from 3.6% of

²⁵¹ And for which data in the ECA reports was available

²⁵² As shown by the Education Sector Performance Report (ESPR) 2008/2009.

²⁵³ The government's focus has mainly been on the MDG-related enrolment in primary school and, according to ECA, is likely to be one of the reasons why the quality of education has been given a lower priority.

GDP in 2001 to 4.9% of GDP in 2005²⁵⁴ - both in absolute terms and as a proportion of GDP during the evaluation period. But this led to no significant improvement in access to quality education for all: there was no long-term positive movement in the quality indicators and some showed a clear deterioration. Neither was there any long-term increase in the share of education in the budget, at least until 2006. According to the 2009 CSE, “EC support to this sector, as well as that of other donors, could not reverse this trend and the results of activities undertaken in line with the “National Education Plan” supported by the EC were disappointing. This does not mean that EC aid to education through Budget Support was useless, nor that Budget Support was the wrong instrument. This aid may have avoided a further deterioration of the quality of education”. Among the reasons given for this judgement are:

- Some of the components on which PAPSE focused, such as support for teachers or for the Atlantic regions, suffered from problems which were already present before.
- It is difficult to attribute the successes or failures of a sectoral policy to budget support. An intervention such as PAPSE supported an institution, a policy and a reform. The successes and failures of these policies and reforms are not strictly attributable to budget support, even if policy dialogue between the GoN and donors (including the EC) meant that the education policy was donor-driven.
- The new government policy in education (2007) meant a change in education priorities and, following PAPSE I (2004-2006), PAPSE II (2007-2010) uses a modified matrix of indicators already adapted to the new sectoral plan (PDI), focusing exclusively on quality indicators, the number of which was reduced from 25 to nine.

European Neighbourhood

Tunisia benefited from two individual SBS support programmes, focusing on basic and secondary education sub-sectors, respectively. The country is allocating a large proportion of its Gross Domestic Product (GDP) and its public budget to the public funding of education. This share has amounted to more than 7% since 2003, significantly more than the share allocated by developed countries (5.5% on average) or by developing ones (4.5%). The same pattern prevails for the share of total public expenditure, where the share for education has increased from 17.4% in 2000 to 22.4% in 2007 – far above the 13% share observed in OECD countries (see following table). This means that EC support is only a small part of the total overall budget.

Table 36: Tunisia: Public funding of education

	2000	2001	2002	2003	2004	2005	2006	2007
% Share of GDP	6.8	6.8	6.4	7.5	7.5	7.2	7.1	7.2
% Share of public budget	17.4	18.2	16.5	21.1	21.3	20.8	21.5	22.4

Source: UNESCO

Fragile/failed states

The Government of Liberia (GoL) spends the lowest share of total government expenditure on education in comparison with the other countries for which data was available to ECA (i.e. all countries analysed except Uganda). Even if the total government expenditure for education has increased from USD 7.3 million in 2004/2005 to USD 23.3 million in 2007/2008, which reflected a general increase in total government expenditure, the share of education in the public budget remained around 10-12% between 2004/2005 and 2007/2008. In Liberia, some 29% of total public spending on education in the financial year 2007/2008 was spent on primary education, which is a considerably lower share than the 50% benchmark recommended by FTI. It is to be noted that during the financial year 2006/2007 the funds provided by the EC constituted some 2% of total government and all Development Partners (DPs) resources that went into the education sector. According to a 2008 education donor survey²⁵⁵, the EC contributed with the equivalent of USD 1 million (or some € 757,800) to the sector between 2004/2005 and 2007/2008 (in the financial year 2006/2007).

In Pakistan, in the EC SBS to the provincial government of Sindh and in the provincial government of the North Western Frontier Province, education expenditures as a percentage of GDP grew from 1.3%

²⁵⁴ GoN has signed an agreement with the IMF which assumes that the country will not increase its primary expenditures. In fact, education expenditures increased significantly during the period of analysis, but not more than the general budget of the central government, at least until 2006.

²⁵⁵ Public Expenditure Management and Financial Accountability Review (PEMFAR) 2008, Liberia, Poverty Reduction Economic Management Sector Unit (PREM 4) Africa Region Report No. 43282-LR, June 2009

in 2000/01 to about 1.8% in 2007/08²⁵⁶, a share that is low compared to other countries. However, education is a provincial and district responsibility, hence what matters are increases in the provincial budget. Along these lines, the First Year Compliance report of the Sindh Education Reform Programme noticed that in 2006/07 the education budget as a percentage of the Provincial Domestic Product increased to 1.44% from 1.23% in 2005/06. The overall education budget increased from Rs 27.3 billion in 2005/06, to Rs 34.7 billion (Budget) in 2006/07 – i.e. by 26%. This means that the effect of the combined EC SBS, World Bank investment credit was visible in increase in education budget and share of the budget for the districts.

6.2.2 I-622: Education MTEF or the like operational

A medium-term expenditure framework (MTEF) is an integrated approach to policy, planning and budgeting. It consists of: a top-down estimate of aggregate resources available for public expenditure consistent with macro-economic stability; bottom-up estimates of the cost of carrying out policies, both existing and new; and a framework that reconciles these costs with aggregate resources. It is called “medium-term” because it provides data on a prospective basis, for the next two to five budget years. MTEF is a rolling process repeated every year, and aims to reduce the imbalance between what is affordable and what is demanded by line ministries. It does this by bringing together education policy-making, planning, and budgeting early in the budgeting cycle, with adjustments taking place through policy changes. It involves building domestic macro-economic and sector modelling capacity. Also, even if the whole of the government’s budgeting system is not working well, a single sector (e.g. the education sector) is better off managing itself with a medium-term perspective.

An operational and appropriate education MTEF can, therefore, improve budget formulation and allocative efficiency, but for it to be useful it is necessary that there is sufficient forecasting capacity, and that revenues and expenditures are estimated with a reasonable degree of accuracy. The existence of an operational education MTEF is important in order to link allocations to priorities, as determined by PRSP and education sector plans. MTEF is one of the conditions in the World Bank Country Financial Accountability Assessment (CFAA) that is often consulted in preparatory work by the EC before initiating GBS.

After a costed PRSP, MTEFs constitute the “next step-up” in the development of a results-based programming and planning framework. Everywhere, processes aimed towards increasing budget transparency are taking place, but MTEFs are in different stages of development and implementation. In many countries, including *Niger* and *Burkina Faso*, working out the details of the operationally-demanding MTEFs has at times met with considerable challenges. Experience from the sample countries shows that the existence of an MTEF does not guarantee its actual significance in budgeting or activity planning. Challenges can arise from low country ownership of the documents – that is, when the MTEF is not sufficiently integrated into the planning and budgeting procedures of the partner country, as is the case in *Vietnam*. Adequately linking the MTEF to sector plans and policies is another challenge (e.g. in *Ghana*). The significance of the MTEF can also be reduced if alternative funding sources provide considerable financing outside of the expenditure framework, or if funding – particularly donor funding – remains unpredictable.

The MTEF mechanism worked reasonably well in only a minority of the sample countries. In *Tunisia* and *South Africa*, in particular, the MTEF helped to increase efficiency of sector spending, in both cases with EC support. For the Sindh SBS in *Pakistan*, the Country Note indicates that while no MTEF was operational during the period under evaluation, a Medium-Term Budgetary Framework (MTBF) was being developed. Here, the EC TA is involved in reviewing the budget, among other things, in order to monitor additionality.

However, it is not solely the responsibility of the partner countries to ensure that the conditions are in place for MTEFs to function well. Donors must ensure that they play their part in creating an enabling environment for sound financial planning in the sector. Aid predictability has been proved to be an important factor in this regard (e.g. in *Niger*).

MTEF implementation is not seldomly faced with constraints. In many countries, including *Niger* and *Burkina Faso*, working out the details of the operationally demanding Medium Term Expenditure Frameworks (MTEFs) has met with at times considerable challenges. Experience from the sample countries show that the mere existence of an MTEF does not guarantee its actual significance in budgeting or activity planning. The significance of the MTEF can also be lowered, if other alternative funding sources provide considerable financing outside of the expenditure framework, or if funding, in

²⁵⁶ For more details, see Country Note on Pakistan.

particular donor funding, remains unpredictable. The MTEF mechanism worked reasonably well only in a minority of the sample countries. In particular in *Tunisia* and in *South Africa*, the MTEF helped to increase efficiency of sector spending, in both cases with EC support.

It is not solely the responsibility of the partner countries to ensure that the conditions are in place for MTEFs to function well. In addition, donors have to ensure that they do their part in creating an enabling environment for sound financial planning in the sector. Aid predictability has been proven to be an important factor in this regard (e.g. in *Niger*).

Many countries are developing approaches towards education MTEF. Some examples are given below:

Asia

- In *India*, the education plan linked to the five-year plan is acting through the AWPBs as an MTEF. The GoI is striving to raise public expenditure on education to 6% of GDP. DPEP and Sarva Shiksha Abhiyan²⁵⁷ have contributed to drastic mindset transformations of central, state, district authorities and development partners going down to communities, parents and teachers. The EC, through a process of patient dialogue in contrast to the hard negotiation approach of the World Bank, has significantly contributed to this transformation process and mindset. Indicators on agenda setting, resource allocation, policies and politics are not made to measure but may, in the long run, drastically change and improve education in Indian society.
- In *Indonesia*, the MTDP aims at the decentralisation of governance and management of the education system, and at improving access and quality. It is considered to be a very innovative approach. Moreover, a sound education sector plan, RENSTRA Pendidikan, 2005-09, is in place.
- In *Vietnam*, an MTEF for the education sector was non-existent until 2008, when such a framework was drafted with strong support from the World Bank. Alarming, according to the CSE, there have been no signs of ownership of the MTEF by the GoV, and it is neither used in the planning of the budget for the education sector, nor for the planning of activities. This is understandable, and was predicted by the Vietnamese education experts working with the 2003 identification and formulation mission for EC support to the Ministry of Education and Training. Indeed, MTEFs need to state data for two years ahead, and inevitably one or two years can be part of a plan period that has not yet been officially approved and promulgated. It is the prerogative of the Party Congress and Party Chairman to approve and announce the content of a new five-year plan, and no civil servant can put data that has not yet been approved in an official document. An MTEF containing such data is therefore merely a document intended to satisfy donors for the purpose of grant or loan negotiations. It cannot be an officially approved and “owned” document.

Sub-Saharan Africa

- In *Botswana*, the sector still lacks a formal document which has the quality of a sector management plan. The absence of this tool contributes to the relatively poor output of the education system in relation to the immense amount of money invested. EC support to improved sector management only started in 2006/2007. Among first activities were a “Management and Organisation Review” and an Education Public Expenditure Review (EPER) The development of an EMIS and of a new inspectorate framework remains behind schedule. Sector monitoring has been improved by introducing “flash reporting”. As a result, some up-to-date key information on sector performance was available in 2008 for the first time.
- In *Burkina Faso*, the government invested in building education sector planning and management capacities²⁵⁸. The formulation of the sectoral MTEF for “Basic Education” 2006–08 included the definition of central and regional appropriation ceilings for the preparation of 2006 action plans. Substantial support was given by DPs to the Ministry of Basic Education and Literacy Training (MEBA) to update its sectoral MTEF, and to the Ministry of Secondary and Higher Education and Scientific Research (MESSRS) to develop its own sectoral MTEF.

²⁵⁷ The Government of India's flagship programme for achievement of Universalisation of Elementary Education.

²⁵⁸ Annual Progress Report of the PRSP implementation 2006.

- The introduction of the MTEF in *Ghana* was seen as impressive by any standard, as reported by a number of international observers who visited the country during the period 1998-2000. The major achievement was that, in its first year, all the Ministries, Departments and Agencies (MDAs) were able to produce a three-year integrated broad-based budget. Every MDA has a mission statement, objectives, outputs, activities and input costs, which are summarised in the "Medium Term Expenditure Framework, Annual Estimate" for each MDA. However, the effective use of this framework by MDAs is still unsatisfactory. The information required is presented in a cumbersome way, which substantially reduces the practical usefulness of the framework. Also, MDA budgets contain additional two-year forward estimates. According to the 2007 MDDBS evaluation, the configuration of funding in the education sector makes it very difficult to link expenditure to plans and policies. The Education Strategic Plan (ESP, 2003-15) guides sector plans and policies, providing the basis for Annual Education Sector Operational Plans. These are three-year rolling work plans that list costed activities within the strategic framework. The ESP has been specifically designed to link with the MTEF budgeting and planning process, but the most significant cost drivers of the education sector – wages and salaries – are excluded from the MTEF.

Arguably undermining the efficiency of the education MTEF in Ghana was the existence of a government Education Trust Fund that was outside the MTEF. This fund is fed by a transfer from the VAT (Value Added Tax) revenues, equal to one-fifth of the VAT. In fact, the board of the trust fund has allocated most of it to secondary and higher education, and not to basic education. As a consequence, the inclusion of the trust fund in the MTEF would undermine poverty reduction indicators, insofar as basic education is supposed to accelerate poverty reduction, while secondary and higher education have more benefit to middle income and higher income households. This does not necessarily render the MTEF exercise inefficient, but points to the need to evaluate each MTEF according to the context²⁵⁹.

- In *Niger*, the Programme Décennal de Développement de l'Éducation (PDDE) emphasises education for all at the primary level. According to the Country Note, an MTEF for the Ministry of Basic Education has existed since 2005, covering the period 2005-07. It was considered as having a low operational value, insofar as non-salary expenditure (badly needed) was on the decline. It has been developed with respect to PDDE implementation, which depends very much on donor contributions. Given the fact that, since 2006, the predictability of donor disbursements has deteriorated, the value of the MTEF as a medium-term programming instrument is limited. It is surprising to find that it is rarely mentioned in most policy documents related to education. The management of public finance by the Ministry of Economy and Finance is currently based on the PEMFAR approach, which has become the principal instrument for the reform of public finance management. The analysis made by the Country Note concludes that it might be assumed that the MTEF is aimed at showing a high level of needs in order to generate higher commitments from donors, but this possible expectation was not met.
- According to the Country Note for *South Africa*, the education sector has benefited from the introduction (in 1995) of an MTEF, which has improved financial planning and budgeting, as well as enhanced predictability and accountability. The mechanism of multi-year strategic planning linked to the education MTEF appears to work effectively for resource planning and allocation. South Africa's educational challenges are thus not solely about increasing allocations, but rather about using allocations more effectively.
- In *Tanzania*, the Education and Training Sector Development Programme reflects GoT's priorities and sector needs. It is considered an essential part of the public sector reform agenda laid down in the MKUKUTA (National Strategy for Growth and Reduction of Poverty) that set specific operational targets for ensuring equitable access to quality education.
- The PEFA report 2008 for *Uganda*²⁶⁰ confirms the existence of an MTEF providing medium-term estimates for sectoral expenditure. For the current and projected expenditure in each sector, it provides the breakdown for a few main activities. It also provides a breakdown on wages, non-wage recurrent expenditure, domestic development expenditure, and donor-funded development expenditure. Budget Sector Working Groups meet every two months to discuss their respective strategies, objectives, and activities within the targets they have been given. Their work should include medium term estimates; but given the instability of resource projections, they plan only one year ahead. Some sectors, such as health and education, have

²⁵⁹ See e.g. ODI's MDDBS evaluation.

²⁶⁰ The Republic of Uganda (2009): Public Financial Management Performance Report 2008.

undertaken ten-year costed strategies, and these are being updated on a five-year basis, with the intention of including them in a new National Development Plan. The plan for education is a fully costed strategy. Already in 2004, education sector policy processes and associated dialogue processes were “*particularly well-developed*”²⁶¹.

The Caribbean

- In the *Dominican Republic*, SEE (now MINERD) drafted the Ten-Year Plan 2008-2018, which has started to be implemented through a Strategic Plan 2008-2012. This plan includes indicators and investment goals for the initial 4-year period. This process has been widely supported by the EC-financed PAPSE Technical Assistance Unit with specific intervention, production of technical inputs and day-to-day assistance. Moreover, the TA has produced an MTEF-like document, likely to encourage and stimulate cooperation within the Ministry and across the Ministries involved in education development over the period 2008-2012. This document is prominent component of the Strategic Plan for Education Management 2008-2012.

European Neighbourhood countries

- In *Tunisia*, an MTEF (CDMT = cadre des dépenses à moyen terme), covering the period 2006 – 2009, was developed in 2006, with the help of EC-funded TA. The framework was updated in 2008, for the period 2009-2012. This also illustrates the fact that public funding of education in Tunisia is managed quite efficiently, at least at the central level. Budgetary provisions correspond to the education policy that is implemented, and the quality of execution is remarkable, with execution rates of between 98% and 100%. From this point of view, the rationale for sector budget support selected by the EC as the unique modality is completely justified.

Fragile/failed states

- In *Eritrea*, there exists an Education Sector Development Plan (ESDP), which became the basis for an ESDP programme linked to which the EC provided support. Consequently, the ESDP programme has never been formalised by the Government of Eritrea.
- The Country Note for *Pakistan* reiterates that the government of Sindh province approved an MTFF for FY 08 - FY 10, including increases in its own resource revenues and projections of PRSP expenditures to increase by 90% over four years. While no MTEF was operational during the period under evaluation, a MTBF was being developed. It should be noted that the EC TA to Sindh SERP is well involved in reviewing the budget, among other things, in order to monitor additionality.
- Starting in 2005, the EC has pursued a SWAp approach in *Somalia*, in partnership with DfID and Danida. In late 2006 the Ministry of Education’s Director General identified the need to include legislation and a regulatory framework in order to have a ‘three-legged stool’ held up by an act, policy and strategic plan. By the end of 2008 Somaliland published its education policy and its first ever strategic sector plan.

As shown, specific education sector MTEFs, or broader MTEFs also encompassing the sector, are found in many countries benefiting from EC support.²⁶² In some instances, they are an integral part of the budget support provisions, such as in *Botswana, Ghana, and Tanzania*. In general, the introduction of MTEFs has been seen as a step towards improving efficiency, but is conditional on supplementary actions. Thus, in Tanzania, the government argued in 2004 that the unpredictability of donor funds was a major impediment to operationalising the MTEF.

The field visits provided some evidence that education MTEFs often do promote more allocative efficiency of resources (e.g. in *South Africa, the Dominican Republic and Tunisia*), and the EC has also provided assistance to their development in many cases, such as *Pakistan* (at provincial level), the *Dominican Republic and Tunisia*. However, in some cases, the shift from SBS to GBS has also meant that planning became slightly less predictable as there was no countrywide MTEF, as was the case in the Dominican Republic for instance. An even worse example is the education MTEF in *Niger*, which was of very limited operational use, partly due to donor (including EC) funding being outside the framework, which obviously did little to promote the efficient sector-wide allocation of resources.

²⁶¹ Country Report Uganda of Joint Evaluation of General Budget Support.

²⁶² While the presence of an MTEF has a strong influence on the EC’s decision to fund a sector, this has now been relaxed considerably. See e.g. the most recent SPSP guidelines.

Nevertheless, the overall picture is one that confirms the usefulness of MTEF as an efficient allocative mechanism, especially if it is domestically owned and encompasses all resources to the education sector.

6.3 C63: Evidence of linkages between education sector reform and broader national reforms; decentralisation, civil service reform and public finance management reform

Decentralisation and deconcentration of administrative responsibilities shift the financial and implementation powers from the central level to the district and sub-district levels. In general, sub-national governments are in charge of basic education, which engenders the largest part of education spending. But in many partner countries, the largest share goes into salaries. Civil service reform is essential in order to improve the working conditions of teachers and these conditions need to be in line with broader reforms for civil servants as a whole.

In several countries (*Indonesia, Tanzania, Uganda*), the EC, in the framework of preparations for budget support or in implementing programmes linked to this support, has assisted partner countries in creating systems, procedures and establishing Minimum Standards of Services (MSS). In most countries though, the devolution process is faced with delays and sometimes obstructions from the government. An additional constraint relates to the responsibility for decentralisation, often vested in the Ministry of Interior. Several EUDs (e.g. *Indonesia*) are represented in Decentralisation Working Groups with the representation of donors and headed by the Ministry responsible for decentralisation.

6.3.1 I-631: Decentralisation caters for education sector requirements

The desk and field phases produced some examples of the role that decentralisation can play in accommodating education sector requirements:

Asia

- In *Bangladesh*, the 2008 MTR noted progress in the decentralisation of responsibilities and authority in the areas of procurement, financial management, and planning to field level operations to support the implementation of PEDP-II. The report recommended that the proposed decentralisation process should be accompanied by appropriate capacity building and staffing at the local level and that the devolution plan needed to be approved as a priority. The MTR also noted that the School Level Improvement Plans (SLIP) process should be scaled up to empower the head teachers (see Country Note). The EC, through its support to PEDP and its key role in monitoring the programme through JRMs, has contributed to keeping local democracy on the overall agenda.
- In *India*, the EC, through its support to DPEP and Sarva Shiksha Abhiyan, in co-operation with development partners has assisted the Gol in launching, delivering and resourcing wide-ranging and complex education sector programmes, centrally co-ordinated and managed and implemented at State, district and sub-district levels by local Panchayati Raj Institutions (PRIs) such as VECs and SMCs, Parent-Teacher-Associations, down to the school and its teachers. The EC, in these programmes, has placed a particular focus on the need to empower PRI institutions.
- In *Indonesia*, during recent years, decentralisation policy has been further operationalised in terms of decrees substantiating operational standards. Guidance is being provided for Line Ministries in developing Minimum Service Standards (MSS) and establishing targets based on the capacity of the region. MSS are at present being prepared with Bappenas, the Ministry of National Education (MoNE) and the Ministry of Home Affairs (MOHA) involvement, in order to reach a costing and budgeting base for Free and Compulsory Nine Year Basic Education. Capacity building for MSS is the key focus of the ADB implemented EC Trust Fund Basic Education-Sector Capacity Support Program (BE-SCSP), component 1. The Basic Education Capacity Trust Fund (BEC-TF) is also concentrating on capacity building. BE-SCSP 1 laid the foundation for the expansion of BE-TF to 10% of the Indonesian districts.

Sub-Saharan Africa

The example of *Tanzania* shows that public sector reform can result in the decentralisation of responsibility for the implementation of primary education; the functions of the central MoEC are now confined to policy making. However, the complex procedures introduced seemed to be take time to be understood and to be implemented effectively and efficiently at the local level.

In *Uganda*, EC **GBS** was able to facilitate an increase in funding of Local Government services and service delivery down to the schools, by enhancing local government accountability to the local community. This was particularly the case in the areas covered by the Performance Assessment Framework (PAF), which would not have happened to the same extent with alternative aid modalities. The combination of GBS, the PAF (Performance Assessment Framework) ring-fencing of funds, the education SWAp and the inter-governmental fiscal transfer system provided both sector ministries and donors with sufficient confidence that funds will be channelled through the Local Governments towards service delivery.

Caribbean

In the *Dominican Republic*, the decentralisation process has produced important results in terms of effectiveness of public expenditure²⁶³, increased ownership of and community participation in school management, running and maintenance, and of social/institutional mobilisation in support to education. It is a situation where the application of the principle of subsidiarity has shown to work well as an important component of democratisation and participation. In some cases, lessons learned from the education sector have spontaneously been transferred to other sectors by the involvement of Local Authorities (Alcaldes). The decentralised procedures being used to implement IADB financed operations are currently subject to a scaling-up process at district and regional levels.²⁶⁴

Although this is not a result of EC support but rather a product of national efforts, it could be mainstreamed in the EC's forthcoming support to the decentralisation of education.

European Neighbourhood

Tunisia has a long tradition of centralisation, including also the education sector, which was managed from the centre up to the 2000s. In fact, a centralised mode of management seemed to be applied in the education sector even at the time of this evaluation. This notwithstanding, according to the Country Note, the EC promoted decentralisation as part of its support to basic and secondary education. However, in a first phase, this was more a process of "déconcentration" - the Regional Directorates (*Directions Régionales*) apply the national policy without significant decision-making initiatives. However, the Regional Directorates have increasingly been able to develop their own regional plans, and at the school level, the "projets d'établissement" have flourished. Quite recently, a new step has been taken by the government to upgrade the status of the Regional Directorates. It is still too early to evaluate the impact of this reform, but one can reasonably assume that it will enhance the role and responsibilities of stakeholders at the local level. This reform cannot be directly attributed to EC support for basic and secondary education, but a claim could be made that the seeds have been sown by the EC.

Fragile/failed states

In *Pakistan*, the EC has supported a process of devolution to Sindh province and its 23 districts. While in theory the roles and responsibilities have been clearly articulated in the Sindh LGO, provincial governments have not divested some of the functions that fall within the domain of the district governments. Local Governments also face constraints related to the lack of an appropriate mix of skills required to fulfil their mandates. In the decentralisation process in Sindh, district managers have to cater for education sector requirements, and Financial Management Systems also need to become operational at the district level.

The objectives of EC support to the SEPSP are to yield improved governance and capacities of provincial and district governments to plan, implement and account for the delivery of education services, i.e. improved quality of district education planning and budgeting of resources at all levels. In a step-by-step approach, following annual action plans linked to the Policy Matrix, the EC is assisting the GoS in meeting the education sector requirements imposed by decentralisation. Already in its first year of implementation, the EC SEPSP was accommodating its district focus as shown in the compliance report in a systematic way. It might be expected that through setting Disbursement Linked Indicators (DLIs) related to decentralisation and the decentralisation of SEMIS in District Education Management Information Systems (DEMIS), devolution can become operational in Sindh with EC support as highlighted below.

²⁶³ There is empirical evidence that investment costs are reduced by 30 to 50% through budget transfers to "Juntas Escolares"/School Councils.

²⁶⁴ Information emerged in the group interview at the OCI Oficina de Cooperacion Internacional MINERD and in the visits and focus group with local authorities, technical assistants and members of the local "Juntas" in Altamira District, north-east of the country.

How to make the devolution work is the challenge of EC support to Sindh. Already the QSG 2 of August 2005 noted the following on the EC's involvement in an emerging devolution process:

Box 37: *Statement in the QSG 2 on the EC's involvement in an emerging devolution process*

The local political and administrative situation is complicated: the Government of Pakistan is currently still implementing its devolution process transferring powers from the federal to province and district levels; and corruption is wide-spread in the Sindh province.

AIDCO/E/3 added the following risks:

"1. Risks of incompatibility and incoherence:

- Vertically, between provinces and districts: These are not only political and administrative risks (political or bureaucratic blockages), but also risks in terms of institutional and technical capacity. The Programme will develop capacity at the central level (Province), possibly without giving to the Districts the (...) capacity to effectively respond to the Programme's levels of requirements;
- Horizontally, between the districts: The Programme risks to favour the "best" districts, the most efficient ones, i.e. the most developed, and thus increase the regional disparities." (own translation)

The EC's support to SEPSP is to yield improved governance and capacities of provincial and district governments to plan, implement and account for the delivery of education services, i.e. improved quality of district education planning and budgeting of resources at all levels.

In a systematic way, actions are planned each year, related to the four pillars of the SERP/ Sindh Education Sector Development Policy Credit (SEDPC) programme. These are included in the policy matrix and constitute annual DLIs, based on which tranche release is effectuated. In this manner, already in its first year of implementation, the EC's SEPSP was accommodating its district focus in a systematic way, as shown in the first year compliance report. The First Year Compliance Report highlights several accommodations made during the first year, including:

- District Government Budgets prepared based on a new accounting model;
- Guidelines issued to districts to prepare prioritised school infrastructure improvement plans as the basis for partnership agreements with districts to ensure that each completed school will be operational.

6.3.2 I-633: Financial Management System operational and I-632: Civil service reforms enable increase in teacher salaries or, awaiting such reforms, incentive payments are granted for teachers in hardship posts

The EC has hardly touched upon highly complex endeavours in any country to achieve civil service reform to improve the working conditions of teachers. Teachers often constitute the largest category of civil servants and improvements both in salary and working conditions impinge strongly on the recurrent budget for education which is, in many cases unaffordable (under present economic conditions of austerity). Still the EC, through both GBS and SBS, has assisted partner countries in accommodating insurmountable budgetary pressures of the enrolment increase and the expansion of the scope of schooling to reach out to remote areas. This is dealt with in EQ2-JC24, EQ4-JC44 and in JC62.

In preparing for budgets, EC GBS especially but also SBS, supports the setting up of financial management systems and in the case of SBS, which links financial reform to education reform, form part of the standard reform package and this facilitates MTEFs becoming fully operational.

These have included reforms on public financial management, procurement and these reforms require functioning FMIS. Generally, these reform measures have ensured a high degree of fiscal integrity and robustness and have created conditions for decreasing levels of corruption in both the education sector and the wider public sector.

Asia

- In *Indonesia*, several of the necessary conditions for EC engagement in a SWAp were already met or were in the process of being met. This included stable macro-economic conditions, a relatively robust budget, draft Medium Term Development Plans and a draft Medium Term Expenditure Framework (MTEF) and a sound education sector plan²⁶⁵. RENSTRA Pendidikan, 2005-09, had been approved and a draft education sector MTEF had been prepared and was under revision. However, some public financial management reform conditions were not yet met at this stage, including; an adequate financial management system (FMS) for transparency and ac-

²⁶⁵ According to the appraisal mission to the BE-SCSP2 (2004).

countability in governance and the management of basic education (especially at the district level), district-based MTEFs, a government commitment to governance, budgeting, and financial management reforms. These measures have culminated in the BEC-TF, through EC support.

Sub-Saharan Africa

Reforms are currently being implemented in the PFM systems in *Niger* and *Burkina Faso*. In Burkina Faso, the PEFA (Public Expenditure and Financial Accountability) assessment concluded that some weaknesses remain in PFM. It should however be noted that PEFA is a general assessment and does not include any specific remarks on the education sector. In Niger, the PIMAP programme (Programme Intégré de Modernisation de l'Administration Publique) adopted in 2007, constitutes a global framework towards 2015. Niger's Ministry of Finance is implementing the rules elaborated by the PEMFAR, but the level of execution is still unsatisfactory, especially in education. On the other hand, the level of predictability of donor contributions remains weak, with delays regularly observed due to the incomplete production by the Ministry of required documents. Here, an audit on public procurement (2003- 2004) has been realised with financial support from the EC.

In *Ghana*, EC support in the area of macroeconomics has contributed to improving the public financial management capacity of the country²⁶⁶. The overall scope and number of reform actions which have been implemented between 2003 and 2006 is thought to be "exceptional"²⁶⁷ and suggests a Government commitment to an effective PFM system. On the other hand, implementation of the reform has been slow and there are signs that political commitment is varying²⁶⁸. Moreover, despite the considerable number of measures, the reforms have had limited impact to date on the actual performance of the PFM system. This may be seen from a comparison of the 2006 PEFA, with the 2001 and 2004 Heavily Indebted Poor Country (HIPC) Expenditure Tracking Assessment and Action Plan. The problem of large deviations between budgets and actual expenditures seems to have persisted. The lack of progress is partly attributable to underlying weaknesses in the civil service and partly to the long gestation period, which institutional PFM and systems reforms necessitate. In addition, the MDBS evaluation finds that mistakes have been made in reform choices and in their sequencing – notably in the almost exclusive emphasis on long-term systems development and the limited attention given to improving budgetary formulation procedures²⁶⁹.

For *Namibia*, the PFM system is deemed to be robust and current practices seem to ensure that the Ministry of Education benefits directly from the EC's SBS PFM system²⁷⁰. Several subsequent assessments and audits, including reports by the Office of the Auditor General, have verified the robustness of the Public Expenditure Management (PEM) / Public Financial Management (PFM) system in general and of the education sector in particular. The GRN's current practice of earmarking the funds from ESP budget support for the Ministry of Education ensures that the EC's education focal sector benefits directly from the support.

In *South Africa*, there have been a plethora of public sector reforms and public financial management reforms that have impacted on the education sector²⁷¹. These have included reforms on public financial management, procurement, human resources management and decentralisation to educational districts as sub-units of provincial departments. Generally these reform measures have ensured a high degree of fiscal integrity and robustness, with comparatively low levels of corruption in both the education and the wider public sector. However, during the period under evaluation, the EC has played merely a marginal to non-existing role in most of these initiatives, which have been mainly driven by domestic actors.

Governmental financial processes in *Tanzania* suffer from a number of weaknesses, including errors identified by the Controller & Auditor (CAG) General of Tanzania²⁷². It was estimated that these weaknesses amount to 7% of GoT spending. The audit was carried out in June 2006 within the framework of the group for Harmonisation in Overseas Audit Procedures (HOAP), which comprises the external

²⁶⁶ Already indicated in 2005, by the Country Strategy Evaluation (2005)

²⁶⁷ MDBS evaluation of 2007

²⁶⁸ The MDBS evaluation (2007) therefore concludes that there is both "progress and stalling" at the same time related to PFM.

²⁶⁹ MDBS evaluation (2007).

²⁷⁰ Based on information from the ECA report on Namibia.

²⁷¹ Please see the Country Note on South Africa for details.

²⁷² According to a report on a 2006 joint pilot audit by ECA and the National Audit Offices of Finland and the UK.

auditors of organisations which provide official aid. While the National Audit Offices of Finland and the UK, on the basis of a joint audit, concluded that “*against the background of a developing country within acknowledged weaknesses [...] there was sufficient evidence to support the financial discharge of PRBS grants made in 2004-05 in their respective donors’ accounts*”, the ECA involvement in the pilot audit was not intended to produce an audit opinion and it did not draw similar conclusions. The risk of official corruption was highlighted several times in the report.

In *Uganda*, structures and processes that work are: the Integrated Financial Management System (IFMS) and the education sector review process. Key instruments are the Education Sector Consultative Committee (ESCC) of which the Education Funding Agency Group (EFAG) is an active member. Six-monthly and yearly reports include detailed work plans and show progress made. However, according to the ECA report, the Annual PFM Reports from 2009 produced by the EUD observed that the Financial Management and Accountability Programme (FINMAP) had not adequately addressed key PFM priorities and that its impact had therefore been limited. Uganda having obtained several rounds of GBS had thus obtained EC support in establishing these systems.

Caribbean

In the *Dominican Republic*, the Financial Management System has been prepared with the support of the EC. As a consequence of the mid-term review of the 9th EDF (2000-2007) the EC decided to re-direct funds to strengthen the Public Financial Management System, considering that the management of public finances showed a series of dysfunctions at the organisational, methodological, legislative and human resources levels. There also is evidence that these reforms in the education sector are linked to the broader national reform of public financial management in the country²⁷³. The PFM legal system was completely changed between 2006 and 2007 with the approval of a series of laws reforming key functions and creating new institutions. However, the effective implementation of this new regulatory framework has been slow. Tangible progress has been made in the areas of public procurement, extension of the new integrated financial management system or reform and consolidation of the Single Treasury Account. However, there are still major fields, especially the one of external controls (National Audit Office, Parliament), with limited signs of improvement.

The EC supported efforts to increase the effectiveness of budget support, by providing institutional support to the public financial management system via the 9th EDF PAIGFP 9 ACP DO 11 from 2006 to June 2010. In the 10th EDF, the PARAP programme will support public administration reform, mainly the full implementation of a merit-based public career system. Also, in February 2010, assisted by the EC, the preparation of a strategic institutional plan for the Ministry of Finance was officially launched. A new baseline will be established by an external PEFA assessment by mid-2010 with data from 2007-2009 fiscal years (thus incorporating the important reforms carried out in 2009), which will allow for the monitoring of further progress in this area.

Fragile/failed states

PFM reform in *Liberia* is still at an early stage and has not yet been formalised, nor had any tangible effects on the MoE been observed. The 2008 PEMFAR (Public Expenditure Management and Public Accountability Review), concluded that the overall PFM system was weak and a 2009 ROM report on the MoE stated that: “*Little progress is expected in the reform of the MoE or in public finance management*”²⁷⁴. However, it should be noted that a comprehensive Civil Service Reform Strategy (CSRS) launched in 2008 is under implementation.

As for *Pakistan*, in the decentralisation process in Sindh, district managers have to cater for education sector requirements, and Financial Management Systems also need to become operational at the district level. This has been supported through EC SBS SEPS.

²⁷³ The EC GBS support in the Dominican Republic is geared at: a) supporting DR government efforts at achieving the MDGs through the proper implementation of its National Development Strategy; b) contributing to progress in public financial management (PFM) reform and stronger accountability in this field through the selection of specific PFM performance indicators to base variable tranches disbursements and the strengthening of the PFM coordination group which will monitor progress against a PFM reform action plan; c) contributing to alignment and harmonisation processes in DR in line with Paris Declaration objectives through the creation of a joint budget support group comprising the EC, the WB and Spanish cooperation; d) contributing to the effective implementation of the Government’s strategies concerning Sustainable Development and specific health and education sector policy targets by providing additional resources and an increased focus through variable tranches

²⁷⁴ According to the ECA report on Liberia.

6.4 JC64: Increased capacity for addressing education reform and management issues

Sufficient in-country capacity is required to deal with complex matters of education reform and management. In order to assess the prevalence of sufficient capacity, this section examines three indicators:

- I-641: Increased competencies for performance measurement of education in a timely manner, at relevant levels (e.g. at national statistical service and of central and sub-national planning unit staff on Education Management Information Systems - EMIS)
- I-642: Increased competencies for financial management and internal auditing
- I-643: Training on policy analysis for national and sub-national staff

Considering that the concepts touched on by these indicators are all closely related, it was decided to address them all jointly in the paragraphs below.

Capacity building is a common element in EC-supported education programmes, across modalities and regions. One of the most common and also one of the most successful, types of support is the development of Management Information Systems for the education sector (EMIS.). EC-supported programmes have promoted the development and use of these tools in many of the partner countries across different regions. In *Asia*, EC support to sector programmes has helped countries such as *Bangladesh* (PEDP II) and *India* (DPEP 1) to improve their EMIS systems, which has improved the availability of data for sector planning, monitoring and evaluation. The *Dominican Republic* also is pursuing the establishment of such a system with EC assistance. In other cases (e.g. *Tunisia*), the promotion of the concept of MIS in the education sector has at least increased the willingness of the partner government to consider such a project. Also, in fragile states, such as *Pakistan*, the EC support – jointly with the World Bank through the SBS – for the provincial government of Sindh has enhanced the further development and capacity building of provincial and district staff through EC TA capacity building, in co-operation with World Bank and USAID. Training of staff at all levels (i.e. centrally and decentrally) is intended to ensure the adequate use of the EMIS tools. However, challenges to the successful implementation of these tools can stem from over-complicated systems and software that impede the actual use of the database by target groups (e.g. in *Vietnam*).

The EC has been comparatively less successful in supporting reforms of existing administrative structures in Ministries of Education – that is, outside the fairly well-delineated area of MIS. In *Burkina Faso*, for example, a broad programme to provide institutional support to the Ministry of Basic Education was not implemented, partly because the development of a ministry-owned plan for capacity building was so delayed that unused funds had to be decommitted after three years. In *Namibia*, the functionality of a general Institutional and Capacity Building Support Facility was also negatively affected by the lack of a sufficiently detailed strategic vision for capacity development in the Ministry, and intermittent lack of funds. In other countries, such as *Liberia*, implementation problems have often also been caused by over-optimistic assessments of the prevalence of necessary prerequisites for reforms, and, linked to that, over-ambitious timetables for the changes – often coupled with insufficient resourcing.

A related challenge for the EC has been to ensure that partner governments feel that they have the level of ownership of the reforms that is needed to push institutional changes forward. Lack of ownership has led to cancellations, or at least delay, of a number of initiatives and their components (e.g. in *Tanzania*). Low institutional ownership often expresses itself in the absence of an adequate strategic capacity development framework on the part of the government. In a few cases, such as *Namibia* and *Mozambique*, this ultimately has prevented individual activities adding up to overall improvements at the organisational and system level. The EC experience has also shown that the use of PIUs can be problematical, even when they are situated in the relevant sector Ministry itself. Staff in PIUs often work under dramatically improved conditions, which leads to envy and low motivation among their colleagues in the Ministry overall (see *Niger*).

These trends and observations are further highlighted below:

Asia

In *Bangladesh*, the EC was able to help strengthen the EMIS and thereby the generation of much needed data on the status of the sector. The EC also contributed to BRAC, developing a well managed MIS that was also used by the government for policy making and planning purposes (see Country Note).

In *India*, EC supported DPEP has succeeded in establishing a reliable Education Management Information System (EMIS-DISE) based on a school-based data system generating relevant indicators in a timely way. JRMs have recommended improvements in the EMIS to enable generation of data on retention and to expand the system to capture data on out-of-school youth through incorporating household surveys. Data-capture formats are completed at school level and aggregated at cluster and district level. Among others things, data research and evaluation studies have been undertaken based on EMIS/DISE. In addition, huge capacity building efforts have been made to strengthen national, state and district administrations (e.g. District Institutes of Education and Training) and cluster and block level institutions (e.g. Block Resource Centres) and Cluster Resource Centres at the sub-district levels) as well as VETs, School Management Committees and head teachers, in order to address sector reform and management issues.

On the other hand, it is uncertain whether in *Vietnam* the SMOET and SREM²⁷⁵ did increase capacity for addressing education reform and management issues. The first generation of EMIS software developed for the SMOET project was found to be too complicated for the target groups to handle. However, 50% of the targeted provinces employed EMIS as a management tool and more than 80% completed the school data collection exercise using EMIS. A more complicated system was introduced later but the lack of time for capacity building in some provinces resulted in an adaptation of the new EMIS system while other provinces/districts returned to the old form of registration used before the project was set up.

A ROM report of 2009 judges that the benefits produced by SREM would not continue beyond the end of the project even though SREM did enjoy the full support of the Vietnamese government. However, *“the capacity of the MoET to unite its own people behind SREM is in doubt”*. In addition, according to the report, the financial sustainability of the project was doubtful *“since the complex amalgam of systems and subsystems may not be implementable at all, let alone affordable. The level of ownership is low due to a lack of coherence between different the departments of MoET and due to insufficient needs analysis of end users. Much depends on the degree of acceptance expressed at the provincial level”*.

According to the findings of the video-conferences, TAs played a very important role in capacity building for national ministry staff and also at sub-national level, for instance capacity building in the area of decentralised school management and leadership within local communities in *Papua New Guinea*. In *Cambodia*, support to pro-poor basic education was extended through SBS with an additional capacity building (training) programme for civil servants, and a TA team strengthening the capacity of staff at the national level (Ministry of Education, Training and Sport). The following box shows the capacity building approach employed in Cambodia.

²⁷⁵ EC support to Vietnam was initially through technical assistance projects in support of education management at central level. The two major support programmes were “Support To The Ministry Of Education And Training (SMOET)” and through the “Support to the Renovation of Education Management (SREM)”. The EC’s primary commitment was for SMOET was € 7,600,000.

SREM built directly upon the experience and successful outcomes of the SMOET project. The overall objective was to facilitate achievement of the Strategic Plan 2001-2010 and the project purpose was *“to improve key management levels through the capacity building of sufficient staff thereby creating the necessary momentum, training trainers in existing institutions and complementing this with a new management information system to support the information needs of the managers to ensure equitable, quality driven and cost efficient delivery of basic education to all children by 2010”*. The total budget of operations is € 14.2 million and EC funding contribution is € 12 million. The actual start date was on the 01/09/2005 and the planned end date is given as the 31/12/2010.

Box 38: Cambodia: EC experience with capacity development**The Education Technical Coordination office (ETCO)**

EC support to “training and other capacity building actions” was to be implemented through ETCO led by a long-term adviser, also described as a Liaison Officer. This joint title suggests a close relationship with MoEYS, at least, and possibly with MoEF. The function of liaison suggests the TA appointed was also to act as the link between the EUD and the Government.

TA Support

The programme included a provision for 142 months of international and local TA. The TA was to enable the MoEYS to strengthen its capacity in respect of:

- Improving education quality;
- The re-entry of marginalised out-of-school children into basic education;
- Issues of gender in relation to the re-entry of marginalised out-of-school children;
- Education financial management;
- Education internal audit.

The Capacity Development Programme

In addition to the € 15 million grant a provision was made in the FA for a € 5 million programme of “*support services*”. Capacity Development accounted for approximately € 1 million of the € 5 million complementary programme. € 3 million was for TA and operating costs, € 0.8 million for Independent Monitoring Missions and Independent Audit Missions. The monitoring and audit missions, as well as the capacity development contributed to risk management.

Capacity Building programmes have been detailed in a major section of the Cambodian Education Strategic Plan (ESP) and Education Sector Support Programme (ESSP) since early drafts in 2000. In 2003 MoEF and MoEYS were committed to “capacity building measures to address technical problems” related to education finance management. For example, “*to ensure a systemic regular audit procedure, the Department of Inspectorate needs to strengthen its capacity*”. The components envisaged were:

- Training of Education Managers at Masters Degree Level through Distance Education;
- Auditing and Accounting Courses;
- Policy Informing Studies and;
- Capacity Building Float.

Cross-cutting issues, including gender and HIV/AIDS, were also to receive attention under the capacity development components of the programme.

The Masters Degree training was planned as support for “*education planning, financial management accounting and audit and quality improvement, including curriculum, instructional materials, performance assessment and teacher education*”. The accounting and auditing courses were aimed at central staff from two or more departments as well as provincial and district staff. Both these components were to contribute to risk management associated with the SBS.

Included under the heading of capacity development in the FA there was also a provision of € 360,000 for a series of policy informing research studies. These were intended as studies and surveys to improve policy and policy outcomes in Education for All (EFA) related areas.

As suggested by the range of areas identified for support, the intention was to provide a broad and flexible response to issues that arose in key areas related to the funding modality, the conditions for tranche release and what the FA refers to as the “*Points of application for targeted sectoral budget support*”.

In presenting this set of capacity development options, appropriate for a non-project approach, the programme assumed considerable management capacity. This was true not only for ETCO and the EUD, but also in MoEYS and MoEF, in order to ensure government ownership and sustainability.

The prospect of tranche release was expected to ensure government commitment, and given the acknowledged weakness of the PFM structure, capacity building inputs were in the common interest of the programme and government reform.

Source: Proman S.A. (2008): EC Sector Policy Support Programme (SPSP) - Targeted Budget Support to Poor Basic Education Reforms in Cambodia (KHD/AIDCO/2002/0405).

Sub-Saharan Africa

In most of the sample countries in Sub-Saharan Africa, EC support to education contained capacity building and institutional support to the national ministries and training for local staff. However, these efforts have often encountered substantial challenges:

In many countries, intended capacity building programmes have not been implemented at all or have encountered severe delays, often due to tendering problems. This was the case in *Liberia, Burkina Faso* and *Tanzania*.

- In *Burkina Faso*, institutional support to the Ministry of Basic Education that had been planned has not been implemented. This is largely due to the high complexity of eligible actions themselves, coupled with an overly optimistic assessment of the chances for putting in place re-

quired prerequisites for their implementation²⁷⁶. EC support depended in part on the completion of a Government-owned plan for capacity building in budgetary management and procurement for the Ministry of Basic Education (Ministère de l'Éducation et de l'Enseignement de base - MEBA). This plan had been announced already in June 2005, but was still under preparation at the time of this evaluation. At least in part as a result of this, it was not possible to commit amounts the EC had allocated before the given deadline. As a result, no institutional support to education could be provided within the framework of the 2005-2008 Poverty Reduction Budget Support (ABRP).

- In *Tanzania*, an institution building component has been introduced to complement the Education Sector Reform Programme 2006-2010 (9th EDF)²⁷⁷. As part of this component, the EC contributed € 1.5 million to the improvement of the Education Sector Management Information System (ESMIS) through a grant agreement with UNESCO. In addition, a small contract with a Civil Society Network supports an umbrella organisation (TEN-MET) for the NSAs/CSOs active in the education sector. The technical assistance that was meant to provide support to planning, monitoring, the budgeting process and financial management in the education sector was not realised, however, due to tendering problems and the ministry's reluctance to ask for technical assistance²⁷⁸.

Often, capacity development efforts were hindered by strategic weaknesses on the part of the partner government and the EC as its partner. At times, recruited TA were used primarily for operational purposes, i.e. to ensure flow of programme resources, and thus failed to have the desired effect on the organisational capacity. In other cases, capacity building was not guided by a suitable capacity development policy; individual efforts thus failed to add up to overall improvements.

- In *Namibia*, for example, the Institutional and Capacity Building Support Facility created to strengthen insufficient institutional capacity and lack of qualified staff in the MoE, has not been used strategically to create capacity in the MoE but it has mainly focused on the procurement of TA on an "ad hoc" basis. As a consequence TAs (consultants) leave with the "capacity" once the contracts are finished. Furthermore, the procurement of TA was subject to delays and/or faced lack of funds and MoE capacity development efforts are affected by high staff turnover, which has slowed down implementation.
- In *Mozambique*, capacity development support suffered from the lack of a functional national HRD or capacity building policy despite lack of capacity being highlighted in PARPA as a key constraint to national development. Key issues include institutional support and development, capacity development, staffing, HRD, career paths, redundancies, needs analysis, salaries and conditions of employment, pensions, rights of association and representation. The Inter-ministerial Commission on Reform of the Public Sector (CIRESP) was established in 2000 with a PMU (UTRESP - Technical Unit to Support the Interministerial Commission (CIRESP)) supported by multi-donor funding from 2003, but there appears to have been little recent progress²⁷⁹. Similarly, the quality of monitoring data is relatively poor, especially in relation to the considerable efforts invested by the EC in improving monitoring procedures and increasing the input of monitoring information into decision-making. Monitoring seems to be perceived by the government as a donor-driven process. Moreover, the institutional capacity of Government is inversely proportional to the distance from Maputo.

²⁷⁶ The eligible actions of the multiannual plan for MEBA capacity building funded by the EUD have not been implemented because of their great number and complexity. The proposed actions of the study requested by the GBF (Government of Burkina Faso) to ensure consistency with the decentralisation of the MEBA, have not been implemented neither.

²⁷⁷ The component is divided into three axes: (i) supporting the development of an effective Education Sector Management Information System, (ii) supporting the development of education NGOs capacity, and (iii) providing major education actors with specific expertise in planning and budgetary process at central and local level.

²⁷⁸ According to the ECA report. in Tanzania, the EC is also a major contributor to the Poverty Reduction Budget Support (PRBS). The programme included a capacity building component devoted to public finance management and poverty monitoring. However, an assessment of the outcomes of that support is not available to the evaluation.

²⁷⁹ The EUD in Mozambique highlighted in the survey that "limited capacity of Ministry of Education to manage resources, in particular: weak human resources management, limited decentralisation of decision-making, and poor financial management" have hampered further improvements in basic and secondary education.

A similar challenge is the low level of ownership and integration of capacity development efforts that result when capacity development efforts have not been designed with sufficient attention to the specific conditions in the host organisation.

- In *Niger*, for example, an EC-supported project (“Carte scolaire”, 2001 to 2006, €1.3 million) that had been intended to enhance the capacity of the education authorities, at both the central and regional levels, to identify the most appropriate locations for building new schools for primary and lower secondary education, produced disappointing results. The project had set up a project implementation unit (PIU) that was supposed to provide technical and logistical support to the existing school map unit in the Ministry of Education. In order to facilitate synergies between the PIU and the ministry’s administrative unit, both had been located in the same building. However, it turned out that the working conditions of the two units were too different to allow for fruitful cooperation. In the PIU, salaries were significantly higher for similar responsibilities. PIU staff had access to vehicles, petrol, the appropriate maintenance of vehicles, computers, office supplies, travel costs and per diems, while in the ministry’s unit, none of these resources were available. As a result, ministry staff decided not to co-operate²⁸⁰. The PIU has funded training programmes in the country and abroad to qualify school mapping staff in the domain, but, most trained staff have gradually moved to other positions, either in the ministry itself or preferably in local NGOs or local offices of international organisations. At the end of the project, all trained staff had left the relevant unit. It is acknowledged by its present staff that the unit’s capacity is now weaker than was the case before the project.

The best results among the sample countries seem to have been achieved in *Uganda* and *South Africa*:

- In *Uganda*, the EC’s procurement capacity support building project made a useful contribution to improving procurement practices under GBS from EDF9, according to the ECA report. As well as helping the PPDA develop procurement guidelines and documentation for local authorities, it has also provided training and equipment to the local authorities themselves. Roughly € 1 million²⁸¹ were foreseen to strengthen the capacity of the Public Procurement and Disposal of Assets Authority (PPDA) and local authorities to comply with the new 2003 Procurement Law. Given that public procurement, particularly at the local level, is generally a high risk area, this was a relevant and timely intervention²⁸². In addition, the EC provided funding for the following capacity development efforts:
 - o In order to strengthen the link between PEAP objectives, outputs and outcomes and the allocation of budgetary resources, the EC provided € 2 million from the EDF9 GBS programme. The ECA report judged this intervention as “*very relevant*” to the GoU’s and the EC’s objectives.
 - o The EC also financed a statistical district capacity building programme²⁸³ to allow district administrations to catch up to the relatively well-developed statistical capacity of the Uganda Bureau of Statistics (UBOS) at the national level. Considering that Uganda went through a process of decentralisation in the mid-90s, this support is also considered to be very relevant. The EDF9 GBS programme also foresaw supplementary capacity building in the education and health sectors through the funding of studies, evaluations and reviews.
 - o Under the 10th EDF the Commission is to provide € 3 million to a basket-fund for financing technical assistance to support the implementation of the GoU’s Financial Management and Accountability Programme (FINMAP), its national PFM reform programme (2006/7-2010/11).
- In *South Africa*, there have been a plethora of education reforms (SASA, the National Education Policy Act, the White Papers on Inclusive Education, ECD, Language in Education Policy,

²⁸⁰ The management capacity of education in the Ministry of Education remains weak in general. The majority of important management decisions are taken at the level of the Secretary General, and not at the level of relevant directorates. This situation results in constant bottlenecks due to the excessive workload borne by the Secretary General. At the decentralised level, each of the three ministries of education has a regional directorate in which the management capacity is similarly limited.

²⁸¹ I.e. € 936,035 in contracted resources

²⁸² Also in the view of the ECA auditors (see ECA report).

²⁸³ I.e., “Statistics: Support to UBOS” amounting € 1.67 million, also from the EDF9 GBS programme.

Curriculum 2005, the New National Curriculum Statement, etc). The DoE and other departments have demonstrated an impressive capacity for producing such reforms and initiatives. While the rate of new reforms and initiatives may appear excessive, it is important to view this in the context of the need to fundamentally reorient and transform educational policy and priorities in a new democratic South Africa. The EC has played a role in informing and assisting policy makers, most notably in its support to ECD and the ECD audit, which provided management information on the status of ECD facilities. The SISF also included a component on the training of SGBs and SMTs in the management and maintenance of school infrastructure, and the training manuals produced for this purpose were found to be useful and were replicated extensively. This also constituted a relatively minor intervention but nevertheless provided useful benefits, albeit at a high unit cost.²⁸⁴

Caribbean

In the *Dominican Republic*, the EC provided technical support²⁸⁵ in the framework of PAPSE I to contribute to the institutional reform process launched by SEE²⁸⁶. At the central and decentralised levels²⁸⁷ almost all organs of SEE have been strengthened, rationalised in their organisation, strengthened in administrative systems; and have been reorganised. The main operation processes have been optimised. The EC supported the education management system and tools and has built capacity at Ministry and decentralised levels for PAPSE II by developing, within the MINERD, a culture of education planning, accountability, identification and pursuing of annual goals, a very efficient education statistics system (based on the UNESCO standards), and new curricula and syllabi. One of the most important outcomes of the TA within PAPSE I has been the preparation of an MTEF-like document for education management for the period 2008-2012, foreseeing on a realistic basis a growth in the share of GDP invested in education from 2.7 % in 2006/2008 to 4.1 % in 2011-2012. These, i.e., mainly the statistical indicators and the MTEF have been the basis for the formulation of the Strategic Plan for Education Management 2008-2012.

Latin America

Other examples, i.e. from Latin America, but also from fragile states, show that increasing competencies seems to be a considerable challenge, with issues like the complexity of performance measurement being underestimated or resources for implementing systems not being available at the decentralised level:

For *Latin America*, the results of the survey to EUDs indicated that besides rotation in Ministries causing a lack of sustainability, poor management was also a problem with different government entities in charge of primary and secondary causing a loss of efficiency (*Nicaragua*) and national coordination and leadership, as well as the legal framework being a problem (*Argentina*).

Fragile/failed states

In *Eritrea*, the EC intended to support capacity development in order to generate sustainable structures in the MoE²⁸⁸. The MoE benefited from EDF training, especially within the PMU, which was able to put in place an impressive system of financial and procurement monitoring and control.

In *Pakistan*, capacity building is a crucial component of almost all EC interventions; the Northern Pakistan Education Project is aimed at increasing professional leadership and developing the organisational capacity of Local Government. This includes a large variety of support programmes including school leadership training, workshops for examiners, academic administration and management training and capacity building of SMCs/Parent Teacher Associations (PTAs). Within SEPSP EC TA plays a crucial and dynamic role and is complementary to other development partners supporting the GoS

²⁸⁴ See European Commission (2009): SISF Final Evaluation, 2009.

²⁸⁵ Camino a la Segunda Reforma del Sector Educación en la RD. Proyecto de AT Institucional (ATI) Unión Europea – Documentos Finales.

²⁸⁶ The reforms aimed at: a) implementing the 2008-2018 Education Management Plan; b) implementing the National System for the Evaluation of Education Quality; c) giving special attention to Dominican Magistry; d) democratisation; e) using new technologies.

²⁸⁷ I.e., Regional Directorates, District Directorates, Planning Units, Advisory Services and Monitoring, Supervision and Evaluation, Administration and Finance and Legal Advisor.

²⁸⁸ According to the FA of EC support to education.

SERP²⁸⁹. In some capacity building areas, EC TA is in the lead or co-lead, e.g. in district performance reviews, District Sindh Education managers training, SMC Awareness and Mobilisation, PEACE Student Diagnostic Assessment, textbook printing and distribution; SEMIS (jointly with USAID) and on all aspects related to the quality of education. Strong emphasis is given to strengthening the capacities of SEMIS to generate adequate outputs linked to the annual school census, through GIS mapping of schools in all districts and better utilisation of data in planning and decision-making. EC TA is supposed to train district level EMIS staff in 12 districts and USAID will do the same in the other 11 districts. Linked to the EMIS training, capacity building is planned in relation to policy analysis for both national and sub-national staff.

The complexity of the devolution process is also noticed by the EC's TA: ²⁹⁰*The SERP Sindh Medium Term Sector Framework (MTSF) identified that although in theory the roles and responsibilities in terms of operational aspects of service delivery, policy formulation and monitoring and evaluation seem to have been clearly articulated in the Sindh Local Government Ordinance (LGO), provincial governments have not divested some of the functions that fall within the domain of the District governments. Local Governments also face constraints related to the lack of an appropriate mix of skills required to fulfil their mandates.*"

EC support is to meet education sector requirements imposed by decentralisation through a step-by-step approach. Among the many capacity building components being implemented, EC and WB TA support GoS efforts to implement the decentralisation agenda through provincial and district performance reviews and capacity building for district education management reform.

From a number of the above findings, it appears that the role of TA can be crucial in strengthening education sector service delivery, as for instance shown for the *Dominican Republic* or also for *Cambodia*.

The following box highlights some findings related to the issue from the video-conferences that tend to underpin the statement.

Box 39: *The use of Technical Assistance in EC-financed programmes - Findings from the Focus Groups*

Focus Groups with EU Delegations show that TAs have been widely used in EC-financed interventions in education: nine out of 12 participants confirmed having used TA (in the form of a project modality). Only *Paraguay*, *Zimbabwe* and *Madagascar* had not used TA thus far, but TA is planned for the programmes which just started or which are under development.

In six countries TA has been targeted towards the central level, i.e. the Ministries of Education and related departments. Only *Cambodia*, *Papua New Guinea* and *Fiji* provided or plan to provide TA at decentralised levels. The Cambodian approach is worth highlighting: in order to accompany the decentralisation process in the education sector, TA support will be directed towards the sub-national level in particular towards the provincial and district levels. The aim is to strengthen the capacities of these bodies that are supposed to manage and allocate funds themselves. Where EC support is given through a project approach, TA is naturally also used for project management purposes, mainly for huge infrastructure projects, as was the case in *Fiji* and *PNG*.

Overall, technical assistance is seen by most EUDs interviewed as a very important instrument which is especially useful in combination with a sector support programme (e.g. in *Jordan*). Both the EUDs in *Cambodia* and *Morocco* spontaneously mentioned TA as an important means for effective service delivery. However, the high turnover within the MoE staff can be considered a recurrent problem that was especially mentioned by the EUDs in *Ethiopia*, *Papua New Guinea* and *Cambodia*. In presenting this set of capacity development options, appropriate for a non-project approach, the programme assumed considerable management capacity. This was true not only for ETCO and the EC Delegation, but also in MoEYS and MoEF, in order to ensure government ownership and sustainability.

In order to tackle this issue the EUD in Cambodia has oriented its TA towards institutional capacity strengthening rather than focusing on individual capacity strengthening. It should be mentioned that only two EUDs indicated that TA helped to develop policy dialogue with the Ministry (*Ecuador* and *Jordan*).

This is not surprising, as policy dialogue per se is usually under the remit of the EUD.

In general, it appears that the EC played a major role in a lot of countries in the provision of TA. In this regard, 5 countries stated that the EC has contributed a lot to service delivery by taking up a leading role in the coordination of TA provision. In *Morocco*, the EC was even the only donor providing TA. TA in *Paraguay* has helped to achieve higher coordination in the targeted districts and the EUDs in *Cambodia* and *Papua New Guinea* and the *Somalia* Operations Unit were working to achieve a coordinated approach between donors in regard to TA delivery. An interesting example in that regard is *Cambodia* where a 'Capacity Development Partnership Fund' has been created which aims at assisting the Ministry of Education and other departments in their capacity building.

²⁸⁹ I.e., the World Bank and USAID including Links to Learning: Education Support to Pakistan (EDLINKS - USAID funded) and PRE-STEP, as well as UNICEF.

²⁹⁰ See SER TA Complementarity Approach (undated)

From the above it becomes clear that the EC has a good track record in capacity building through EC TA. This is by no means a statement to be generalised. In *India*, capacity building is playing an extensive role, in particular by using local capacity through existing or newly created institutions, which benefit from EC support. Many **constraints** were met as in *Tanzania* (which may be applicable on a much larger scale); often, capacity development efforts were hindered by strategic weaknesses on the part of the partner government and the EC as its partner. At times, recruited TA were used primarily for operational purposes, i.e. to ensure the flow of programme resources, and thus failed to have the desired effect on the organisational capacity. In other cases, capacity building was not guided by a suitable capacity development policy; individual efforts thus failed to add up to overall improvements; or as stated in *Namibia*; it has mainly focused on the procurement of TA on an “ad hoc” basis. As a consequence TAs (consultants) leave with the “capacity” once the contracts are finished, or as in *Niger*, where at the end of the project, all trained staff had left the relevant unit leaving the unit’s capacity to subsequently be weaker than was the case before the project.

But some **successes** could be noted, such as in *Indonesia* with BE-SCSP 1 being a capacity building programme (MDTF with ADB); in *Uganda*, where the EC’s procurement capacity support building project made a useful contribution to improving procurement practices; in *South Africa* where the SISP also included a component on the training of SGBs and SMTs in the management and maintenance of school infrastructure, and the training manuals produced for this purpose were found to be useful and were replicated extensively. This was a relatively minor intervention but nevertheless provided useful benefits, albeit at a high unit cost; or in *Pakistan*, where EC TA to the SBS Sindh programme established a wide agenda of requirements related to the Disbursement Linked Indicators cooperation with the World Bank, USAID or other agencies; or *Cambodia* which was a mixture of successes and constraints - capacity building inputs were clearly in the common interest of the programme and government reform. In this sense there was good general alignment of EC and government interest and programme design. Nevertheless, a lot was expected of the capacity building and TA components of the programme. In any case, capacity development, particularly in the form of training courses for individuals, has rarely been successful in addressing systemic reforms outside of a very sustained and detailed, government-owned programme.

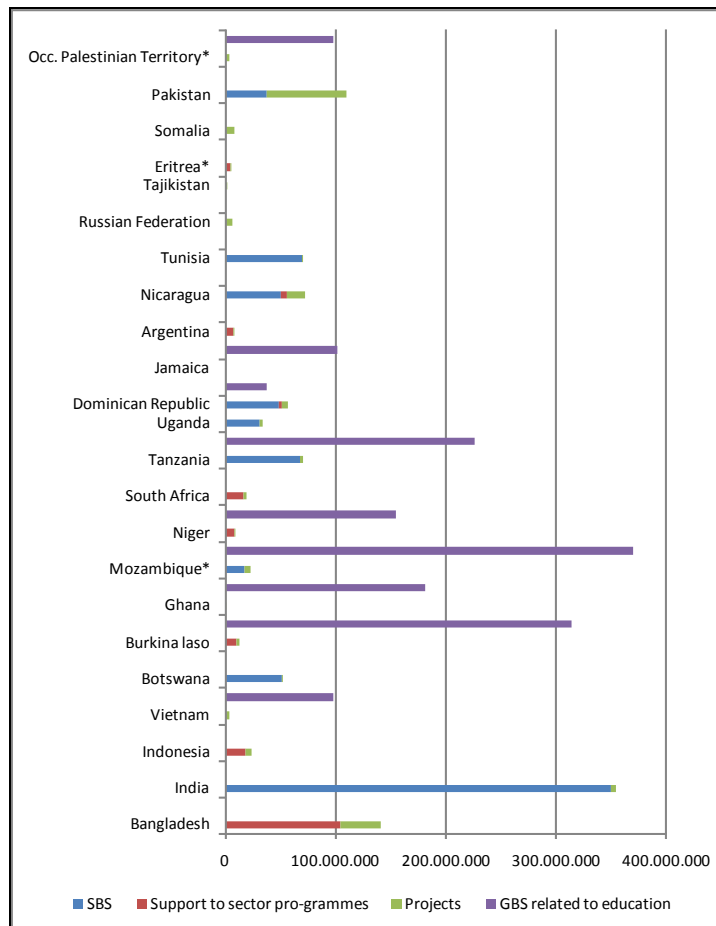
In preparing for EC GBS, sometimes EC TA is used to overcome some of the constraints in the country with regard to e.g. PFM or statistics.

GBS, combined with EC TA through a project modality, might address some of the constraints encountered by GBS in assisting partner governments to improve service delivery. SBS, in combination with EC TA through a project modality, seems to pay off in terms of assisting partner governments to meet the system transformation requirements for complying with triggers and indicators.

6.5 Overall assessment

The application by the EC of various modalities and modality mixes may create conditions for improved service delivery. In addressing this EQ and its JCs it seems that there is a strong correlation between the modality of support used and the partner country’s capacity to accommodate requirements for improved service delivery. The figure below shows that the project mode is the least prevalent in terms of contracted amount. Only four sample countries benefited exclusively from EC-financed education projects.

Figure 22: Aid modalities used for direct and indirect support to education in the sample countries (within scope of evaluation, 2000 - 2007)

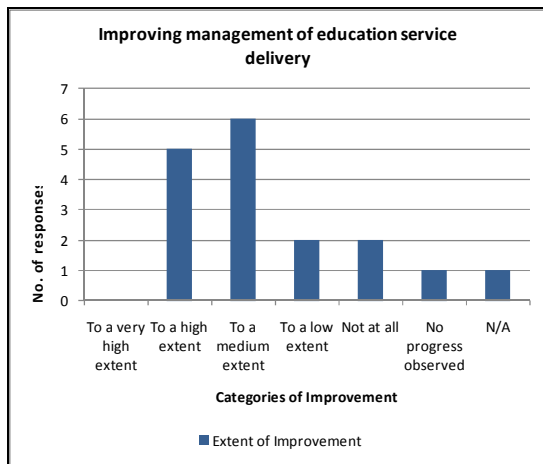


As can be seen, six countries in the sample benefit almost exclusively from General Budget Support, 13 countries have or have had Education Sector Budget Support (SBS) and/or other forms of sector support. These modalities focus on creating conditions for effective service delivery through sound pro-poor policy frameworks and creating systems for the proper distribution of resources including financing and staff. Within constrained resource environments, they attempt to contribute to making appropriate education sector allocations in line with a costed PRSP, whilst also meeting competency requirements of education staff at different levels. Efforts have been made to achieve appropriate linkages with broader nationwide reforms but their effectiveness depends often on the strength of national leadership support for education and the position of the Ministry responsible for education within the national power hierarchy.

GBS is very well-fitted to shaping an overall national framework for reform, often of a pro-poor character. However, the degree to which it strengthens conditions for effective education sector service delivery may be restricted. In SBS, funds are channelled through the Treasury and Ministry of Finance to Education ministries and the provision of these funds can be linked to processes of policy formation, planning and monitoring. In GBS, education ministries are restricted to the role of monitoring variable tranche releases for the education sector. For education ministries and development partners it is difficult to assess whether GBS funds are parallel or additional funding to pro-poor education sector budget items. This difficulty is part and parcel of budget support.

Given the EC's shift from project support to sector and budget support, the EC, in most cases, with budget support, has provided noteworthy assistance to partner countries to create conditions for improving their education system service delivery, as, for instance, also indicated by the EUD survey. Results are depicted in the following figure.

Figure 23 Results of survey to EUDs: Rating of the EC's contribution to improving education sector service delivery



Categories	Improving management of education service delivery	
	No.	%
To a very high extent	0	0.0
To a high extent	5	29.4
To a medium extent	6	35.3
To a low extent	2	11.8
Not at all	2	11.8
No progress observed	1	5.9
N/A	1	5.9
Total observations	17	100.0

Source: EUD survey

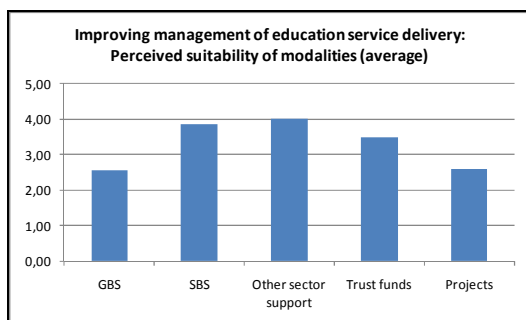
The effectiveness of this assistance has been enhanced by the EC providing technical assistance alongside SBS or GBS, either specifically to the education sector or to Ministries dealing with education sector capacity building. A TA component seems to be important in GBS in order to ensure that Ministry of Education staff remain motivated.

In terms of resourcing, it is easier to identify resource implications of EC support once the budget is robust and predictable and an MTEF is in place. However, it is usually within the realm of GBS to foster conditions for proper accountable and predictable resource allocations. In that respect, SBS in parallel to or being succeeded by GBS may constitute an adequate resource mix (applied in several countries including *Uganda*) and an adequate pattern of strategic application of aid modalities (applied by the EC). In other cases, a complementary project modality might cater for additional education sector resources and especially competency requirements (see EQ9 modalities for example). Complementing the above findings, the participants in the video conference emphasised the leverage effect of EC support due to targeted support (*Ecuador, El Salvador*) or respectively due to a very long presence in the sector (*Paraguay*).

In the case of **modality mixes** and their propensity for enhancing service delivery, it was found that GBS is assisting partner governments in meeting budgetary requirements – originating from the enrolment increase in Sub-Saharan Africa – through different modalities of Poverty Alleviation Budget Support. Even though this support seems to be essential for system survival, it does not in itself enhance conditions conducive to effective service delivery. This was, for instance, also confirmed by the EUD *Ghana* which pointed out that improving service delivery is difficult to address using GBS (in the EUD survey). GBS, combined with EC TA through a project modality, might address some of the constraints encountered by GBS in assisting partner governments to improve service delivery. SBS, in combination with EC TA through a project modality, seems to pay off in terms of assisting partner governments to meet the system transformation requirements for complying with triggers and indicators.

This is, to a large extent, also reflected in the scoring of EUDs regarding each **modality's suitability** with regard to improving the management of education service delivery, as depicted in the following figure.

Figure 24: Results of survey to EUDs: Improving management of education service delivery - perceived suitability of modalities



Modality	5	4	3	2	1	W
GBS	1	0	4	2	2	2,56
SBS	3	7	2	0	1	3,85
Other sector support	1	1	1	0	0	4,00
Trust funds	0	2	2	0	0	3,50
Projects	0	3	2	3	2	2,60

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low

W= Weighted Average

Source: EUD survey

7 EQ7 – transparency: To what extent has EC support to education helped in strengthening transparency and accountability of the management of education service delivery?

This question aims at addressing the key issue of transparency and accountability in the management of service delivery. This is being done through exploring whether operational, institutional and procedural frameworks exist, including budgetary control systems and procedures to detect leakages. The question covers the central system, civil society as a whole and local government, proceeding further down to the community level and schools. Decentralisation and devolution of funding to lower levels of education administration and schools is further increasing the need for transparency and accountability. There is a need for strengthening the institutional framework and staff competencies in the sector related to accountability, including auditing services. In partner countries, civil society as a whole increasingly demands that resources allocated and linked performances are made transparent. This issue requires a response from the EC in aligning its programming and financial cycle to partner countries' fiscal cycles and releasing disbursements to agreed schedules.

The EQ refers particularly to key EC policies. COM (...) (2002) 116 describes a two-way dependency between education and good governance: education enables people to claim greater transparency and accountability on the part of the authorities and to be empowered to take active roles, but conversely it notes the need for good governance as an essential condition for successful education development. The discourse on "governance" has developed since 2002 in the EC and other agencies²⁹¹, and is of higher profile and more detailed in *The European Consensus*, with its explicit mention of transparency, corruption, the role of civil society, and improving performance indicators (which can facilitate accountability). In keeping with the participatory imperatives of EFA and MDGs (in which public consultation and participation is identified), EC policy for education recognises the importance of civil society and its role in building accountability frameworks around service delivery. *Investing in People* pushes the contextual concern up from national operational capacity to the institutional and regulatory frameworks, stating that a programme should focus on improving policy and the legislative framework, as well as capacity-building, with the objective of improving the overall environment for educational reform. At the sector-specific level, it identifies organisational and institutional issues that may need support, such as: financing education; incentive schemes; quality assurance and evaluation mechanisms; and innovative approaches to decentralisation.

This question is also related to the EQs dealing with co-ordination and education service delivery and resourcing. Accountability and transparency issues are crucial issues to be addressed in fragile states.

The question considers how EC support to education has helped the partner government in these areas, and the extent to which EC practices contribute to improved sector governance and transparency. As the question indicates, analysis will focus on the education sector, but it is clear that transparency and accountability are macro issues, impinging on the education sector rather than emerging from it. Through GBS and PFM reform supported by the EC, some broader systemic insights may be obtained, but this is by necessity restricted, given the TOR and constraints inherent to a sector evaluation.

The answer to this EQ is built on the following JCs:

- JC71: Strengthened and operational institutional and procedural framework in the education sector related to transparency and accountability issues at national and sub-national levels
- JC72: Strengthened role and involvement of non-state actors, civil society and local government in education sector management processes
- JC73: Strengthened staff competencies related to accountability issues
- JC74: Degree to which EC support for education is promoting mutual accountability and predictability with partner countries

The ranking of the sample countries on Transparency International's Corruption Perception Index (CPI) for 2009, compared to 2000, is listed in the table below. The CPI ranks 180 countries in terms of perceived levels of corruption, as determined by expert assessments and opinion surveys. It should be stressed that the CPI reflects perceptions of public sector corruption in society as a whole and does not pertain to the education sector per se. However, where overall perceptions of lack of transparency

²⁹¹ For some MS, such as the Netherlands, Sweden and the UK, "governance" is the highest priority in aid planning and the approach to support, including in the education sector.

and accountability in public expenditure are high, there is a good feeding ground for leakages and misuse of resources in the education sector. The index reveals that in 14 out of 22 sample countries (no data was available on the *Occupied Palestinian Territory*), the CPI Index ranking was above 100. The relative rankings of all countries that have been scored in both years improved in 2009 compared to 2000, which indicates higher perceptions of corruption proneness. *Somalia* (180), *Tajikistan* (158), the *Russian Federation* (146) and *Bangladesh* (139) are the worst performers. Furthermore, fragile, unstable states that are affected by war and ongoing conflict perform poorly on the index. According to Transparency International, the index points to the need to strengthen institutions of countries at the bottom of the index. That is what EC in partnership is attempting in most of the partner countries.

Table 37: Ranking of the sample countries on Transparency International's Corruption Perception Index (2000 and 2009)

Country name	YR2000	YR2009
	Rank	Rank
Asia		
Bangladesh	N/A	139
India	69	84
Indonesia	85	111
Tajikistan	N/A	158
Vietnam	76	120
SSA		
Botswana	26	37
Burkina Faso	65	79
Ghana	52	69
Mozambique	N/A	130
Niger	N/A	106
South Africa	34	55
Tanzania	76	126
Uganda	80	130
Caribbean		
Dominican Republic	N/A	99
Jamaica	N/A	99
Latin America		
Argentina	52	106
Nicaragua	N/A	130
ENPI		
Tunisia	32	65
Russian Federation	82	146
Fragile states		
Eritrea	N/A	126
Somalia	N/A	180
Pakistan	N/A	139
Occupied Palestinian Territory	N/A	N/A

* = *Corruption Perceptions Index (CPI)*
 Sample sizes: 90 in 2000 and 180 in 2009
 Source: *Transparency International*

7.1 JC71: Strengthened and operational institutional and procedural framework in the education sector related to transparency and accountability issues at national and sub-national levels

Sound budget and expenditure management systems, with the budget system being transparent and open to public scrutiny, are currently in place in many developing countries in the context of Poverty Reduction Strategies (PRS). Considerably more work is required to develop a comprehensive medium-term framework, to align expenditure programmes with PRSP (...) priorities, and to improve review and adjustment of the budget during implementation. These all constitute part of overall reform packages consisting of macro-economic and budget reform, civil service reform, and changes in the legal and regulatory structures. In these issues, key ministries outside Education, especially Finance, play a major part.

In operational terms, and in view of transparency towards European taxpayers, the EC has participated in broader-scale support to Public Expenditure Reviews (PER), PETs, and to improving internal and external auditing provisions.

Overall, from the review of CSEs, from the field visits, from the ECA reports and from further analyses, **it appears that much remains to be done to establish fully operational institutional and procedural frameworks related to transparency and accountability. However, some progress has been made with EC support.**

It is interesting to note that, during the **video-conferences** held by the evaluation team, some EUD respondents stated a clear preference for annual tracking of PFM, and a related PEFA, as the means to tackle sectoral accountability issues (*Cambodia, Ecuador, Paraguay, El Salvador*). It is also evident from the EUD survey and the field visits that issues of transparency and accountability should form, and do form, part of policy dialogue, be it at sectoral or general level. Such forums often help to keep the issues on the agenda and pave the way for stronger accountability – as, for instance, in Asia.

In **Asia**, the EC has managed to use the **policy dialogue** with national governments, within the framework of sector programmes and SBS, to tackle the transparency and accountability issues. In *Cambodia*, very close policy dialogue with the ministries dealing with the EC-supported SBS is aimed at enabling the use of SBS in a country that faces corruption problems.

One other means of enhancing transparency and accountability within the framework of budget support is the adoption of **indicators** relating to the subject. For *Pakistan*, the EC/WB disbursement has been linked to indicators aimed at enhancing transparency and accountability in the Sindh SERP. In *Cambodia*, additional indicators related to the improvement of management processes are planned to be introduced in the SBS programme 2011. From the analysis made, it appears that such indicators are more widespread in Asia.

As another means of ensuring accountability and transparency, the EC supported **alignment with national procedures and policies** (in *India*) and **PFM reforms** in many of the countries analysed, particularly in **Sub-Saharan Africa**. In *Burkina Faso* and in *Tanzania*, PEFA assessments were the basis for the EC's assessment of the state of the PFM, and mainly supported PFM reforms. In *Ghana*, the EC support to various budget support operations had already, at the time of the CSE in 2005, certainly contributed to adoption of important policy reforms in the area of public finance management. In *Liberia*, with regard to support to PFM reforms, the EC contribution to the International Monetary Fund (IMF) Technical Assistance is intended to allow for a more transparent, efficient and effective management of public resources. In *Namibia*, the PFM system is deemed to be robust according to the ECA report, and current practices ensure that the Ministry of Education benefits directly from the budget support.

The following examples help to underpin this summary, with the level of success of EC support varying from one country to another.

Asia

- In *Asia*, the Country Note *Bangladesh* indicated that, during the early period under evaluation (i.e. between 2000 and 2003), issues of good governance at school, upazilla²⁹² (sub-district) and central levels were poorly addressed. This was despite the CSP's (2002-06) view that *“enhanced capacity to establish good governance practices, greater accountability and transparency, as well as building efficient, well managed and responsive institutions, are essential elements for effectively combating poverty”*. The fact that governance issues were poorly addressed further undermined the efficient administrative operations of schools and education departments. As the CSE (2003) noted, this implied that *“governance is not a serious EC concern and risks perpetuating support for interventions which, in order to be effective, need to have integral governance components”*.

In early 2007, the Directorate of Primary Education (DPE) established a Governance Review Committee (GRC) to work jointly with the Development Partner's Governance Working Group (GWG) to address governance actions under PEDP-II in four areas: (i) Information and Transparency, (ii) Human Resources, (iii) Financial Management and Procurement, and (iv) Administration and Devolving Responsibilities.

- An interesting approach is being implemented in the EC's SBS support to *Cambodia*, with a view to tackling *“the transparency and accountability issues from different sides, being aware, that, of course, it is not perfect and that there are probably some issues here and there”*. Ac-

²⁹² There are 513 Upazila/Thana Education Offices, divided into clusters. A cluster consists of 20-30 schools.

ording to the video-conference, the means used by the EUD to ensure accountability and transparency were:

- o The education sector has been using an annual operations plan since 2007/08.
 - o Very close policy dialogue between the EUD and both the Ministry of Education and the Ministry of Finance in order to enable the use of SBS in a country that has corruption problems.
 - o As recommended by the Evaluation of 2008, in the SBS programme 2011 – in addition to three quantitative indicators – eight process indicators have been introduced, related to the improvement of school management, public management and results-based management²⁹³.
 - o A programme on good governance, which was not directly related to the education sector, but had impacts on it, according to the EUD.
- In *India*, the EC sector programmes have allowed for a strategic policy dialogue with Gol at sectoral level. However, according to the CSE, governance has not been addressed in the policy dialogue between development partners and Gol in the education sector. This partly reflects strong domestic ownership, but also resistance to what can be seen as interference in local politics. Consequently, the CSE report concludes that external development partners, including the EC, should attempt to put the issue more firmly on the agenda.

For India, the CSE of 2007 emphasised that the main impediment to achieving greater impact in the education sector has been the limited progress in improving the accountability of service providers, resulting in weak governance outcomes. Finally, the CSE concludes that the EC should prioritise improved governance and accountability in its work in the education and health sectors, where the majority of support has been granted. The EC has, to a large extent, aligned its assistance with domestic procedures and policies. It should continue its pioneering work in the core social sectors, and use its substantial leverage and goodwill to facilitate systemic (and, arguably, politically sensitive) reforms that could promote improved accountability of the service providers.

In *Indonesia*, an appraisal mission for BE-SCSP2, undertaken during NIP 2004-06, noticed that some public finance management reform conditions are yet to be met: (a) an adequate financial management system (FMS) for transparency and accountability in governance and management of basic education, especially at the district level; (b) district-based MTEFs; (c) commitment to governance, budgeting, and financial management reforms; (d) district budget (APBD) commitment adequate to support delivery of quality basic education.

Sub-Saharan Africa

- In *Burkina Faso*, the CSE report revealed some limitations related to the quality of budget management. The report of the Public Expenditure and Financial Accountability (PEFA) of 2007 notes: *“The credibility of the overall budget as a whole is average. In fact, the forecasts of expenditure in the initial finance law have been very similar to the expenditure and there have been no arrears as defined by the Union Economique et Monétaire Ouest Africaine²⁹⁴ (UEMOA) (expenditure authorised unpaid within 90 days), The forecasted overall revenues have always been overly optimistic and the budget has had notable changes in the allocation of funds to the departments.”* The analysis of the expenditure per Ministry also confirmed this limitation, and the Court of Auditors report shows that the changes in the current budget exercise are important.

The ECA report on education in Burkina Faso highlights the findings of a 2007 diagnostic PEFA report, the results of which substantially supported the analysis of the ongoing PFM reforms. The diagnostic report reveals that Burkina Faso is a forerunner among the francophone African countries, even if certain weaknesses in PFM persist. Unfortunately, the PEFA re-

²⁹³ *“The mission recommends that in future expected outputs of support programmes include indicators reflecting processes rather than only targets that have to be met before tranche release can take place. Targets should be limited in number and agreed with commitment and understanding from the host institution at all levels to ensure strong ownership. (...) In future, support programmes should include ‘process indicators’ which record trends and act as indicators of ongoing progress, not hard targets or final outputs. (...) Seek a better balance between a limited number of key tranche release triggers with RGoC ownership, and more flexible ‘process’ indicators of progress.”* – PROMAN (2008): EC Sector Policy Support Programme (SPSP) - Targeted Budget Support to Pro-poor Basic Education Reforms in Cambodia (KHD/AIDCO/2002/0405). Final Evaluation.

²⁹⁴ West African Economic and Monetary Community

mains at a general level and does not provide specific remarks on the education sector. However, one of the conclusions of the PEFA 2007 is that (at least up until 2007) no procedure existed to stop the possibility of salaries being allocated to "ghost" employees. This seems to be particularly relevant in the education sector.

- In *Ghana*, according to the CSE of 2005, the EC support to various budget support operations has certainly contributed to the adoption of important policy reforms in the area of public finance management, in particular the reforms related to the GPRS in the areas of public sector, public finance management, decentralisation and governance, or reform strategies for sustaining current GDP growth rates. – thus helping, in particular, in the areas of procurement, financial administration and internal audit. The CSE adds that the budget support programmes, together with participation in SWAps, have also contributed to promoting a concern for performance in some of the sectors in which they have been implemented and have fostered revitalisation of the reform agenda. Moreover, according to the report, the TA included in these programmes has helped improving the M&E capacities of the agencies they were targeted.
- The ECA report on education in *Namibia* points out that the GRN is committed to the fight against official corruption, but that corruption does not appear to strongly affect the education sector. None of the cases reported by the Anti-Corruption Commission (ACC) suggest that there are significant or systemic corruption practices in the education sector. This is also confirmed by investigations by the Ministry of Education's internal audit unit and reports by the Office of the Namibian Auditor General. The PFM system is deemed to be robust, and current practices ensure that the Ministry of Education benefits directly from the budget support.

After the start of ESP, several subsequent assessments and audits, including reports by the Office of the Auditor General, have verified the robustness of the Public Expenditure Management (PEM)/Public Financial Management (PFM) system in general, and of the education sector in particular. In addition to this, general assessments of the PFM system have been provided through the Joint Annual Reports. The GRN's current practice of earmarking the funds from the ESP budget support for the Ministry of Education ensures that the focal sector benefits directly from the support.

Furthermore, the Education and Training Sector Improvement Programme (ETSIP), which was adopted by the GRN in 2006/07, includes one strategic objective on issues of transparency and accountability – namely, to "improve management accountability and system efficiency".

- The ECA report on education in *Tanzania* cites several previous studies relevant to the subject matter, pointing to a number of weaknesses in the government's financial processes, including errors identified by the Controller & Auditor General of Tanzania amounting to 7% of government spending. In the EC SBS Financing Proposal of 2006, the 2006 PEFA assessment(s) was the basis for the EC's assessment of the state of the PFM, and subsequently the credibility and relevance of the PFM reform programme. The ECA's audit team, therefore, noted the fact that an assessment of the impact of the PEFA framework commissioned by the PEFA secretariat found that there was limited government engagement in the PEFA assessment process, that the PEFA framework was seen as a DP exercise, and that, until 2007, the government was "hardly aware" of the exercise. Moreover, the lack of government ownership of the PFM Reform Programme was later highlighted in the CSP as the main reason for the lack of progress. This fundamentally questions the credibility of the PFM reform and, according to ECA, may have had a negative impact on the effectiveness of the Education SBS during its implementation from 2006 to 2010. Moreover, the PETS 2009, covering both primary and secondary education, highlighted the problem of "leakage", but with a different definition than the one used in the PETS 2004, which, interestingly, was never endorsed by the GoT.
- The ECA report on GBS for *Uganda* pays special attention to the issue of fiduciary risk. While the 9th EDF Financing Proposal foresees a number of specific short-term safeguard measures that could reduce fiduciary risk, no such specific short-term safeguards were foreseen for the 10th EDF. According to the ECA report, the EC has been one of the leading donors in pushing corruption higher up both the political and operational agendas.

Box 40: Uganda: The issue of fiduciary risk

The ECA report on GBS for Uganda points out that while the 9th EDF Financing Proposal does not include an assessment of fiduciary risk, it does foresee a number of specific short-term safeguard measures that could reduce fiduciary risk:

- A specific provision to allow for the possibility of organising an independent audit of expenditure made under the programme. However, as the amount foreseen for this purpose was only up to € 100,000, this measure could have little impact on addressing areas of fiduciary risk.
- The possibility was also foreseen of carrying out a "compliance test" as part of the assessment of progress in the implementation of PFM reforms. No further details were given of what was envisaged in terms of compliance testing.
- In addition, it foresaw the use of technical assistance funds (€ 500,000) to finance reviews and expenditure tracking studies, as well as monitoring and evaluation activities in the health and education sectors.

The Poverty Reduction Strategy Credits, managed by the World Bank and supported by other GBS donors, such as Germany, have also included as conditions prior actions to be taken to improve public finance management, and hence reduce fiduciary risk. These include the introduction of anti-corruption legislation, procurement-related measures, several actions leading to the independence of the Auditor General's Office, and various measures to strengthen financial and budgetary reporting. However, by their nature, these actions and the capacity-building measures foreseen can generally only start to have a significant impact on reducing fiduciary risk in the medium term. Moreover, according to the ECA report, the EC did not demonstrate how it would address specific risks.

For the 10th EDF, no such specific short-term safeguards were foreseen. In its April 2008 annual PFM performance report, prepared at the time of the finalisation of the MDG Contract, the EUD concluded that *'the current quality of the national PFM system and its prospective ameliorations provide sufficient fiduciary guarantees to provide direct budget support'*. However, it is unclear what timeframe would be necessary for the "prospective ameliorations" to take effect in terms of improved PFM outcomes, and hence sufficient fiduciary guarantees being achieved. As for the 9th EDF, according to ECA there was no link made between specific risks and policy actions and capacity-building measures that would address them.

Despite the conclusion of the 2008 Annual PFM report concerning the sufficiency of fiduciary guarantees, the EUD, in its January 2009 EAMR, proposed a major new initiative to provide a strong and urgent response to the risk of corruption: *"In view of the coming general elections in 2011, and given the rising cases of corruption, the Delegation envisages to devote up to a maximum of € 10 million (10% of budget support programmes) to reinforce control bodies in Uganda. This will represent a new activity not initially envisaged in the current budget support programme."* This proposal was being considered by the EC at the time of the audit mission, in the context of the 10th EDF mid-term review.

According to the ECA report, the EUD has also established closer links with the European Anti-Fraud Office (OLAF) to better address corruption issues. In addition, at the time of the ECA mission (October 2009), it was in the process of appointing a new contract agent to work specifically on accountability and corruption issues, and to improve the co-ordination between the governance and economic sections of the EUD on this matter. Until this time, corruption had largely been treated as a governance issue by the EUD, which led to it giving corruption less attention from a PFM perspective.

The EC has also been one of the leading donors in pushing corruption higher up both the political and operational agendas, as stated by ECA. Thus corruption is now being addressed in the context of political dialogue with the President of Uganda, according to the Cotonou Agreement Article 8. The donor working group on anti-corruption, which came to be considered by donors not being sufficiently effective, has been merged with the PFM donor working group. Donors are also working together to examine the implementation of recently-developed OECD best practices on corruption, aimed at organising ex-ante a graduated response to deteriorating trends in corruption.

Source: European Court of Auditors, Mission to Uganda

Caribbean

In the *Dominican Republic*, an Education Management Information System was launched in 2004, with support from EC Technical Assistance. Another system available within SEE-MINERD, "Finance 2000", was aimed at overseeing and controlling/monitoring all financial transactions between and within the Departments. The MTEF, at its early stage, is highly compatible with the four-year period identified by the Budget Law, with the structure of Programme-Based Budget, and is a reliable financial expression of the Ten-Year Education Plan. According to the findings of the field visit, the EC contribution in this process has been fundamental to the design of MTEF and to its coherence with national laws.

Fragile/failed states

- One of the aims of the *Liberia* 2008 PRS for education is to strengthen the overall governance, management and financial basis of the system. One of the priorities in the Education Sector Plan (February 2010) is "Monitoring for Quality Improvement and Accountability". The ECA audit on education in Liberia highlights the existence of "rampant corruption", citing an identifi-

cation fiche for budget support. The ECA report recognises that Liberia is struggling with transparency and accountability issues, but efforts are being made by the government to address this. Audit reports are deemed generally to be independent and robust, having uncovered fundamental governance problems in the MoE – including lack of internal control and the occurrence of "ghost" employees.

With regard to support to PFM reforms, the ECA report states that the EC contribution to IMF Technical Assistance will allow for a more transparent, efficient and effective management of public resources²⁹⁵.

- In *Pakistan*, the EC/WB disbursement in Sindh province has been linked to indicators aimed at enhancing transparency and accountability in the SERP. The EC BS trigger sub-programme area related to accountability and transparency concern: i) Fiscal and Budget Management – improving budgetary processes; ii) SMCs – strengthening SMC participation and capacity for supporting school management; iii) District and Sub-District Education management – strengthening district education management for service delivery; iv) PFM/Procurement – increase effectiveness of public expenditures (including education sector) through procurement reforms (EC specific trigger/DLI).

In this context, Pakistan's lower ranking on the Transparency International's CPI and the perception of a lack of transparency and low accountability are aspects to consider seriously in designing, implementing and monitoring. Governance and corruption are major issues that were also recognised in the revised National Education Policy. Lack of governance appears to be a common occurrence at societal level, and even at the higher level of leadership. One approach towards counteracting this is by ensuring transparency at the level of users of education services, through institutionalising SMCs and PTAs enacted in the framework of the Local Governance Ordinance. Within the Sindh Programme, a Public Expenditure Tracking Survey is planned for 2010.

This information at the JC level is being complemented by evidence at the level of individual indicators identified.

7.1.1 I-711: Roles and responsibilities defined between government stakeholders involved on issues of accountability and transparency

Clearly-defined roles between government stakeholders are a prerequisite for good governance, which is an essential condition for successful education development.

Information on the roles and responsibilities between government stakeholders involved on issues of accountability and transparency can mainly be found in education acts and in Country Financial Accountability Assessments (CFAA) conducted by World Bank/IMF in preparing for GBS, but also in monitoring missions to SBS. However, both the desk study and field visits did not find sufficient information to be fully conclusive about the EC's contribution to defining roles and responsibilities between government stakeholders involved on issues of accountability and transparency.

Nevertheless, it became apparent from the evidence found that the EC contribution to this definition of roles has remained rather limited. While in *Tanzania* and *Botswana*, progress has been achieved towards the decentralisation of education decisions and management, the roles that have been defined in *Pakistan* have not been operationalised.

At a more detailed level, the summary is underpinned by the following findings, mainly for the sample countries and mainly based on field visits, ECA reports and CSEs:

- In *Indonesia*, BE-SCSP is the first programme for the education sector that explicitly declares capacity development as its main purpose. In most donor programmes/project, capacity building is more implicit and built in within a broader programme operation. From an advocacy standpoint, BE-SCSP could take some credit for putting capacity development at the forefront of the national sector development agenda. At the institutional level, the decentralization reform

²⁹⁵ Outside the temporal scope of the evaluation, the EC went ahead in employing the general budget support modality under the 10th EDF, despite the fact that Liberia did not meet all the eligibility criteria for budget support, since a comprehensive sector policy was not yet established and fiscal/financial management was deemed inadequate. Implementation (TAPS) and the other information provided with the financing proposal for the BSMS did not contain any explicit risk mitigation measures, but implicitly made reference to the need to continue the support to the General Audit Commission (GAC) as a fiduciary/PFM safeguard. The ECA report asserts that the EC's decision on the BSMS adopted in December 2009 did not primarily reflect a concern for the effectiveness of the assistance provided to the social sectors, but broader political and developmental concerns.

has unleashed an enormous amount of dormant public sector capacity. However, policy fluidity was a problem for capacity development planning in the mid-2000's both at national and sector levels. However, there is now stability both Government policies and legal/regulatory frameworks.

At the organizational level, decentralisation has brought on massive restructuring of Government institutions at every level. Although the organisations are increasingly comfortable and confident with their new **roles and responsibilities**, a great deal still needs to be done in terms of improving organisational efficiency and effectiveness.

Decentralisation has significantly empowered the individuals and their voice has gotten stronger as a result. This has made capacity development assessment and planning significantly easier and in accordance with their needs (conclusion mid term review report 2008).

- In **Sub-Saharan Africa**, according to the ECA audit on education in *Tanzania*, the management of both primary and secondary education has been decentralised and is now the responsibility of the Local Government Administrations (LGAs), which report to the Prime Minister Office – Regional Administration and Local Government (PMO-RALG). However, the institutional setup in the education sector is fragmented between five different ministries, which, according to the EUD survey, had hampered further improvements in basic and secondary education. In *Botswana*, there seems to have been only little progress towards decentralisation of genuinely educational decisions until 2009. After the approval of the report on the organisational restructuring of the Ministry of Education and Skills Development (MoESD, Operation and Maintenance – O&M – report), a massive decentralisation exercise has started in 2009.
- In **fragile states**, and as indicated by the Country Note *Pakistan*, roles and responsibilities between government stakeholders involved on issues of accountability and transparency have been defined but not been fully operationalised. The results of the survey of EUDs have confirmed the lack of co-ordinated and clear policies in the education sector, which is termed as a “*lack of good governance*” in Pakistan.
- In *Eritrea*, the Central MoE is responsible for sector policy development, overall planning and budgeting, quality factors development, pedagogical guidance and regulation, and for monitoring and evaluation of the system. The operational responsibilities for education service delivery and the management of education services were transferred to the district (Zoba) education offices while the schools management, ownership and maintenance are being progressively transferred to the local community level.

Although the implementation of such decentralisation scheme continues in process, the MoE faces a considerable need for strengthened institutional capacity at all levels. One of the most pressing constraints and challenges is the organisation of the sector in order to review and develop the sector policy and the organisation of functions/structures at all levels. There is a clear need to upgrade skills and capacities at all levels within the education system. Following the recommendations of the MTR in 2008, the MoE has embarked on a restructuring programme which is ongoing. For these reasons, institutional capacity building in the system has become a pressing priority and thus one of the four pillars of the ESDP. Arising from the project there have been enormous advances made in the capacity of the MoE staff in areas of education management for planning and consultancy management. EC support has provided inputs into numerous strategies covering planning and policy at a high level of the MoE. However, continuity of donor support to consolidate the current education reforms under ESIP and EC-SEE is seen to be critical for overall sustainability²⁹⁶

7.1.2 I-712: Improved control systems in place and operational

Corruption also manifests itself in leakage from ministries of education of funds for schools. Putting improved control systems in place and making them operational, in order to increase accountability and transparency, is still a major challenge for numerous partner countries. Possible control systems are internal audit function, improved financial systems, and/or improved control of transactions in both Ministry of Finance and Ministry of Education. In many countries, the internal control system remains inadequate, lacking capacity and systems to follow-up on internal control failures identified by audits. The internal audit function remains relatively unsupported and ineffective. Internal auditing is defined

²⁹⁶ Particip GmbH, Edinburgh Consultants (2010): Ex-post evaluation of programme-estimates and annual monitoring of the project “EC Support to the Education Sector” – Eritrea. EuropeAid/126248/D/SER/ER. Service Contract 9th EDF – account no. 9.ACP.ERY.9. Monitoring Mission Report. Draft Final Report. Volume 1.

as an independent, objective assurance designed to add value and improve an organisation's operations. It helps an organisation to accomplish its objective by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes. As an independent function reporting to an organisation's top management, internal audit is able to assess the internal control systems implemented by the organisation and contribute to ongoing effectiveness. Internal audit often plays a significant monitoring role. However, internal auditing is still in an embryonic state in most education ministries.

Internal control and external auditing are still both urgently required. Hallak and Poisson (2002) claim that surveys suggest that leakage from ministries of education of funds for schools represents more than 80% of the total sums allocated (non-salary expenditures) in some countries. Bribes and pay-offs in teacher recruitment and promotion tend to lower the quality of public school teachers, and illegal payments for school entrance, and other hidden costs, help to explain low school enrolment and high drop-out rates. The report by Hallak and Poisson also argues that the problems posed by corruption in education have been neglected for too long²⁹⁷, and says that "*corruption is a major drain on the effective use of resources for education and should be drastically curbed*"²⁹⁸.

PETS focus on the chain between budgets and desired service delivery and on bottlenecks in this chain, such as: spending on the wrong goods or people; failure of funds to reach frontline service providers; weak provider incentives for service provision; demand-side failures that prevent households from taking advantage of service provision. The objectives of the PETS are to:

- assist the partner country government and the education ministry in identifying problems in the budget system that impair the efficiency and effectiveness of service delivery in health and education, in order to generate proposals for solving them;
- serve as an independent monitoring tool to assist government in improving accountability by disseminating information and engaging service delivery beneficiaries.

In sum, from the findings below it can be concluded that the **EC is attempting to strengthen institutions in most of the partner countries**. The building of strong and independent audit institutions to effectively monitor and assess public spending, with the necessary political independence and adequate financial and human resources, has to be enhanced and is part of EC support to SBS and GBS. In this context, it should not be assumed that GBS is automatically more vulnerable to corruption than other forms of aid. Safeguards in delivery of GBS are important, but it also offers opportunities to strengthen fiduciary systems. Findings show that GBS support seems to be the modality that has helped in setting up and making such institutions.

In **Asia**, accountability measures concern the introduction of "**assurances**" and **conditionalities** to budget support, as in *India*, where operational financial systems and auditing is one of the conditionalities related to budget support.

In **Sub-Saharan Africa**, it appears that all countries analysed struggle with issues related to corruption. The governments of these countries have apparently all made efforts to address related problems, but to varying degrees and with varying commitments. Leakages still occur, as for instance noted for *Tanzania*, *Niger* and *Uganda*. The occurrence of leakages is decreased by **establishing procedures and supporting the monitoring of public expenditures**, which seems to have happened in *Uganda*. Even though the EC has supported partner countries to improve policies, procedures and frameworks for transparency and accountability, this has in many cases not been put into effect. The source of transparency and accountability problems is not to be found within the education sector only, but embedded in broader value systems and broader macro systems. However, in the long run, dealing with these issues also in the education sector can contribute to strengthening anti-corruption attitudes. In that regard, **tranche releases** based on **transparency and accountability indicators** might constitute a powerful means of progress.

In **Latin America**, it emerges from the focus group discussions that accountability issues have mainly been tackled by the EC via **PFM reporting**, which is part of budget support. Interestingly, **civil society surveillance measures** (watchdog) have been financed in, for instance, *Ecuador*, and, according to the EUD are very successful in collecting, commenting on and publishing the achievements made within the education sector programme. On the other hand, no such measures were required in *Tunisia*, where such systems were already in place when the EC-supported SBS started.

²⁹⁷ Hallak, Jacques and Poisson, Muriel (2002): Ethics and corruption an Overview. Journal for International Development, 1(1)

²⁹⁸ Drafting Committee of the World Education Forum, Dakar, April 2000

Unfortunately, problems of corruption and governance issues are significant in *fragile states*. In this regard, an interesting innovation is being applied in the Sindh SBS in *Pakistan*, where **control systems** are built into the **Disbursement-Linked Indicators**. This enhances the chances of **accountable tranche release** and may be considered as a key strength of the approach taken towards monitoring compliance to SBS disbursement linked indicators.

At a more **detailed level**, the following findings – mainly for the sample countries and mainly based on field visits, ECA reports and CSEs – underpin the summary made:

Asia

- As indicated by the Country Note *Bangladesh*, the GoB education system throughout 2000-05 did not have sufficient capacity to manage education projects in terms of funding, human resourcing and institutional capacity²⁹⁹. Since 2005, the impetus to strengthen accountability measures has been built into the PEDP II programme through a number of "Assurances" that require compliance. The 2008 MTR notes that 25 out of the 33 Assurances had already been substantially met, and the remaining eight were at various stages of compliance. Discussions with informants indicate that GoB at the time had poor mechanisms of accountability and monitoring, and that a gradual improvement has been noted only since 2005 under the PEDP II programme. For example, the hiring of government teachers was a lengthy procedure, even though teachers were needed to fill vacant posts immediately to cope with increased enrolment in new non-formal government and non-government schools. It was also stated that the capacity of the DPE in the area of Management and Information Systems (MIS) and monitoring and evaluation (M&E) needed to be strengthened significantly to enable it to collect, analyse, and present data that could show the results and outcomes of the PEDP II programme against indicator targets in a more timely and reliable manner.
- In *India*, one of the conditionalities related to the joint World Bank, DfID and EC approach to budget support to Gol's Sarva Shiksha Abhiyan relates to operational financial systems and auditing. The predecessor DPEP had already periodically organised Joint Supervision/Review Missions. According to the CSE, the DPEP Guidelines set out that supervision missions have to take place on a biannual basis to assess the progress of the programme (based on Annual Workplans and Budgets (AWPBs) and Expenditures). These supervision missions would be conducted jointly by Gol and international funding agencies. Two of the four quarterly monitoring visits by Gol were intended to coincide with these supervision missions.

Sub-Saharan Africa

The European Court of Auditors recently implemented a round of Performance Audits of EC development assistance for education to eight countries. The ECA reports for *Sub-Saharan Africa* confirm that all countries analysed struggle with issues related to corruption. The governments of these countries have apparently all made efforts to address these problems, but to rather varying degrees and with varying commitments. In some cases, the ECA reports point this out clearly.

- The preliminary findings of the ECA audit pertaining to *Tanzania*³⁰⁰ substantiate views expressed in the evaluation's survey of EUDs. An EC-supported PETS related to ESDP showed significant leakages. Significant effects include teacher absenteeism ("ghost" teachers), unjustified fee collection, or other misuse of resources in the framework of the PEDP programme.

²⁹⁹ This is also indicated by the 2006 ADB Report²⁹⁹, which noted that "poor management and administration are almost certainly the root cause of many of the day to day problems afflicting education in general and secondary education in particular. Accountability and monitoring systems are weak at all levels and in many cases non-existent. Mismanagement and questionable practices are pervasive. [...] This affects [...] book production, civil works, teacher recruitment and assignment to schools, staff salary payments, teacher transfers and examinations. [...] At all levels, the politicisation of the public service and the (related) practice of frequent intra- and inter-departmental transfer continue to wreak havoc on public sector effectiveness. It destroys the continuity of professional input and purpose. It erases corporate knowledge, and extinguishes the desire to 'own' a problem or see through an issue."

³⁰⁰ See European Court of Auditors (2010): Audit of EC Development Assistance for Education Mission to Tanzania 9-20 November 2009. Statement of Preliminary findings.

Box 41: *Tanzania: Misuse of resources, leakage of non-salary funds, and unjustified fee collection*

The latest PETS considered leakage to be if funds transferred by relevant government agencies are not reaching schools or if payments are being made to non-existing teachers ("ghost" teachers). The leakage, according to this definition, was estimated to be between 9% and 13%. For primary schools, 84% of the total expenditure was on salaries to teachers, of which 13% in the sample were not actually working at the school where they were on the official payroll. This represents an estimated loss equivalent to USD 4.6 per student, which amounts to USD 37.8 million in total for mainland Tanzania³⁰¹. Development partners face a difficult position in trying to identify malpractices, as school visits are organised and tightly controlled by the Ministry, preventing independent checks. Finally, reference is made to the proliferation of allowances for taking part in seminars or meetings, with a daily allowance that equals 74% of the standard monthly salary of primary school teachers.

Source: European Court of Auditors, Mission to Tanzania.

- In *Ghana*, according to the CSE of 2005, the TA included in the EC budget support programmes has contributed to improving the capacities of institutions such as the Ghana Audit Service (GAS). While the CSE of 2005 rates the support as having been very effective, a 2009 ROM report indicates that the staff skills, as well as the training capacities of the service, have improved significantly, but that the limited availability of resources poses serious constraints.
- The ECA report on education in *Namibia* points out weaknesses that have an effect in terms of accountability and transparency. For example, it is highlighted that progress reports by the MoE do not provide the information needed to monitor education outcomes, and review meetings are still focused on progress for prior actions and processes. Also, according to ECA, the different results frameworks for ETSIP and the ESP financing agreement do not allow for a strategic analysis of the education sector progress, and the Ministry's reporting on ETSIP is not aligned with the ESP framework. It was found that the EMIS, which serves as a basis for GRN's reporting, has in itself some shortcomings. Quality assurance reviews of the progress reports, annual implementation support missions and procurement audits, foreseen in the ETSIP financing agreement, have not been carried out.
- The ECA audit on education in *Niger* indicated the significant risks of corruption within the education sector. Several cases of demonstrated corruption have occurred. However, no deep institutional reform has been conducted at the level of the ministry. In July 2006, the Government of Niger created two entities of Public Procurement Control. An audit of 2007 confirmed that significant progress has been achieved in the implementation of reforms of Public Procurements since 2006. However, a PETS conducted by the World Bank in 2008 highlighted the lack of systematic storing of information, and the fact that a budget increase does not always result in an increase in expenditures. Since the MEBA affair, new procedures for the utilisation of the common fund have been set up, which have materialised in the adoption of a new "lettre d'entente" (letter of intent) and a new guide providing detailed regulations for the management of the common fund, and annexes with an update of education indicators. The following box highlights further details in that regard.

³⁰¹ European Court of Auditors, Mission to Tanzania, p.28.

Box 2: *Niger: The mismanagement of the common fund*

The MEBA corruption affair has raised two issues: the mismanagement of the common fund set up by a pool of donors in the framework of sector budget support, and also the country's capacity to take appropriate action to solve this kind of problem. The EC has never been directly involved in the management of the common fund, insofar as its special contribution to FTI was included in its GBS. The management of the Catalytic Fund, initially included in the common fund, is now in the hands of the World Bank. The EC, therefore, has not been in a position to convince a majority of donors of the need for a more co-ordinated approach. Since the MEBA affair, new procedures for the utilisation of the common fund have been set up, which have materialised in the adoption of a new **letter of intent** and a **new guide**. There are diverging points of view among donors concerning the capacity of Niger to manage properly donors' funding through national procedures. Although audit reports tend to show some minor irregularities, these irregularities do not necessarily mean mismanagement, but rather a deficit in terms of capacity.

The **implementation guide** provides detailed regulations for the management of the common fund. It is based at the Treasury, and the sole authorised person for disbursements is the head of the Treasury. There are two annual meetings for the follow-up of the fund: the **joint review** in June/July and the **consultative workshop** in September. The **joint review** should be prepared by the Ministry of Education, which is expected to produce a certain number of documents to be distributed to donors two weeks before the meeting, namely:

- An updated CDMT (MTEF)
- A yearly report describing the execution of the budget of the previous year, the detailed plan for the ongoing year, and the forecast budget for the first six months of the following year
- An audit report for the utilisation of the common fund for the previous year
- Reports on public expenditure reviews when available
- Reports on institutional strengthening
- Report of the "Comité Technique de Suivi de la Gestion des Appuis Budgétaires" (CTSGAB) concerning the Common Fund budget lines at all stages of the public expenditure process – namely commitment, payment order and payment
- • An analysis of the evolution of indicators linked to the impact of the PDDE

During recent **joint reviews**, especially in 2009, some documents were missing – in particular, audit reports – and this has led to the suspension in disbursements of donor contributions to the common fund, as well as to the non-disbursement of part of variable tranches of EC GBS support. The absence of the documents does not necessarily mean that irregularities are suspected, but simply seems to reflect a deficit of capacity in the Ministry of Education to produce all the documents. The **consultative workshop** is mostly dedicated to the finalisation of the education budget for the following year, with donors represented locally. It has also to validate the implementation plan of the following year's PDDE. The implementation guide includes also annexes with an updating of education indicators. In this annex, the PDDE has been extended to 2015 to coincide with the MDGs deadline. It is interesting to note that the objective for the access to the first year of primary is 100% from 2012, and the GER in primary education is 98% in 2015. It assumes, therefore, that Niger will be able to achieve the MDGs in the education sector, which is highly unlikely, insofar as recent data tends to show a deceleration on the increasing pace of most indicators. It is highly optimistic on the quality side, insofar as the percentage of pupils reaching the desirable level of competency in mathematics and French is supposed to increase from the level of 28% observed in 2008 to 80% in 2015.

Source: *Country Note Niger*

- The PETS in *Uganda* showed significant loss between budget allocations and actual spending, through various tiers of government, in primary education. In order to remedy the situation, the central government started publishing the monthly intergovernmental transfers of public funds, and required primary schools to post information on inflows of funds for all to see. The GoU and the donors have also agreed to include a number of indicators, aimed at addressing fiduciary issues, in the new Joint Assessment Framework (JAF). As confirmed by the ECA report, the EC's support represents a relevant response to developing PFM capacity, and the implementation mechanism allows a more co-ordinated donor approach than was the case under the 9th EDF.

Latin America

- In the case of the recently-started SBS³⁰², the tracking has not started yet. During the video-conferences, the EUD in *Ecuador* stressed that besides the PFM annual report, which is part of the duties related to budget support, the EUD also financed a civil society surveillance project, which seemed to be very successful³⁰³. The project had the objective of collecting, commenting on and publishing the achievements made within the education sector programme,

³⁰² SBS for secondary education, start November 2009.

³⁰³ Project under the decision 19030: "Civil society surveillance programme accompanying the SBS", € 300.000, covering 83% of the project budget. Awarded on internal EUD Ecuador grant procedures

with the result that “the Ministry of Education feels that this action is a part of its own account rendering system”.

- During the video-conferences, the EUD in *El Salvador* highlighted that an annual tracking of public finance management took place for the general budget support programme³⁰⁴, including transparency issues and information available to the public.

European Neighbourhood

According to the Country Note, *Tunisia* has a sound public finance control system. It has an operational Court of Auditors, an operational Inspection des Finances, and an efficient Direction des Affaires Financières (DAF), within the MoE. Budget execution is highly efficient (about 100%). EC support did not include elements of putting such systems in place or improving them, as they were already in place.

Fragile/failed states

- According to the ECA report on education in *Liberia*, GoL aimed to tackle official corruption in general through a number of initiatives, including the Governance and Economic Management Assistance Program (GEMAP) since 2005 and the Poverty Reduction and Growth Facility (PRGF) since 2008. Also, a draft PFM law has been submitted to the legislature for approval, and anti-corruption legislation has been enacted, followed by the establishment of an Anti-corruption Commission. A 2009 audit by the GAC of the Ministry of Education (for Heavily Indebted Poor Countries (HIPC) 2006-07) was highly critical of the Ministry and its management, and also reveals that “internal controls and documentation” within the MoE are not sufficiently strong. The report highlights basic governance problems, including a lack of effective internal controls and documentation for payments, and irregularities in payroll (including the occurrence of “ghost” employees).
- As indicated by the Country Note *Pakistan*, control systems are built into the DLIs, and this enhances the chances of accountable tranche release. This may be considered as a key strength of the approach taken towards monitoring compliance to SBS disbursement linked indicators, and appears to be an innovation. Chances of leakages are decreased by establishing procedures such as using the postal system to reach out to beneficiaries of the girls’ stipend scheme. TOP conditional grants were issued to Districts. The RSU operates a monitoring system that tracks the expenditure of district governments. It was noticed that Sindh districts are now connected with Finance and Education departments of the Government of Sindh, assisting in the tracking and monitoring of public expenditures.
- According to the video conferences, in the specific case of *Somalia* (which is ranked last in on Transparency International’s Corruption Perception Index, and where EC assistance is mainly delivered through project partners, such as local NGOs), accountability was addressed through technical agreements with the implementing partners. These agreements comprised the obligation for financial monitoring to be conducted by the project partners themselves or by an independent auditor. If possible, EUD officers took over monitoring on the ground, with the help of specially established field offices, when the security situation allowed field visits.

7.1.3 I-713: Education sector budgets, including last year’s budget release and expenditures, published for national level and sub-national levels (Forecast budgets of year n available by December 31 of year n-1, and executed budget available by December 31 of year n+1)

According to Transparency International, budget transparency is defined as the full disclosure of all relevant fiscal information in a timely and systematic manner. In most countries, education budgets are publicly available, and when AWPBs are used as a device for monitoring progress towards accommodating reform indicators budget release and expenditures are equally available (e.g. in *India*).

Over recent years, implementation tools such as Education MTEFs and AWPB have increasingly become the rule rather than the exception. Especially in large-scale education sector support programmes such as ESDP in *Tanzania* and SBS DPEP and Sarva Shiksha Abhiyan in *India*, AWPBs are used to monitor progress related to key indicators and are used as the main tool for joint reviews. It should be noted that these AWPBs, as well as State and District AWPB, are published and available. It is clear that the EC, in preparing for and monitoring SSPs and SBS, has (in partnership) played

³⁰⁴ Programa de alivio a la pobreza en El Salvador (PAPES), ALA/2005/017-587, € 35m, decision year: 2005

a solid role in ensuring that AWPBs linked to MTEFs are available for monitoring of education sector plans.

Both the desk study and field visits did not produce sufficient information to be fully conclusive about EC's contribution to enhancing improvements related to the publication of sector budgets. Nevertheless, it became apparent that, in some cases, SBS in particular has been successfully used for strengthening the move towards increased budget transparency in the education sector. Contrary to that, such links did not emerge related to EC GBS support.

- In *Ecuador*, the general auditor is publishing all sector audits of recent years on its website, and the disbursement of the fixed tranches of the SBS is related to the publication of audits and PFM reports.
- In *Pakistan*, education sector budgets, including last year's budget releases and expenditures, are published and have been reviewed through the JRM and by the EC TA, which clearly indicates that good progress has been made with regard to transparency and accountability at the level of the SERP
- The ECA audit also noted that in *Uganda*, the EC provides projections of future GBS disbursements over the three-year MTEF period. Estimates are sent in October-November and then revised twice in the period leading up to the finalisation of the annual budget. This ensures that the financial resources from the EC's GBS programmes are fully taken into account in the GoU budget preparation process.
- In *Tunisia*, a forecast of the education budget, at both the central and the regional levels, is available on time, as well as the publication of the education budget execution. The EC has played an incentive role in this respect, because of the pressure it has exercised for the achievement of disbursement conditions.

It should be noted that transparency and the sharing of financial information is a pre-condition for countries to participate in FTI appraisals. According to the results of survey to EUDs, both transparency and sharing of financial information by the government seem to be missing in *Eritrea*.

7.1.4 I-714: Procurement system enhances accountability and transparency, and thus lowers incidences of misprocurement in the education system

Procurement in education cannot be seen in isolation from general government procurement systems. Therefore, this indicator unavoidably touches upon general procurement, and thus mainly on countries where EC has provided GBS and PFM support. In many cases, improvements in procurement systems supported by the EC have contributed to enhancing transparency and accountability, thereby reducing the incidence of misprocurement in the education system. This seems to have happened in *Niger* and *Uganda*, and to have been particularly successful in *Dominican Republic*. The case of *Pakistan* is interesting since it is the only country analysed where a procurement-related indicator is included in an SBS.

At a more **detailed level**, the following findings, mainly for the sample countries and mainly based on field visits and ECA reports, underpin the summary made:

A good example of how EC support has helped in strengthening accountability and transparency is the *Dominican Republic*. As indicated by the Country Note, procurement systems are in place and transparency is enhanced at all levels. Within decentralisation and the budget transfer process, specific preventive measures have been taken with regard to earmarking of resources, responsibilities for procurement and disbursement, etc. Accountability has been very much enhanced. Misprocurement cases have been reduced, although the fight against corruption is still said to be an issue in the country. The Country Note indicates that the PFM support funded by the EC has contributed to improved transparency and accountability.

The PFM legal system was completely changed between 2006 and 2007 with the approval of a series of laws reforming key functions and creating new institutions. Since then, tangible progress has been made in the areas of public procurement, extension of the new integrated financial management system or reform and consolidation of the Single Treasury Account. However, there are still major fields, especially the one of external controls (National Audit Office, Parliament), with limited signs of improvement.

The latest report of the Ministry of Finance on the PFM situation in 2009 shows considerable advances on most indicators. More specifically, progress achieved during 2009 derives from a sustained implementation of the current legal framework, both related to aspects pertaining to the institutional strengthening of the Ministry of Finance, as well as to the development and implementation of meth-

ologies, processes and techniques resulting in an improvement of the overall fiscal management. Substantial progress is documented in the area of budgeting, payment processes, and management of bank accounts, public credit reporting and procurement. Nevertheless, some problems have been highlighted by the ROM Report MR-106980.01 of 2008 with regard to the EC funded Project PAIGFP 9 ACP DO 11. The report underlines that only three of the expected results had made important progresses, while those related to decentralised authorities and to the Inspection authority (Contraloria) and other authorities had generated only few benefits due to the fact that no activities had been implemented with the Parliament and Civil Society to strengthen social control over Public Finance Management. According to the ROM report, these advances have been made possible as they were backed by a legal framework (i.e. legal reform that included 9 Laws in 2006, and 7 regulations in 2007), and due to changes in the organisational processes, training and institutional strengthening and the creation of new units with an allocation of state resources. Co-ordination among all stakeholders is also key to the success of this project; however, according to the report, it has been adversely affected by problems related to the management of the EDF funds procedures.

In the case of *Uganda*, a capacity-building project (“Support to public procurement and disposal of public assets (PPDA)”, 2006-08) and the selection of two indicators in the 9th EDF Financing Proposal linked to implementing the provisions of the new 2003 Procurement Act can be considered as contributing to reducing fiduciary risk, according to ECA. Thus, capacity-building support was provided to the Public Procurement and Disposals Authority (PPDA), and the procurement sections of local authorities and indicators were chosen on the setting up of the Contract Committees and Procurement Disposal Units – two key structures for implementing the Procurement Act, and the transparent display of tender and contract information. As well as helping the PPDA to develop procurement guidelines and documentation for local authorities, it has also provided training and equipment to the local authorities themselves. In addition, it supported the PPDA in carrying out procurement compliance checks on 120 procurement entities – approximately half the total number of such bodies. The PPDA is now continuing this exercise itself, planning to carry out 36 such checks per annum.

In *Niger*, as indicated by the Country Note, and following the so-called MEBA Affair, a new guide for the management of the common fund has been produced, aiming to reduce the incidence of misprocurement in the education system. Since its validation, donors involved in the transfer of funds to the common fund have not been able to disburse due to missing documentation. Some donors fear that they will not be in a position to make disbursements before the disbursement deadline imposed by donors’ internal regulations, which implies that the money will be lost to Niger. It is too early to evaluate the impact of the new procedures on accountability and transparency, but the considerable risk exists that disbursements will not be made on time, or not at all.

Pakistan is the only example that could be found where a procurement-related indicator is included in an SBS. As indicated by the Country Note, an EC-specific DLI in Sindh is linking tranche release to evidence on increased effectiveness of public expenditures through procurement reforms. Therefore, the procurement system enhances accountability and transparency, and thus a lower incidence of misprocurement in the education system is achieved. A first-year conditionality consisted of the approval by the Chief Minister of a road map for procurement reform, which was fulfilled. This clearly indicates that good progress has been made with regard to transparency and accountability at the level of the SERP.

7.1.5 I-715: Reduction in teacher absenteeism

One symptom of poor teacher motivation is absenteeism, which is endemic in many developing countries. Motivation is not always the cause. In parts of Africa, HIV-related health problems are heavily implicated.

According to the EFA GMR 2009, data for *Ghana*, *India*, *South Africa* and *Tanzania* suggests that teacher absenteeism is more pronounced in public sector schools, in schools with poorer infrastructure, in rural areas, in poorer states and in schools serving children from lower socio-economic backgrounds. It is clear that high levels of teacher absenteeism directly affect learning time and outcomes, as well as national education costs and spending. In countries participating in SACMEQ II, teacher absenteeism was shown to have significant negative effects on mathematics tests.

The *Indian* case clearly shows the negative consequences of teacher absenteeism: quality, retention and, ultimately, learning achievements suffer, while drop-out rates increase. A component to address and discuss the problem of teacher absenteeism and the associated problem of lack of teaching activity in the schools was not included in DPEP, nor in Sarva Shiksha Abhiyan.

Table 38: *India: Consequences of teacher absenteeism*

In India, sustaining high enrolment rates is closely related to low teacher absenteeism rates, as few pupils want to stay enrolled in schools where teachers are not teaching. A study by Kremer et al (2004), making unannounced visits to a nationally-representative sample of government primary schools in India, showed that, nationwide, 25% of the teachers were absent from school, and only about half of them were teaching. This is, according to the CSE, a clear indication of the service providers not being held accountable for the delivery.

In the state of Chhattisgarh, where the EC supported the education sector both under the District Primary Education Programme (DPEP) and Sarva Shiksha Abhiyan, the rates of teacher absenteeism reached 31%. The rate of teaching activity among the teachers assigned to the schools was only 21% at the time of the visits. This clearly confirms that there is a severe governance problem. Only one head teacher in nearly 3,000 public schools reported ever dismissing a teacher for repeated absence. In contrast, private sector schools participating in the same survey reported that 35 teachers had been dismissed, from a total sample of only 600 schools. Moreover, there are weak mechanisms for disciplining absent staff, which contributes to high absenteeism rates. However, experience has shown that better monitoring, complemented by sanctions for non-performance, can cost-effectively improve attendance and performance of frontline staff. Such monitoring could either be done by communities themselves or by inspection, the key issue being their reliability and credible follow-up.

According to the CSE, both DPEP and Sarva Shiksha Abhiyan have omitted a component to address and discuss the problem of teacher absenteeism and the associated problem of lack of teaching activity in the schools. According to the CSE report, this constitutes a serious omission, as it is one of the key barriers to improving quality learning outcomes. In Chhattisgarh, for example, where the EC provides support to the state, there only one in five teachers were actually teaching during school hours, which leads to a negative effect on quality, retention, drop-out rates and, ultimately, learning achievements. The CSE evaluators recognised that addressing this problem can be politically sensitive (e.g. resistance from unions and challenging vested interests), but stated that it is essential to improve educational results.

This suggests that the main causes for the relatively modest success of the DPEP are the failures in what can be termed the "**accountability chain**" between service providers (e.g. teachers and educational managers), clients (e.g. students and their parents), and politicians (supposed to discipline service providers), which have not been substantially addressed either by the EC (which has generally refrained from discussing governance issues) or Gol.

Finally, the CSE evaluators conclude that the EC should increase focus on accountability weaknesses in the education sector analytically, in terms of monitoring and in the policy dialogue.

Source: CSE India 2007

The costs of absenteeism are far from negligible. A study put the cost of absenteeism in *India* at around USD 2 billion per year³⁰⁵. In *Uganda*, the economic costs of teacher absenteeism represent 24% of current expenditure in primary education. According to the ECA audit on GBS in *Uganda*, a 2007 study revealed that about 20% of the wage bill – almost Ush 55 billion (€ 24.55 million³⁰⁶) – is lost to teacher absenteeism each year, and that only 18.2% of teachers are teaching at any point in time. In *Uganda*, low teacher attendance rates reflect poor school management, poor supervision by government, and insufficient support to teachers. In addition, problems arise from the inefficient distribution of resources across the sector, such as the inefficient distribution of teachers within schools, within districts and between districts, the overemphasis of resources at upper primary level, and the political redirection of grants at district level.

An additional problem relates to **substitute teachers**. According to the ECA audit on education in *Burkina Faso*, two studies reported that 14.1% of total teaching hours are covered by substitute teachers, or are not covered by teachers – that is, not held at all. This situation also seems to exist in *Bangladesh*, where, according to the survey of EUDs, teachers occasionally hire lower-qualified and lower-paid staff to teach on their behalf.

Moreover, the problem of "**ghost**" teachers exists – for instance in *Tanzania*, as highlighted by the ECA report. Ghost teachers, which are teachers on the payroll without actually performing duties, provide clear indications of lack of accountability and probable corruption in the education sector, given that salaries of non existing teachers are being misused by government officials for their private purposes. The PETS of 2009 suggests that there is an opportunity for illegal payment seeking by officials from different authorities willing to collude to ensure the release of funds to non-existing teachers. The PETS 2009 shows that 13% of the teachers on the official payroll of a primary school were not actually working at the school. This represents an estimated loss equivalent to USD 4.6 per student which

³⁰⁵ Patrinos, H. A. (2007): The Living Conditions of Children. Washington, DC, World Bank. (Policy Research Working Paper, 4251).

³⁰⁶ Employing a conversion rate from June 2007, based on the European Commission website: InforEuro: <http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en>

amounts to USD 37.8 million in total for mainland Tanzania. For secondary schools, the average proportion of absent teachers in the sample was also around 13%.

In *South Africa*, there are crucial accountability weaknesses that undermine the quality and equity outcomes. It has been indicated by the Country Note that both the EC and GoSA have ambitions to overcome these weaknesses. At school level, there are often serious issues of teachers spending limited time on tasks, with studies finding that of the 27.5 hours per week of allocated contact time with learners, many teachers spend as little as half of that time on teaching. Teacher absenteeism, lack of teaching activities (e.g. present, but inactive, teachers) and teachers having non-teaching obligations (e.g. union activity) are some of the challenges.³⁰⁷ Again a similar pattern emerges with poorer, more rural schools suffering more from limited teacher 'time on task', primarily due to a **broken accountability chain**, in which those responsible for enforcing discipline (e.g. principals, district officials and district directors) are failing to do so. This appears to relate either to collusion or to a lack of confidence in support from the political levels, given the political power of the unions. The role of the largest teachers' union (SADTU) can be particularly problematic, and examples of it abusing its political power to circumvent and undermine lines of accountability are legendary. The aspect of broken accountability is a key ingredient in the "toxic mix" undermining educational outcomes for the poorer sections of society. While the issue is increasingly taking centre stage in the public debate, there are still challenges for the political leadership, at both national and provincial levels, to address the issue head on. It is obviously less challenging to discuss curriculum development, teacher training and new initiatives, and this may explain why teacher accountability issues have been put on the backburner for so long. The EC has previously focused on these issues to a limited extent, and it is arguably only with the recently-launched sector budget support programme that the EC has found an appropriate entry point in which it can conduct dialogue around more **systemic issues** undermining learning achievements in South Africa. Previously, much of the dialogue centred on procedural and project-specific matters.

Another important case of teacher absenteeism is *Niger*. As indicated by the Country Note, according to PASEC data, about 30% of teachers are absent more than 18 days per year. The impact of absenteeism on pupils' performances is quite significant (minus eight points when teachers are absent more than a month). While there is no data on the evolution of absenteeism that could be confronted with EC support during the period under investigation, it is widely perceived that part of teacher absenteeism is related to delays in the payment of salaries. One can presume that GBS has helped to reduce absenteeism, insofar as GBS has been reducing recurrent shortages of money at the budget level.

However, there are also examples where teacher absenteeism is either not a problem or has been recognised as such and is being tackled with EC support. As indicated by the Country Note, teacher absenteeism is low in *Tunisia*, where teachers are afraid of possible sanctions. On the other hand, in the Sindh SBS in *Pakistan*, as indicated by the Country Note, the PAF contains the "reduction in teacher absenteeism" as one of the indicators to be further operationalised through a study commissioned in 2010. This clearly indicates that good progress has been made regarding transparency and accountability at the level of the SERP.

In sum, it appears that teacher absenteeism – including the problem of "ghost" teachers existing in, for example, *Tanzania* – is a significant problem in many countries analysed from all regions. Data shows that teacher absenteeism is higher in public sector schools, in schools with poorer infrastructure, in rural areas, and in poorer states. Reasons for teacher absenteeism are mainly poor teacher motivation and a broken accountability chain in which those responsible for enforcing discipline are failing to do so. Accountability weaknesses result in limited teacher 'time on task' – as, for example, in *South Africa*.

As a result, it is clear that high levels of teacher absenteeism directly affect learning time and outcomes, as well as national education costs and spending. As the examples of *Uganda* and *India* have shown, costs of absenteeism are far from negligible. As a consequence, the issue of **substitute teachers** also arises, as in *Burkina Faso* and *Bangladesh*.

Experience has shown that better monitoring, complemented by sanctions for non-performance, can cost-effectively improve attendance and performance of frontline staff. Such monitoring could either be done by communities themselves or by inspection, the key issue being their reliability and credible follow-up. Sanctions also appeared to be quite efficient in, for instance, *Tunisia*, where teacher absenteeism remains low.

³⁰⁷ Chisholm et al (2005): Educator Workload in South Africa, DoE.

The EC support aimed at reducing teacher absenteeism has been quite limited in the countries analysed apart from assisting in commissioning PETS. In *South Africa*, the EC only started a dialogue around more **systemic issues**, which undermine learning achievements, with the recently-launched SBS programme. In *Niger*, it seems that GBS has helped to reduce absenteeism, insofar as GBS has been reducing recurrent shortages of money at the budget level. In *India*, the EC support to DPEP and Sarva Shiksha Abhiyan appeared to have inadequately addressed the problem of teacher absenteeism, and failures in the "accountability chain" between service providers, clients and politicians are thus noted.

7.2 JC72: Strengthened role and involvement of non-state actors, civil society and local government in education sector management processes

If levels of accountability and transparency are to be raised, strengthening the role and involvement of civil society and local government in education sector management processes is crucial. EC policy documents increasingly recognise the importance of intervening at different levels. The "actors' dimension" is important in governance processes. However, in order to make progress in terms of accountability and transparency, the decentralised level also needs to be involved. Through decentralisation and deconcentration of administrative responsibilities, financial and implementation powers are shifted from the central level to the district and sub-district levels. Local Government administration and the decentralisation process face a multitude of challenges, such as local councils being unable to acquire the material resources for service delivery (because of their low revenue base).

According to an Overseas Development Institute (ODI) study, NSA involvement in the education sector has traditionally been high, with a variety of roles ranging from provision and funding of education services to monitoring and accountability, as well as a key role in policy programming. NSAs have been active in policy and programme design processes, providing inputs into structured processes such as reviews and sector reforms, as well as engaging in participatory processes. Moreover, NSAs are often a main provider of education services, especially in facilitating access for large proportions of the population, including the most difficult to reach and marginalised segments of society. They often are a channel of funding for such resources, and they directly provide teachers and schools. NSAs also have increasingly been involved in the monitoring of education services, with an active role in debates about quality of education, as well as having an accountability function to ensure that government commitments are carried out. Crucially, NSAs have slowly begun to be involved in the monitoring and evaluation of donor development programmes, either through mid-term and final reviews of donor programmes or Joint Review Missions of sector budget support programmes. However, this is a new and emerging area for NSA involvement. The key added value in all of these roles is that NSAs provide the link with the grassroots and beneficiaries of education services, articulating their needs and views. Understanding the realities on the ground leads to increased efficiency and impact of education programmes, allowing innovative practices to include the most difficult to reach communities.³⁰⁸

The following indicators are used to assess this JC:

- I-721: Issues of school management dealt with within decentralisation act
- I-722: Share of education budget managed at the decentralised level
- I-723: School stakeholders represented in school management and monitoring

The first and the last indicators have been merged, due to their complementarities.

A number of ways have been used by EC support to strengthen the role and involvement of non-state actors, civil society and local government in education sector management processes. They can be categorised as follows:

- Supporting the setting of general frameworks, mainly within the framework of GBS;
- Strengthening the decentralisation of education sector management processes;
- Enhancing the participation of NSAs in policy dialogue.

With regard to **setting general frameworks** for strengthening the role and involvement of civil society and local government in sector management processes, it is certain that the leverage of EC support in countries where it provides GBS/SBS and sector support is higher than in countries where it mainly

³⁰⁸ Overseas Development Institute (2009): Engaging non-state actors in new aid modalities, Final Draft, Bhavna Sharma, Marta Foresti and Leni Wild. December 2009

provides project support. Two examples, from *Ghana* and *Mozambique*, help to shed light on the potential of the GBS modality in that regard:

Box 42: *Using GBS to strengthen the role and involvement of civil society and local government: The cases of Ghana and Mozambique*

According to the 2005 CSE, EC support interventions in **Ghana** have contributed to facilitating decentralisation. Endorsement of the National Decentralisation Action Plan by the Cabinet was a major trigger for governance under MDBS in 2004. Decentralisation was also strengthened through the Human Resources Development Programme, with training provided to local authorities.

Moreover, the 2007 MDBS evaluation clearly states that “*participation of the non-state sector and of civil society and independent research and advocacy organisations in the budget process has also been growing over the period of the MDBS. MoFEP³⁰⁹ has created entry points for private sector and civil society bodies to provide input into the budget and policy process and these opportunities have been actively taken up.*” In taking up these opportunities, civil society’s inputs seem to extend well beyond the traditional post-budget analysis.

A GPRS Monitoring & Evaluation system was established to track progress against a set of 60 GPRS Core Indicators, including process indicators such as “dissemination of Parliamentary debates on poverty”. It constituted an institutionalised annual mechanism for measuring progress in the implementation of the GPRS, which included forums for structured inputs from civil society, development partners and parliamentarians. Such a mechanism had not previously existed in Ghana.

In **Mozambique**, according to the country study of the GBS evaluation (2006)³¹⁰, systems of decentralised planning and budgeting were being developed in seven of the 11 provinces, advised by the UN Capital Development Fund in the Ministry of Planning and Finance’s (MPF) directorate of planning and budget (DNPO), and supported by several Partnership General Budget Support (PGBS) donors. The most advanced case, in Nampula Province, has demonstrated that districts can develop properly budgeted local plans, even though they directly control only a small part of the resources flowing into their area. This is achieved by the joint identification of priorities between district administrations and local offices of sector ministries together with local populations, the pooling of information about available resources, and the development of a jointly costed plan. DNPO and the associated donors see this as having a bottom-up demonstration effect, and the 2005 Joint Review recommended its adoption as a model (Aide Memoire 2005: 9).

The country study of the GBS evaluation also indicates that PGBS “*has brought about policy dialogue that is more focused on policy priorities, more cross-sectoral, and more inclusive of stakeholders than previously existed. Non-official involvement – politicians, legislators and civil society – is restricted but growing.*” According to the evaluation, political leaders participate only in the last formal stages of the Joint Reviews, when the new Aides Memoire are affirmed. Parliament had resisted direct involvement in the dialogue as inappropriate to its status. The most significant development was the establishment in 2003 of a Poverty Observatory – a forum of government, donors, parliament and civil society organisations – to monitor and discuss the PARPA.

However, according to the GBS evaluation, it had the potential to become more significant. According to Hodges and Tibana (2004)³¹¹ “*...there is potential here for the development of an important lobby that could influence government policy.*”

Sources: ODI: *Joint Evaluation of Multi-Donor Budget Support to Ghana, London 2007.*

EGEval/ADE: (2005): *Ghana Country Strategy Evaluation.*

Batley, Richard and Bjørnstad, Liv (2006): *Evaluation of General Budget Support – Mozambique Country Report: “A Joint Evaluation of General Budget Support 1994-2004.*

While most CSPs of the sample countries relating to the periods 2000-06 and 2007-2010/13 contain general information about EC support to decentralisation processes, only five (*Niger, South Africa, Tanzania, Indonesia, Vietnam*), all covering the period 2000-06, mention such support to decentralisation as being directly related to the education sector. It might therefore be understandable that, with regard to efforts related to the **decentralisation** of education sector management processes, only a few examples could be found, highlighting the difficulties being faced in that regard and the seemingly rather mixed track record of EC support:

- In *India*, the 1997 Financing Agreement between the EC and GoI, mentioned in the 2007 CSE, also highlighted in particular the contribution of Panchyat Raj Institutions (PRIs) in relation to the capacity-building elements of the programme. However, a review of the supported reforms showed that the involvement of PRIs has not materialised. The programme has built capacity primarily within the line ministries and associated bodies on the central and state levels. In the education sector, the situation is similar. In many states, weak accountability mechanisms at the local level continue to be key obstacles to improving the delivery of basic education. Ac-

³⁰⁹ Ministry of Finance and Economic Planning

³¹⁰ IDD et al. (2006): *A Joint Evaluation of General Budget Support 1994-2004. Evaluation of General Budget Support – Mozambique Country Report*

³¹¹ Hodges, T. and Tibana, R. (2004): *Political Economy of the Budget in Mozambique. Complete Final Manuscript.* (12 December 2004).

cording to the CSE, neither the DPEP nor the Sarva Shiksha Abhiyan successfully addressed this problem.

- In *Vietnam*, the EC strategy 2002-06 was to focus on measures to support and strengthen the available capacities to implement sector-based management of education and training at the provincial, district and school levels. As already indicated in EQ6, the (SMOET) and SREM projects did develop EMIS, as well as a more recent and complicated system at the provincial level. However, the introduction of these systems was not very successful because of their complexity and the lack of time for capacity building.
- Contrary to these experiences, in *Tunisia*, according to the Country Note, a decentralisation process is under way, which was supported by the second SBS³¹². Twenty-four regional education offices have been set up, with a limited staff and limited capacity. The regional offices have not yet demonstrated their capacity to elaborate regional education plans showing a real aptitude to identify specific problems and solutions related to their region. They are mostly representatives of central government, and tend to apply national policy. There is an ongoing new decentralisation approach based on “Commissariats régionaux à l’éducation” (Regional Offices for Education), supposed to have more management autonomy. However, for the time being, the Tunisian education system remains highly centralised.

As for **Non-State Actors**, EC support, in a good number of cases, seems to have yielded tangible results. It becomes apparent that NSAs can be an important ingredient in policy dialogue and service delivery. The role of NSA has also become increasingly significant in implementation, for instance in *Bangladesh*, where EC support strategy increasingly encouraged the mainstreaming of non-formal education with government oversight. In contrast, in *South Africa*, the EC strategy only used NGOs/NSAs in support to government, but primarily as financial and project management conduits, and as service providers. In *Uganda*, the EC support to NSA has been particularly successful in contributing to the strengthening of NSAs and in developing their capacity to participate in policy dialogue with government – as for highlighted, for example, by the CSE 2009. The EC support in Uganda also enabled NSAs to acquire increased access to national and international financing, and thus to play a major role in service delivery. The *Dominican Republic* constitutes an interesting case in that regard, as the EC supported successful initiatives there, contributing to involving NSAs in policy dialogue and education service delivery. Both *Morocco* and *Ecuador* are noteworthy cases where NSAs involvement has been supported through SBS programmes, with a range of performance indicators, including a role for NSAs in monitoring. In *India*, NSAs are seen as key partners in the delivery of state sector programmes, and the EC has therefore been able to use thematic budget line projects and programmes to complement sector budget support in education to support the national policy framework.

The following examples help to illustrate this summary:

- According to the Country Note *Bangladesh*, the government had poor absorptive and administrative capacity in the early 2000s. Support to NFE was therefore channelled into one large NGO that was known to have efficient mechanisms of monitoring and fiduciary accountability, at a time when large numbers of projects proliferated and were sometimes competing. Donors demanded adequate control systems to be in place and to be operational, something which BRAC could provide at a time when the government system was lacking. For example, the NGOs were able to appoint teachers much more quickly by circumventing bureaucratic procedures. Similarly, the “innovation” grants could be more rapidly assessed and utilised by NGOs, whereas the government had little experience and their calls for proposals were described by some donors as, at best, “chaotic”. The EC focus on targeting one specific, manageable education area was therefore appropriate and provided coherence within a narrow field of activities that could then impact on a national scale.

However, the CSP 2002-2006 provided a caveat, in that while “*support for non-formal primary education will continue under the new CSP as long as there is inadequate provision of primary education for the poorest groups in society [...] provision of compulsory primary education is ultimately a State responsibility so the EC will encourage the Government of Bangladesh to work with those NGOs active in non-formal education in order to mainstream their successful approaches and best practice into the formal education system or even shoulder some of the financial responsibility*”. The donors (including the EC) and the Government of Bangladesh recognised the problems caused and tried to address the situation. The Government PRSP (2005) proposed that a national policy for non-formal education should be adopted, and that a

³¹² For the time being, it would be more appropriate to speak of “deconcentration” rather than decentralisation, although it is claimed that the newly created regional units will have more power than previous Regional Directorates.

regulatory framework should be established. EC support strategy increasingly sought to encourage the mainstreaming of non-formal education with GoB oversight.

- In *South Africa*, the Country Note indicated that NSAs have historically been involved in the education sector, and the EC supported these prior to the democratic transition. During the period under evaluation, the EC has focused on government and its core role of providing educational service to the learners. NGOs/NSAs have been used in this support to government, but primarily as financial and project management conduits, and as service providers.

With the benefits of hindsight, it could be argued that more emphasis on NGOs and other NSAs in areas of teacher and school accountability and governance could have been extended, as the evidence of governance failures and weak accountability at the school level gradually became clear. The EC has worked with SGBs and School Management Teams (SMTs) in the relatively narrow area of facility management, but this has not directly addressed the main issues around accountability – nor was it intended to.

Box 43: South Africa: The role of NSA in education management

In South Africa, NSAs have historically been involved in the education sector, and the EC supported these prior to the democratic transition. However, after 1994, the focus obviously shifted towards supporting the new democratic government in addressing the enormous disparities and shortfalls. Other NSAs include the corporate sector, which has invested several billion Rand into the education sector, often as part of their corporate social investment programmes. While benefiting the targeted individual schools, some of these initiatives have cherry-picked already well-functioning schools, avoiding the underlining problem of the majority of schools marked by various degrees of dysfunctionality.³¹³ Provincial government constitutes a key pillar in implementing the nationally-defined education policy. Principal implementation responsibility lies with the nine Provincial Departments of Education and, lower down, with their respective education districts.

For the evaluation period, the EC has focused intently on government and its core role of providing educational service to the learners. NGOs/NSAs have been used in this support to government, but primarily as financial and project management conduits, and as service providers (e.g. in TSP for DoE). This came about because South African budget regulations made it difficult to provide direct financial support to individual ministries outside the budget. Consequently, most of this support was not conventional NGO support, but rather a mechanism through which to channel support to government. The evaluation team has evaluated this support as being aimed at government, not the non-state sector. EC support to provincial governments has taken place, as was the case in the Eastern Cape (ESSP and SISP), KwaZulu Natal (SISP) and Limpopo (SISP). The TSP-DoE, in addition to providing support to the DoE, also supported all provinces with capacity development.

Outside the EC-RSA budget, South African NGOs have also benefited from support from global thematic budget lines. The largest of these projects has been the Salesian Youth Capacity Building project (2006-09, € 400,000). This aimed at providing disadvantaged youth with a range of educational skills and training opportunities, and helping them to become empowered and independent. Without dismissing the impact on individual learners' life prospects (which was considerable), the identification and implementation modalities of thematic global budget lines meant that the project did not play any strategic role in the wider aspects of EC support to the education sector in South Africa. The same can be said of the other NGO projects funded under these budget lines.

Source: Country note South Africa, June 2010

- *Uganda* is a case where NSAs are represented on aid co-ordination committees, but their level of influence is still fairly limited. The CSE 2009 highlighted that various interviewees have observed that EC support has contributed in a small way to the strengthening of the NSAs and in developing their capacity to participate in policy dialogue with government. With EC support, they have acquired increased access to national and international financing – enabling them to play a major role in service delivery.

The CSE 2009 stated that the 9th EDF Civil Society Capacity Building Programme (€ 8 million) is being implemented to strengthen the capacity of local NGOs, both in terms of advocacy and service delivery. More than 50 local NGOs countrywide will have benefited from capacity building and micro-projects under this umbrella, and the capacity of civil society to undertake advocacy at the national level will also have been addressed. This intervention is the first of its kind to be funded under the EDF in Uganda and aims at strengthening CSOs so that they actively participate in the development process.

According to the CSE 2009 findings, *“the negotiation, advocacy and mobilisation capacity of NSAs has improved significantly. Information obtained from the Annual Poverty Eradication Action Plan (PEAP) Implementation Review (APIR) suggests that NSAs involvement in policy planning and programme formulation has improved significantly.”* In this respect, the CSE highlighted the representation of NSAs in all key sector working groups and in active contribution to major policies, in addition to specific sectoral policies such as ESIP. *“NSAs have also*

³¹³ Bloch, Graeme (2009): The Toxic Mix.

been actively involved in the (PEAP) revision exercises in 2003/2004 and in 2007 – the precursor to the soon to be launched National Development Plan. Through its Civil Society Capacity Building Programme (CSCBP), the EC supported CSOs' engagement in this process by funding the research and development of policy papers (through participatory policy research or PPR) articulating CSOs' proposals on key development issues. The policy papers have facilitated constructive dialogue with key sector ministries and the National Planning Authority. CSOs have previously contributed to ensuring that plans are pro-poor, and it is therefore not known how much influence they will have on the NDP, which is expected to represent a shift to greater focus on growth. It has however been noted that the "policy spaces" are constrained – the CSOs having no influence on final decisions made by Government."

This trend is also confirmed by the relevant ECA report, stating that Uganda has quite a well-developed civil society and the EC has regular contact with Non-State Actors (NSAs), also through its General Budget thematic programme for NSAs, which is subject to regular monitoring visits by the EUD. However, according to ECA, neither analysis carried out by civil society on poverty and budgetary issues nor information gathered at grass roots level during project monitoring visits appear to be systematically collected and used by the EUD as an input to its monitoring of GBS-related issues.

- An interesting case is the *Dominican Republic*, where, according to the Country Note, there is a very important presence of CSOs in the decision-making process on education, especially on advocacy and lobbying for the increase of resources devoted to education in the national budget and regarding the compliance with legal requisites. The most important of these initiatives has been funded by the EC (see following box). Overall, civil society and non-state actors are involved in service delivery, in the debate about education reform and planning, and in advocacy and lobbying initiatives for the increase of public investments in education. The EC has supported some of these initiatives, as well as brought together non-state actors for open discussions.

Box 44: Dominican Republic: The role of civil society in the education sector

In Dominican Republic, a National Research, Advocacy, Lobbying and Institutional Education/Information campaign has been carried out by the Observatory for Social Policies within the Centro Juan Montalvo and the Bonó foundation, mobilising several CSOs on sectoral and general matters (such as: Acción Magistral, Foro Socio-Educativo, Foro Ciudadano). The project has been funded by the EC under the PAIGFP Programa de Apoyo institucional a la Gestión de Finanzas Públicas Call for Proposal for CSOs.

In 2005, the Presidency created the Foro Presidencial para la Excelencia de la Educación Dominicana (Presidential Forum for Education Excellence) and made a public call for support to the government in the revitalisation of education and educational reform through better policy and policy-making (La escuela no puede sola: 2005).

This forum was seen as a means to promote the participation of all national actors in the improvement of the educational system. Leadership involved the State Secretariat for Higher Education, Science and Technology. National Institute for vocational training and State Secretariat for Education. School representatives, the business sector and parents' organisations, among other social actors, are organised into thematic working groups.

A specific but very important co-operation experience is the Regional Education System co-management, with a CSO specialised in education. The "*Centro Cultural Pedro Poveda*" in the Regional Directorate X (Santo Domingo) represents almost 30% of the student population. The Regional Directorate is very satisfied with this co-operation, since it is producing a change in mentality and culture, a growth in teachers' capacity, and better performance of the system.

Source: Country Note Dominican Republic

- A completely different situation can be found in *Tunisia*, where, according to the Country Note, most decisions related to education are elaborated at government level, with only a marginal influence from civil society. This was partly deplored by representatives of civil society interviewed during the field visit, and EC support has not touched on this issue.
- With regard to **participation of non-state actors in policy dialogue related to education**, it seems that the potential is not yet fully explored. For instance, the ECA report for *Namibia* speaks of "limited involvement of Non-State Actors". Although national regulations allow full participation of NSAs in policy dialogue, the involvement of NSAs in ETSIP has been limited in practice. It was also noted that there had been limited involvement of NSAs in the implementation of ESP. However, according to the report, the 10th EDF programme envisages a specific component on social accountability to enhance NSAs' involvement in the education sector.
- According to the ECA report for *Burkina Faso*, NSAs are heavily involved in policy dialogue, as well as in the implementation of government-financed activities. For example, they are part of the partnership for education (Cadre de partenariat pour l'éducation), and are involved in the field of literacy. Furthermore, some NSAs are financed through thematic budget lines for edu-

education projects (especially non-formal education), which allows them to collect education-related data from sources other than the government.

- The ODI study on NSAs stated that in countries where sector budget support is being chosen, there have been a variety of ways of implementing it, with a range of performance indicators to agree upon. Some of these explicitly include a role for NSAs in implementation (e.g. in *Morocco*) or monitoring (e.g. in *Ecuador*), which was confirmed during the video-conferences held by the evaluation team.

Box 45: Morocco and Ecuador: SBS with specific roles and indicators for NSAs

Both Morocco and Ecuador are interesting examples where NSA involvement has been built into the design of the sector budget support programme. In the case of Morocco, the SBS includes specific indicators relating to the government's partnership with Moroccan NSAs, particularly focusing on implementation of certain aspects of the education programme – namely, projects aimed at reducing illiteracy.

In *Morocco*, NSAs, NGOs and the private sector in particular are in partnership with the government in the implementation of the education SPSP, with a focus on literacy projects. This reflects existing arrangements in Morocco, where the state and NSAs collaborate at local level in the delivery of non-formal education services. In particular, the government body responsible for literacy programmes, the DLCA (Direction de la Lutte Contre l'Analphabétisme), works in partnership with local NGOs and the private sector in the development and delivery of non-formal education initiatives. This is because it is recognised that NGOs and CSOs are best positioned to engage with members of the local population who dropped out or do not have formal education.

It is anticipated that at least 50% of the funds available through the SPSP on literacy will be channelled through NGOs, and a number of indicators have been proposed to monitor NSA engagement – including "number of agreements signed with NGOs" and "proportion of beneficiaries enrolled in projects by the NGOs".

A number of capacity development initiatives are also in place to support state and non-state actors involved in the programme. Finally, a dedicated **call for proposal** of the thematic programmes on NSAs has recently been published to, in part, complement the SPSP.

In *Ecuador*, an SBS to the education sector named PAPDE (€ 41.2 million) was agreed with the government.

One of the key objectives in the government's 10-year education programme is to improve data gathering, reporting and analysis of information systems to improve the Ministry of Education's (MoE) planning, implementation and monitoring of the education plan and strategy. Thus, the MoE has created a new national system of results and social accountability, with data and indicators to be gathered for key subjects. This will form part of a new policy on social accountability and transparency with citizens having a greater role in monitoring policies and activities of the education sector. In Ecuador, the capacity of NSAs to engage with policy processes and the government is high, and therefore it was felt that NSAs would be able to fulfil effectively this new accountability role.

NSAs, therefore, have a key role to play in the monitoring of national education policy, as well as a participative role in the design, implementation and monitoring of education plans at local level. Specifically, in the matrices of indicators for the education sector (which the government agrees to prior to the sign-off of sector budget support), there are specific indicators relating to the role of key stakeholders as "**citizen watchdogs**". Thus, key groups (such as the Observatorio de la Política Fiscal, Grupo Faro and Contrato Social por la Educación) are given a role in consultation on and design of education policy.

In addition, an envelope of € 300,000 of the SBS' total budget has been put aside in order to support civil society monitoring of the implementation of the education sector policy and work programme. This activity was contracted under the EC rules by the EUD. A call for proposals was launched, with the MoE as an observer. The selected think tank participates in a high-level technical co-ordination committee established by the MoE. This committee has worked on the indicators of the education sector policy, which will be monitored by the think tank. In this respect, the think tank was given access to information and statistics regarding the progress and completion of programme objectives and results.

Overseas Development Institute (2009): Engaging non-state actors in new aid modalities, Final Draft, Bhavna Sharma, Marta Foresti and Leni Wild. December 2009

- According to the ODI study, NSAs can also be seen as key partners in the delivery of state sector programmes, and therefore the EC has been able to use thematic instruments to support the national policy framework – for instance, in *India* – while also identifying gaps in national policy where they might focus their efforts in agreement with the government (e.g. vocational training in India). However, donor conditionalities in the SBS that emphasise the need for the government to include NSAs in policy, design and monitoring more fully are not yet used in India (in contrast to *Morocco* and *Ecuador*). This could help to ensure that NSA involvement in state sectors such as education moves beyond simply implementation of government programmes.

Box 46: *India: Sector support complemented by a thematic programme for enhancing NSA participation in dialogue and monitoring*

India is a case where the government has been implementing its state education programme with the support of sector budget support provided by a small group of donors (EC, DFID, GTZ, USAID, and the World Bank). The key issue in India is not a lack of funds for state programmes, but a lack of state capacity to implement its programme in all of its territory and reaching all communities, including those geographically marginalised and socially excluded. Thus, the Government of India has a well-established relationship with NSAs, where NSAs are considered to be an important player in the implementation of state programmes and projects, as well as generators of innovative and pilot projects that can be scaled up when success has been proven.

The EUD in India has gone to great lengths to use thematic budget lines to complement sector budget support in education. Its focus has been that thematic budget line projects and programmes must be relevant to the national policy framework. Thus, its recent call for proposals under the NSA and local authorities thematic budget line focused on engaging NSAs experienced in education (and health) and working closely with the national policy framework of the state education programme.

Internally, according to ODI, there appears to be good communication between the sector budget (geographic instrument) and thematic staff. The thematic calls for proposals have been designed in consultation with the sector budget support teams. Additionally, the education sector budget support programme manager was part of the evaluation team for the thematic calls for proposals. This ensured a high degree of **complementarity** in the projects chosen with sector budget support.

The EC is encouraging NSAs to bring in technical expertise, know-how, best practices and lessons learned (in-country and from abroad). Indeed, the next call for proposals specifically asks NSAs to link up with European counterparts to generate best practices and examples from Europe and India that can be applied to the Indian context.

Overseas Development Institute (2009): Engaging non-state actors in new aid modalities, Final Draft, Bhavna Sharma, Marta Foresti and Leni Wild. December 2009

7.2.1 I-721: Issues of school management dealt with within decentralisation act; and I-723: School stakeholders represented in school management and monitoring

The decentralisation of school management and the involvement of school stakeholders aim to reinforce schools ownership and self-governance.

From the information available, it seems that issues of school management are rarely fully dealt with within decentralisation act, but these acts institutionalise and stipulate SMCs (School Management Committees) and PTAs (Parent Teachers Associations). Responsibilities of the SMC may include recruitment of head teachers; moreover, SMC charters frequently outline responsibilities of head teachers.

In many countries, the EC supported the creation of SMCs at local level, involving representatives of teachers and parents' associations, as well as supporting their training in some cases. From the information gathered during the desk phase and the field visits, it appears that the EC contribution supported the role of such committees in school management in many countries, such as *India, Niger, Liberia, Pakistan and Bangladesh*.

At a more detailed level, the following findings – mainly for the sample countries and mainly based on field visits, ECA reports and CSEs – could be generated:

- In *Bangladesh*, in the framework of the EC-funded Tribal Children Education Programme (TCEP- ONG-PVD/2004/060-854), SMCs have been established. They meet every three months and are involved in the collection of data or information for the monitoring system. However, according to a ROM report (MR-20585.01), “*while SMCs are established and meet regularly, they have not been able yet to assume their specific role, i.e. to promote/ensure the maintenance and sustainability of the established schools*”.
- In *India*, Central Panchayati Raj Institutions' (PRIs) mandate, responsibilities and election procedures including gender distribution are well-outlined. Roles and responsibilities of Village Education Committees (VECs) and SMCs are defined in the Panchat Raya. The EC, through its support to DPEP and Sarva Shiksha Abhiyan in co-operation with development partners, has assisted GoI in launching, delivering and resourcing wide-ranging and complex education sector programmes, centrally co-ordinated and managed and implemented at state, district and sub-district levels by local PRIs, such as VETs and SMCs, Parent Teacher Associations (PTAs) up to the school and its teachers.
- According to the Country Note *Niger*, school management relies on newly-created management committees called COGES. Set up through a decree dated May 6, 2002, they comprise of the headmaster, three representatives of teachers, three representatives of the parents' association, three representatives of pupils, one representative of traditional authorities, one rep-

representative on non-teaching staff, one representative of the women's association, and one representative of NGOs operating in the education sector. The COGES have been supported, in particular, in 135 schools supported by the SOUTEBA project. These management committees have begun to be organised in primary schools, but it is too early to comment on their effectiveness. In the SOUTEBA project, they have not been able to generate additional resources for supporting the assistant teachers ("compagnons éducateurs") created by the project, due to Nigerian parents' reluctance to pay a contribution towards costs.

- In *fragile states*, EC support promoted community participation in school management. The ECA report mentions a study by the EC, which noted that while the 2001 Education Law in *Liberia* required the establishment of a board of governors, parent-teachers association (PTA) and an SMC, these provisions had largely still not been implemented by 2007. The study also found that the system put in place to manage the School Block Grant in support of poor children's access to primary education has "*limited transparency and is usually kept and utilised, with limited community consultation, by school principals*". In light of this reality, one of the aims of the ECSEL project is to "*solicit participation from community structures for educational delivery*". This was planned and, according to the ECA report, is apparently "*ongoing as a cross-cutting activity*" in early 2010.
- In *Pakistan*, according to the Country Note, issues of school management are dealt with in the Local Government Ordinance (2001), and hence there is a need to strengthen SMCs' participation and capacity for supporting school management. However, communities in Sindh districts still need to be mobilised in order to substantiate direct ownership of schools and develop capacity to self-govern. On the other hand, all EC supported interventions, including earthquake-related emergency relief to the education sector, can be considered as successful examples relating to the issue of school management. Emphasis has been given to mobilising and strengthening the capacity of SMCs and PTAs. For instance, in the Northern Education project, parents and members of community-based School Management Bodies have been trained (1,943) in effective school management, governance and resource mobilisation. In addition, although the Sindh EC SBS is rather recent, some developments can be noted in a process that ultimately should lead to SMC involvement in school improvement planning. The EC commissioned a study on SMCs. The first year Compliance Report mentioned the following as one of the first year conditions: "Mobilisation and establishment of SMCs in middle and secondary schools as per new guidelines on composition, appointment procedures, roles and responsibilities." Built-in transparency and accountability are established in the conditionalities – for example, a baseline is established with all accounts data of all SMCs in all schools. Funds are available but have not yet been released, as a scrutiny of SMCs is still taking place.

7.2.2 I-722: Share of education budget managed at the decentralised level

Both the desk study and field visits did not find sufficient data available to fully assess the degree to which education budgets are managed at the decentralised level, and to identify general trends related to the share of education budget managed at the decentralised level. However, there seems to be a limited proportion of the education budget that is fully managed at the decentralised level. A number of countries have been moving in that direction – for example, *Indonesia* and *Liberia*, with the EC Support to Education in Liberia planning to strengthen decentralised education sector PFM and initial capacity building of decentralised actors. According to the ECA report, this was planned for the ECSEL, but will require ECSEL extension to actually be implemented.

- In *Indonesia*, decentralisation and deconcentration of administrative responsibilities shift financial and implementation powers from the central level to the district and sub-district levels. Sub-national governments are in charge of 70% of education spending, but almost all goes into salaries (central government still dominates the investment budget). Poor districts spend a larger share of their budget on education, but spending levels are low in comparison with wealthier districts. Studies indicate wide variation between districts on per student expenditures and per school expenditures, and student teacher ratios that generally favour urban areas and put poor rural areas at severe disadvantage.

The decentralisation policy is now further operationalised in terms of decrees substantiating operational standards. Guidance is being provided for Line Ministries in developing MSS and establishing targets based on the capacity of the region.³¹⁴ MSS are at present being prepared,

³¹⁴ Socialisation of Government Regulation 65/2005, Minister of Home Affairs decree No. 6/2007) and Draft Minister of Home Affairs Regulation on Achievement Plan for Minimum Services Standard based on capacity of regions

with Bappenas, MoNE and MoHA involvement, in order to arrive at a costing and budgeting base for Free and Compulsory Nine-Year Basic Education.

- According to the Country Note *Dominican Republic*, the education budget is managed centrally, and national resource management has not been decentralised. Resources from donations and loans have increasingly been decentralised and attributed to School Councils (*Juntas*) on the basis of a reliable mechanism based on fixed criteria such as transparency, community participation and mutual control, and a check-and-balance mechanism.
- In *Pakistan*, the Country Note indicated that, due to the Local Government Ordinance of 2001, a large shift in budgetary allocations towards the districts is noticed. In its budget support, the EC follows this shift by earmarking € 26 million out of € 33 million to the Sindh districts.

7.2.3 I-724: Existence of public scrutiny mechanisms

Public scrutiny mechanisms can help to enhance accountability and transparency of governments. Moreover, how well a government informs its population about key information related to the sector also constitutes a major element of transparency – for example, about the budget.

According to Transparency International, measures to increase budget transparency may comprise:

- Avoiding off-budget activities, thus giving the full picture of the government's financial status;
- Making information available in a timely manner (e.g. electronically)³¹⁵;
- Building budget literacy so that citizens can hold their leaders to account. The legislature is more likely to effectively monitor the budget process if there is widespread public interest in budget issues. Media and civil society organisations play a particularly important role in public debates about the budget.
- Developing the capacity of parliamentarians so that they are able to analyse the budget proposal, monitor expenditures, and evaluate outcomes. Parliamentarians can initiate public hearings and debates, establish special committees, and request further information from the executive;
- In the context of shifts towards SBS and GBS, functioning mechanisms become more and more important. However, such measures of support go well beyond the core of the education sector, and clearly show that support to the sector needs to be embedded in overall government efforts to strengthen its accountability. In that regard, EC **GBS support has certainly much more leverage than sector support alone** – as shown, for instance, by the example of *Ghana*, where the 2007 MDDBS evaluation found improvements in governance and democratic accountability in the MDDBS period following a path of steady political reforms that have been ongoing for several years. While the improvements appear to have coincided with government efforts to deepen governance, the MDDBS has encouraged the government to stay on track and to deepen such reforms. On the other hand, key governance and democratic accountability deficits persist, despite MDDBS. However, participation of the non-state sector and of civil society and independent research and advocacy organisations in the budget process has also been growing over the period of the MDDBS. The Ministry of Finance and Economic Planning has created entry points for private sector and civil society bodies to provide input into the budget and policy process. These opportunities have been actively taken up by civil society, whose inputs extend well beyond the traditional post-budget analysis.

In *Uganda*, the EC has contributed to enhancing the participation of civil society in governance and policy planning processes, while in *Ecuador* the EC funded a civil society surveillance project (watch-dog, see above).

(GTZ and CIDA will provide TA for MOHA on that). Data obtained from presentation during Donor Working Group on Decentralisation Meeting, March 1 2007

³¹⁵ As for instance in Kenya, where the PEFA Public Financial Management Performance Assessment Report (2009) indicates that fiscal information is mainly provided through three sources: different websites of government entities, Government Printer's shop in central Nairobi, or through direct contact with government entities when documents can be provided as email attachments or as printed versions for free. "When it comes to the availability of information provided to primary service institutions also the notice board publication of estimates is utilised for schools in primary education." The report indicates that for four out of the six categories of documents there is evidence that the public has access to the documents (Linpico (2009): PEFA Public Financial Management Performance Assessment Report.)

- In *Uganda*, the ECA report indicated that the EC supported NSAs through the General Budget Line Non-State Actor Programme in 2007 and, to a lesser extent, 2008, which focused on strengthening the capacity of civil society to hold local government responsible for its use of financial resources (so-called "downward accountability").

The CSE 2009 states: "EC support has contributed towards multi-donor efforts geared at enhancing the effectiveness of CSOs' engagement in governance processes. The EC has, through different interventions, strengthened CSO competencies, and increased their visibility at both the national and district level. Important contributions at district level include support towards the strengthening of social and downward accountability mechanisms and citizen participation, both of which are critical for improved service delivery. At the national level, EC support has facilitated and contributed to CSOs' better engagement with policy planning processes, including the ongoing PEAP revision and formulation of the National Development Plan, which will define the country's development priorities."

- As already mentioned above, the video conferences confirmed that the EC-supported civil society surveillance project in *Ecuador* was very successful as a public scrutiny mechanism ("Civil society surveillance programme accompanying the SBS", under the decision 19030). The project had the objective of collecting, commenting on and publishing the achievements made within the education sector programme, with the result that "the Ministry of Education feels that this action is a part of its own account rendering system".

7.3 JC73: Strengthened staff competencies related to accountability issues

Strengthening staff competencies in relation to accountability and transparency issues is of utmost importance to improving education sector management processes. Many countries face the need to develop a comprehensive capacity building and training programme for audit staff. This could include specific education and training for professional accounting qualifications, and training on audit standards and practices, risk assessment techniques and computer-assisted techniques.

This JC includes the following indicators to support assessment:

- I-731: Increased and strengthened accountancy and bookkeeping competencies at different levels
- I-732: Joint sector reviews, including budget reviews, periodically taking place
- I-733: Establishment and monitoring of Annual Work Plans and Budgets linked to education sector plans and education MTEF (if existing) by Ministry of Education

Overall, from the data available for the sample countries – mainly based on field visits, ECA reports and CSEs – it appears that EC support has not convincingly tackled weak staff competencies related to accountability in the education sector.

In *Asia*, EC support appears to show mixed results in addressing issues of staff competencies related to accountability. In *Bangladesh*, PEDP, partially funded by the EC, supported the creation of a Programme Liaison Unit (PLU), which provides technical capacity-building, as well as expertise to improve financial management. However, in *India*, neither the DPEP nor the Sarva Shiksha Abhiyan successfully addressed the problem of weak accountability mechanisms at the local level in the education sector. In *Africa*, EC support contributing to strengthening staff competencies related to accountability issues also does not seem to be successful. In *Niger*, the objective of PDDE related to the strengthening of institutional capacity of the relevant ministries has not been achieved satisfactorily. In *South Africa*, EC support in the form of training and TA has often been useful, but the main governance failures seem squarely located at lower levels of government, and the EC has not provided much support to date. The case of the *Dominican Republic*, where the EC's substantial provision of TA has contributed to enhancing capacities on various issues, seems to be interesting in that regard. The "diffusion" of a culture of accountability and planning capacity is one of the most important results of this TA. The modality of action is currently being used as a reference for all grants and loans related to education.

It appears from the EUD survey that when the education sector benefits from direct support (pool funding, etc.), usually no additional technical assistance or capacity building components is provided in the framework of the GBS, as is the case for *Mozambique*, *Ghana* and *Uganda*. In the few cases relating to the issue of co-ordination of TA and capacity building, the co-ordination is mostly effective and usually takes place during GBS meetings and reviews.

This overall assessment is underpinned by the following findings, mainly originating from the field visits:

- In *Bangladesh*, according to the Country Note, substantial efforts have been made to address issues of staff competencies related to accountability. The 2008 MTR of PEDP I acknowledged progress towards improving budget planning, financial management and procurement under PEDP II through a PLU, which provides technical capacity-building as well as expertise to strengthen fiduciary risk mitigation through improved financial management.
- In *India*, the EC support has built capacity primarily within the line ministries and associated bodies at the central and state levels. In the education sector, the situation is similar. In many states, weak accountability mechanisms at local level continue to be key obstacles to improving the delivery of basic education. According to the CSE, neither the DPEP nor the Sarva Shiksha Abhiyan successfully addressed this problem. The review of the Sarva Shiksha Abhiyan programme showed that addressing key governance challenges, such as the incomplete fiscal empowerment and inadequate management structures at local level, was at least partly outside the scope of the EC programme.
- In *Indonesia*, district staff requires a wide range of new competencies for financial management, monitoring and supervision. Managing regional funds as well as monitoring central schemes operational in the district also requires the design of a district-based Financial Management Information System, which should be linked to Public Finance Management Reform. Central staff need to acquire additional competencies to cope fully with their roles relating to policy making, standard setting and monitoring. These have been partly accommodated by the MDTF with ADB, the Basic Education Sector Capacity Support Program (BESCSP), supporting the Government of Indonesia through improved delivery of decentralised basic education services by local governments and schools. This was furthered by the Basic Education Capacity Trust Fund (EC, Netherlands - World Bank managed). Through its selection of districts both with strong and weak implementation capacity and by piloting district education budget support, the programme facilitated an assessment of capacity building and system requirements for a cost-effective large scale district-based investment programme.
- In *Niger*, according to the Country Note, among the three objectives of the PDDE, the one related to the strengthening of institutional capacity of the relevant ministries has not been achieved satisfactorily. The Secretary General is still playing the leading role, and the involvement of technical directorates remains minimal.
- In *South Africa*, according to the Country Note, educational accountability appears strongest at the higher levels of the sector, with the strength declining at the level of individual schools, principals and teachers. Here again, there is significant variation according to socio-economic status (too often coinciding with historical racial classifications). The issues of weak accountability at local level go beyond technocratic issues of staff competencies, which could easily be addressed through improved bookkeeping and other training courses. They appear intertwined with the more complex aspects of politically powerful groups being able to circumvent and undermine official accountability regimes with impunity. These complex challenges will require more than additional educational inputs and declarations of intent to address. The EC has provided inputs in the form of training and TA, which has often been useful, especially at higher levels of government, although accountability improvements were often not the main objective. However, the main governance failures seem squarely located at lower levels of government, and the EC has not provided much support to date. Individual projects and their idiosyncrasies have absorbed too much attention, but it should also be recognised that the issues of accountability have emerged as central concerns only relatively late in the evaluated period.
- In the *Dominican Republic*, according to the Country Note, the EC's substantial provision of TA has contributed to enhancing capacities on various issues. The "diffusion" of a culture of accountability and planning capacity is one of the most important results of this TA. The modality of action is currently being used as a reference for all grants and loans related to education³¹⁶. MINERD staff capacity has been enhanced on financial planning and management issues and there is a growing coherence between budgets and education sector plans.

³¹⁶ This has been discussed in the Donor Board (Mesa de Donantes) currently co-ordinated by the EC, and includes all bilateral and all multilateral donors (e.g. development banks), who are now aware that SBS is the modality adopted and that there are consolidated mechanisms to be adopted by all development partners in education. See: Minutes of the Mesa de Cooperación Sector Educación of 10th Sept. 2009.

7.3.1 I-731: Increased and strengthened accountancy and bookkeeping competencies at different levels

Looking at the more detailed level of increasing capacities, an issue to be considered is accountancy and bookkeeping competencies at different levels. However, both the desk study and field visits did not produce adequate information to be fully conclusive about the EC's contribution in this regard. Nevertheless, it became apparent, even from the rather sparse evidence found, that the EC contribution to increased and strengthened accountancy and bookkeeping competencies at different levels has remained very limited. The following examples can be provided in that respect:

Understandably, EC-supported SBS in *Tunisia*, according to the Country Note, did not include any specific areas of indicators related to accountancy and bookkeeping competencies, as Tunisian capacities in this respect were already adequate. Efforts in *Pakistan* vary between the different types of support. In the NGO-driven Northern Education Project, such support is strong and even directly linking to the local government. However, it is done in a somewhat piecemeal fashion in the earthquake-related education sector approach and in the system-wide approach of the SBS SEPSP. Through TA, capacity building is taking place within the framework of SMC awareness and mobilisation. Furthermore, district and school managers are being trained through the sub-programme "District Sindh Education Sector Managers Training". The first year compliance report notes the following related to the conditionalities of preparing district government budgets on the new code of account and new accounting model, as of the financial year 2006/07: "Regarding training of relevant staff at district and provincial levels, it was announced that this training will continue."

7.3.2 I-732: Joint sector reviews, including budget reviews, periodically taking place

In most **SPSPs/SBS**, independent technical monitoring missions are organised to conduct an independent review of progress. These missions link with and support the ministries in charge of budget cycle and the annual joint review process in the partner country. In *India*, for instance, according to the EUD survey, the JRM is currently considered to be "the" vector for donor co-ordination, with twice-yearly meetings to review progress of Sarva Shiksha Abhiyan, and bringing together education and financial experts from Gol and donors. The EUD characterises these exercises as good, with frank exchange of information and common drafting of the aide-mémoire, leadership being ensured by the Gol (preparation of reports and presentation in the framework of the JRMs), with active participation of the EC as a member of the core group.

In *Botswana*, the SBS indicators are assessed on a yearly basis in joint annual appraisal (JAA) exercises. Observations and conclusions, including the recommendation of the percentage for the next tranche, are presented to the Steering Committee (advisory function to the government), which takes the final decision about the disbursement of next tranche. The composition is laid down in a Memorandum of Understanding (MoU) signed in May 2005. Full members are the MoFDP (Ministry of Finance and Development Planning), MoESD, MoLG (Ministry of Local Government), and the MoLHA (Ministry of Labour and Home Affairs). The EC is presented in the committee as an "active member". Civil society participates, although not specifically mentioned in the MoU.

Tunisia, according to the Country Note, represents rather an exceptional case, as joint reviews there involve a small number of donors. They are mainly implemented within the framework of support to TVET, higher education and employability of graduates.

GBS support often serves as a vehicle for jointly reviewing sector progress, in various forms – sometimes before the overall GBS review, sometimes as review meetings, sometimes as missions. In *Mozambique*, an annual and a mid-year sector review are carried out, feeding into the annual joint review of overall performance of the GBS and into its mid-year review; these are occasions for extensive policy dialogue related to GBS indicators. Such education sector dialogue related to GBS seems also to occur in a systematic manner in *Uganda*, *Vietnam* and *Tanzania*, where working groups meet regularly (every two to three months) to discuss sector performance.

In *Niger*, according to the Country Note, there is a yearly joint review, during which the implementation of the PDDE for the past year is scrutinised, and the next year's plan approved. This review includes a budget analysis, as well as non-budgetary components of PDDE support – in particular, projects carried out by donors not contributing to the common fund. Since the MEBA corruption affair in 2006, some disbursements have been postponed, and the rate of execution of the PDDE has been slowing down. The documentation to be provided by the government has been enlarged, and the proportion of missing information has increased, leading to a level of dissatisfaction among donors.

In *Nicaragua*, GBS indicators are monitored through the GBS Group in two annual meetings – a system that seemed to have worked well until 2008. Their preparation involves meetings of sub-groups,

forming the basis for the government-donor dialogue. While only two indicators for primary education seem to exist there, and are being monitored by the GBS, education monitoring at sector level is based on a set of its own indicators, thus pointing to the fact that a more detailed review and analysis of education sector outcomes is certainly only feasible within the sectoral framework.

At **sub-national level**, joint review missions may also take place. For example, in *Pakistan*, three major donors work in education in Sindh province – the WB, the EC and USAID. The WB and the EC hold regular consultations through their JRMs of the Sindh Education Plan Support Programme. Moreover, Joint Sector Reviews, including budget reviews, are scheduled twice a year under GoS leadership, thus showing that GoS is well capable of managing a programme of this scope and intensity through its established RSU. There have been no major deviations between planning and programme implementation, as subsequent tranches (after the first delayed one) have been disbursed according to schedule.

More findings on co-ordination mechanisms – of which review missions are only one aspect – are presented in EQ8. Overall, as confirmed by the EUD survey, where forms of sector budget support is being implemented in the education sector, there has usually been a fair degree of planned harmonisation related to various forms of joint field missions (e.g. in *Bangladesh*, *Tanzania*), such as Joint Review Missions/Monitoring Missions taking place, and relevant stakeholders being involved. A good example is *Tanzania*, where the EC is involved in the education sector donor group, which, jointly with the government and CSO representatives, annually assesses the performance of the sector.

Combined with the findings presented under EQ8, the EC seems overall to have played a significant and active role in improving consultation and co-ordination between partner country governments and development partners, and in ensuring that joint sector reviews, including budget reviews, periodically take place.

7.3.3 I-733: Establishment and monitoring of annual work plans and budgets linked to education sector plans and education MTEF (if existing) by Ministry of Education

In *Cambodia*, under the SBS, the MoEF has developed a 2006 action plan for overall Government MTEF 2007-2009 formulation, consistent with the planned 2007 budget framework, including sector MTEF development guidelines. The action plan was discussed and agreed with MoEYS/line ministries and the PFM reform committee.

An Action Plan for Institutionalisation of the Medium Term Expenditure Framework prepared by the MoEF, dated December 2005, has been formally presented by the MoEF to the EUD. The Plan sets out the actions and a timetable for the MTEF Process and Formulation. The MoEYS is among the first group of line ministries to be involved. Workshops have been held on the institutionalisation of the MTEF and have been attended by the leadership as well as by senior officials from the MoEYS Departments of Finance and Planning. (4th in-dependent technical review mission 2006 pro poor targeted education reforms)

It is clear that the EC, in preparing for and monitoring SPSP and SBS, has (in partnership) played a solid role in ensuring that AWPBs linked to MTEFs are available for the monitoring of education sector plans. However, progress is not everywhere as advanced. In *Botswana*, for example, National Development Plans (Vision 2016/NDP9 and 10), as well as a Revised National (25-year) Policy on Education and an Human Resources Development (HRD) Strategy, have been established. According to the CSE, these documents can provide only general orientations and cannot be considered as sector plans allowing the day-to-day, year-to-year management of the education sector system and its development, as they do not, for instance, contain either budget allocations or expenditure forecasts. This is surprising, given the advanced status of Botswana's education system.

The ECA report for *Niger* points out that the area of basic education is the most advanced in terms of monitoring and evaluation in the country. Together with the operational strategy that has been in place in this regard since 2003 within the framework of the FTI, this sub-sector of the PDDE ("Programme décennal de l'éducation" of the Government, 2003-13) is based on a list of precise indicators and outputs on which data is available, and is regularly evaluated jointly by the MoE and DPs. Since primary education is considered to be a national priority, the education component is focused on basic education. The indicators from the performance matrix of the PDDE constitute a framework for the support of donors in the education sector. According to the Country Note, annual work plans and budgets are monitored under the annual joint review.

7.4 JC74: Degree to which EC support for education is promoting mutual accountability and predictability with partner countries

Direct budget support constitutes an important source of revenue for (provincial) governments in many countries. Poor predictability of inflows of budget support affects the government's fiscal management in much the same way that external shocks impact on domestic revenue collection. Shortfalls in the total amount of budget support and delays in the in-year distribution of the inflows can both have serious implications for the government's ability to implement its budget as planned.

The extent to which direct budget support can be predictable depends largely on the form of the instrument that donors use in providing budget support funds to the provincial government. Where the budget support is linked to prior reform actions that the government must take, the onus rests on the government to implement the actions required for predictability to be assured.

This JC overlaps partly with JC93, where efficiency of the different modalities is also discussed, including difficulties in complying with indicators set for release of funds.

7.4.1 I-741: Percentage of EC aid disbursement to education released according to agreed schedules in annual or multi-year frameworks

A major basis for judging the degree to which EC aid disbursement to education is released according to agreed schedules in annual or multi-year frameworks are Public Expenditure and Financial Accountability Reports (PEFAs).

When trying to define the level of aid disbursements according to agreed schedules, the EUD survey, as well as findings from the field visits, and a number of ECA reports, reveal a number of challenges being faced by the EC and partner countries. The following table gives figures collected from the survey of eight EUDs.

Table 39: Results of survey of EUDs: Percentage of EC aid disbursement to education released according to agreed schedules

Country	BOTSWANA	DOMINICAN REPUBLIC	SOUTH AFRICA	INDIA	INDONESIA	PAKISTAN	VIETNAM	TUNISIA
Year								
2002/03	-	50	50	100	0	100	80	20
2007/08	60	100	-	100	50	50	80	35

Unfortunately, the figures obtained from the rather few EUDs that provided answers to the question make it difficult to draw any quantitative conclusions on the exact "percentage of EC aid disbursement to education released according to agreed schedules". However, the comments made by the EUDs, corroborated by the findings of the field visits and by the ECA reports, clearly indicate that **delays frequently occur, so that agreed release schedules can not be met**. This major causes of this problem, which appears to exist in all regions and across all types of modalities, are the complexity of the EC's procedural rules and weak capacity of national staff: Here, the **project modality** seems to score rather low as shown by delays in implementation of education support – for example, in *South Africa*, *Niger* and *Eritrea*. There, the recently-launched SBS programme has seen a substantially improved level of co-operation, but sometimes with delays of several years.

The experience of using the **SBS modality** in *Tanzania* indicates that moving to SBS may require governments to go through a learning curve in order to be able to provide substantiated requests for disbursements. Meanwhile, the example of the Sindh SBS in *Pakistan* shows that achieving compliance with DLIs may be feasible in a fragile state.

As for **GBS**, the example of *Uganda* highlights the fact that the predictability of the 9th EDF programme was inevitably reduced by the fact that up to 50% of the programme was to be channelled through **variable tranches**. Since Uganda is one of the eight countries receiving GBS under the 10th EDF in the form of an MDG Contract, the predictability of funding should also increase as the fixed tranches are increased from 50% to 70%. Moreover, weak government capacities to produce the documentation aimed at corroborating the achievement of indicators have been shown to have a severe impact – for example, in *Niger*.

At a more **detailed level**, the following data could be collected:

1) Project modality

Examples include education support to *Eritrea*, which experienced severe delays in the framework of the trust fund with the WB – that is, in a type of project modality. With regard to **projects**, *Niger* constitutes an extreme case, where projects such as SOUTEBA or ‘Carte scolaire’ were delayed for several years. In fact, the SOUTEBA project was implemented so late that its core activities were no longer aligned with the new national education strategy.

Very weak predictability was found during the field visit to *South Africa*, where the EC and the government have faced major challenges in ensuring predictability – and, to a lesser extent, accountability – in the delivery and management of education assistance. Substantial delays, at times intensive discussions on procedures and rules, and large-scale decommitment of funds have all conspired to undermine not only predictability and mutual accountability, but also the relationship between the EUD and the DoE. Clearly, a combination of the complexities of EC procedural rules (often poorly understood even by some EUD staff) and the relative inexperience in managing these on the part of South African officials has contributed to the unfortunate situations where funds were delayed and, at times, decommitted. As a testimony to the willingness of both partners to look forward, the recently-launched SBS programme has seen a substantially improved level of co-operation, and a clear willingness to learn from past challenges. This is borne out by the strong focus on using only the GoSA procurement procedures and rules.

2) Sector support

The experience in *Tanzania* of sector and budget support programmes further indicates that **moving to SBS** may require governments to go through a learning curve in order to be able to provide substantiated requests for disbursements. The *Namibia* SBS shows that where different perceptions among EUD and HQ exist on whether or not to release payments, this may undermine credibility of EC support. Furthermore, the government's delay in presenting the request meant that SIDA (Swedish International Development Cooperation Agency) could not release its € 3.2 million contribution, which was then lost completely because SIDA could not roll its contribution over to the following fiscal year. (For further details on both countries, see EQ9.) Such occurrences are likely to affect service delivery.

While the EUD survey indicates rather weak performance in terms of aid disbursement according to agreed schedules, the Country Note *Tunisia* emphasises that in the case of the SBS related to basic education, both the variable and fixed tranches were disbursed. The Note indicates only one problem linked to the secondary education support. This SBS on secondary education also had a variable tranche, the disbursement of which was subject to the achievement of 10 indicators linked to the objective of improving the quality of secondary education, and in particular to students being either better prepared for entering higher education or better prepared for entering the labour market. One of the 10 indicators was aimed at diversifying secondary strands, the number of which was expected to increase from four to nine. The EC considered that the increase in the number of strands was not achieved. Therefore, the related tranche was withheld and then cancelled, thus leading to a reduction of about € 2 million. However, the interpretation of this can be disputed. In fact, only six strands exist, and the three additional strands that were supposed to be created were cancelled by the Ministry of Education. According to the Country Note, the initial idea of diversifying general secondary education to improve the adaptation to the labour market is rather exceptional worldwide. Most countries have developed instead a TVET system to perform this role, leaving to general education the task of preparing students to enroll in higher education. This is precisely what Tunisia has decided to do during the next phase (that is, after 2010), thus making the initial indicator outdated.

On the other hand, despite some problems with the first tranche release, the example of the Sindh SBS in *Pakistan* shows that achieving compliance with DLIs (disbursement-linked indicators) may be feasible in a fragile environment characterised by low political stability and low education indicators, and that high disbursement rates can be achieved, based on the achievement of indicators.

3) GBS

As for **GBS**, the ECA report for *Uganda* points to the fact that the predictability of the 9th EDF programme³¹⁷ was inevitably reduced by the fact that up to 50% of the programme was to be channelled

³¹⁷ It should be noted that *Uganda* is one of the eight countries receiving GBS under the 10th EDF in the form of an MDG Contract. The ECA report points out that the MDG Contract approach represents an important effort by the EC to improve the predictability of its GBS by committing the funding for the six-year period of the CSP. In addition, the predictability of funding under the 10th EDF, compared with the 9th EDF, is also in principle increased because the fixed tranches are increased from 50% to 70% of the programme. However, according to the ECA findings, the significance of the MDG Contract in potentially improving the predictability of GBS should not be overstated for the following reasons:

through variable tranches, the disbursement of which depended on the achievement of targets set for specific performance indicators. According to the ECA findings, this reflects the EC's fully justified concern about ensuring performance as well as predictability.

While the fixed tranches were all paid, only 81% was disbursed for the first variable tranche and just 68% for the second tranche. This represented a shortfall of approximately 12.5% of the total programme resources. According to the data presented in the ECA report, payments were made much later than the schedule set out in the Financing Agreement. The reason for this, primarily, is delays in the submission of payment requests by the government. This seems to reflect both the government's strong macro-economic position with regard to reserves, which made it less urgent to obtain disbursements, and its weak staff capacity for preparing the analytical documentation necessary to support disbursement requests. Where delays have occurred on the EC side in assessing and processing payment requests, this has primarily been due to EC concerns about PFM performance and persistent problems with the level of domestic arrears. Overall, this case seems to demonstrate that delays in disbursements can be explained from both sides – the strong macro-economic position of the partner country combined with weak capacities of government staff and delays from the EC in assessing payment requests.

Another case is *Niger*, where, according to the Country Note, the proportion of disbursements in the GBS that is delayed is quite significant. A major point from the Niger field analysis is that the government failed to produce all the documentation required to corroborate the achievement of the indicators, pointing to the fact that producing such documents requires staff capacities and systems in place to provide the necessary evidence, and that the country did not have these capacities (see also EQ9).

7.4.2 I-742: Alignment of EC programming and financial cycle to partner country's fiscal cycle

From the data collected, it appears that alignment by EC to partner country's fiscal cycles remains a considerable challenge. Efforts are being made by the EC, but they risk being frequently undermined by the likelihood of disbursements on compliance to indicators not being made, thus leading ultimately to a reduced alignment to the financing cycle, as scheduled resources will not be available.

Much still needs to be done to arrive at a situation where at least the EC's financial cycle is aligned. A good practice was found for *Uganda*, where the EC provides projections of future GBS disbursements over the three-year MTEF period, in order to ensure that the financial resources from the EC's GBS programmes are fully taken into account in the GoU budget preparation process.

However, only in a few countries did the adoption of the SBS and GBS modality allow a gradual alignment of EC disbursements to the country's fiscal cycles – as, for example, in the *Dominican Republic*. The disbursement of current and forthcoming SBS and GBS tranches remains exposed to the political situation. Moreover, compatibility between partner country and EC financial years is often not achieved (as shown by the example of the Botswana SBS support), which results in a rather weak predictability of disbursements under SBS support.

The following **examples** help to underpin this summary:

- In the *Dominican Republic*, according to the Country Note, by adopting the SBS and GBS modality a gradual alignment of EC disbursements to the country's fiscal cycles and the requisites and goals for variable tranches are being attained, allowing for prompt disbursement. Alignment of EC support to the country's programming and fiscal cycle has not been problematic. However, in this area, a risk now exists, in relation to the approval of a National Development Strategy by the recently-elected (May 2010) Parliament. A delay in this approval would be very likely to affect disbursement of current and forthcoming SBS and GBS tranches.

-
- The CSP, while not proving such a binding commitment as for MDG Contracts, nevertheless sets out an indicative allocation for GBS for the same six-year period;
 - In Uganda, the real risk of political governance issues in the build up to the 2011 elections is assessed as a potential threat to the country's eligibility, notwithstanding the existence of an MDG Contract;
 - As available data shows, the predictability of funding is relatively high in Year 1 of the MDG Contract, when 100% of the funding is to be disbursed through a fixed tranche. It then becomes a little less predictable in Years 2 and 3, when the annual performance tranche becomes applicable (11.5% of annual funding), and much less so for Years 4-6, when the MDG-based tranche also becomes applicable and 48.4% of funds are then foreseen to be disbursed through the variable tranche mechanism. In effect, from Year 4 the country is again in a position similar to the 9th EDF, with a three-year time horizon and approximately 50% of funding being channeled through variable tranches.

- Another case where this problem has already materialised is *Niger*. According to the Country Note, given the significant delays described above, the degree of alignment of EC programming and financial cycle to the partner country's fiscal cycle is weak. An MTEF is supposed to be available, but, as mentioned above, this has a low predictive value. The following year's budget is barely predictable – hence, the same applies to the budget for the following three years. For example, for the 2010 budget, it was initially forecast that the common fund would provide CFAF 5 billion. But in early 2010, a “loi rectificative” (law amendment) was issued by the Ministry of Economy and Finance erasing the CFAF 5 billion because Niger was no longer sure that disbursements would effectively take place. Some donors tend to share this view.
- In *Nicaragua*, from the point of view of the GoN, predictability seems to be the key requirement of any external assistance included in the public finance process. In this respect, EC budget support achievements (PAPND - Programa de Apoyo al Plan Nacional de Desarrollo - and PAPSE - Programa de Apoyo Presupuestario Sectorial para la Educación) were above the donor average, at least until 2007. The CSE report indicates that when all instruments are considered (and when the totality of EC co-operation is taken into account), the EC's aid would be less predictable than that of other donors, according to the indicators of the Paris Declaration.
- Even worse is the situation in *Botswana*, where the 2009 PEFA assessment for the education sector³¹⁸ highlights the persisting situation that compatibility of financial years is usually not achieved, thus making predictability rather a case of wishful thinking. The report indicates that disbursements under the SBS support are generally agreed based on yearly plans. The EC's budget support is then communicated to the NAO in January of each year, with revisions of disbursement forecasts made in July. However, according to the report, a “*careful planning of the disbursements is compromised by the difficulty of the different Co-operating Partner Fiscal Year to the Botswana FY and the impact that has upon the timing of financial reports. Further, disbursement forecasts are generally not available prior to the government submitting its proposals to the legislature. There is no evidence to unambiguously conclude that all BS forecasts were approved at least six weeks prior to the submittal of government budget.*”
- However, an example of good practice can be highlighted in *Uganda*, where the ECA report attests that the EC has been learning from the experience in the 9th EDF. The EC now provides projections of future GBS disbursements over the three-year MTEF period. Estimates are sent in October/November and then revised twice in the period leading up to the finalisation of the annual budget. This ensures that the financial resources from the EC's GBS programmes are fully taken into account in the GoU budget preparation process. Furthermore, the ECA report points out that the schedule of disbursements under the 10th EDF is set up to try to ensure that funds arrive in Uganda during the first quarter of the financial year to facilitate management of the funds by the GoU.

7.5 Overall assessment

Building **strong and independent audit institutions** to effectively monitor and assess public spending is part of EC support to SBS and GBS – the latter being the modality that has mainly helped in establishing such institutions. Much though remains related to empowering internal audit units within Ministries of Education. Moreover, the EC has contributed to ensuring that AWPBs linked to MTEFs are available for monitoring of education sector plans – for example, in preparing for and monitoring sector support, including SBS. SBS in particular has been successfully used for strengthening moves towards increased budget transparency in the education sector.

Improvement in general **procurement systems** supported by the EC within the framework of GBS have also contributed to enhancing transparency and accountability, thus helping to reduce the incidence of misprocurement in the education system. This seems to have happened in *Uganda*, and to have been particularly successful in *Dominican Republic*.

Findings show that EC support has played an interesting role in some countries in **setting general frameworks** for strengthening the role of NSAs in education sector management. It is becoming increasingly evident that NSAs can be an important ingredient in **policy dialogue** – as shown, for example, in *Uganda* and the *Dominican Republic*. With regard to **public scrutiny mechanisms**, we can conclude that EC GBS support has in some cases contributed to enhancing the participation of civil society in general governance and policy planning processes (e.g. in *Uganda*). Increasingly, **civil so-**

³¹⁸ 2AC, France (2009): Public Expenditure and Financial Accountability. Public Financial Management Performance Assessment Report. Final Report

ciety surveillance projects (watchdogs) financed by the EC are contributing to enhancing transparency and accountability in the sector (e.g. in *Ecuador*). This kind of project is increasingly becoming a tool that successfully accompanies EC SBS in particular.

Among other tools, joint sector reviews – including budget reviews – periodically take place in most of the countries analysed, thus contributing to increasing transparency. The EC appears to have played a significant and active role in ensuring this. In most **SPSPs/SBS**, independent technical monitoring missions are organised to conduct a review of progress related to accountability issues. These missions link with and support the partner country ministries in charge of the budget cycle and the annual joint review process. Within this framework, the active participation of the EC has been noted in several countries, e.g. in *India, Bangladesh, Indonesia, Pakistan, Tanzania* and in *Botswana*. GBS support also often serves as a vehicle for jointly reviewing sector progress in various forms.

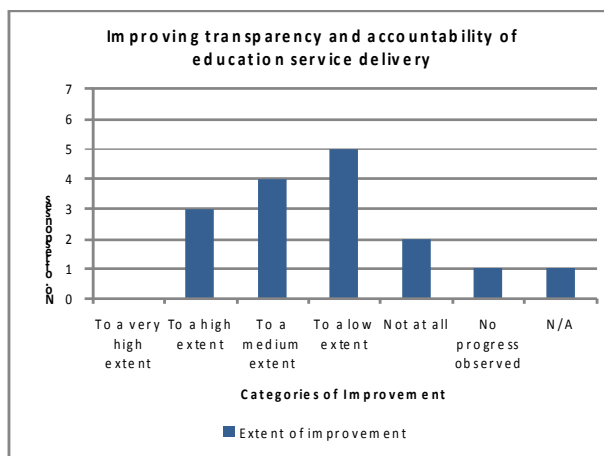
However, even though some progress has been made with EC support to establish fully **operational institutional and procedural frameworks related to transparency and accountability** in the education sector, much remains to be done. In *Asia*, the EC has managed by using the policy dialogue with national governments within the framework of sector programmes and SBS to tackle the transparency and accountability issues, such as in *Cambodia*. One other means of enhancing transparency and accountability in the framework of EC budget support is the adoption of **indicators** relating to the subject. Such indicators also appear to be more widespread in *Asia*.

The EC contribution to the definition of roles **between government stakeholders** has remained rather limited, as has the level of success of EC support with regard to reducing teacher absenteeism. Furthermore, the EC support related to the community and school level **decentralisation** of education sector management processes has faced difficulties – highlighted by the examples from *India, Vietnam* and *Tunisia* – as there have been rather mixed results concerning support to the creation of SMCs at local level involving representatives of teachers and parents' associations. However, in India these SMCs, Panchyat Raya institutions have been created and provided with training.

With regard to staff competencies related to accountability in the education sector, EC support has not convincingly tackled this issue within the sector itself. Furthermore, the evaluation's findings indicate a rather limited performance of the EC support for education in promoting mutual accountability and predictability of funds with partner countries. In terms of **aid disbursement according to agreed schedules**, poor performance and major delays (noted under project and GBS modalities) are mainly due to the complexity of EC procedural rules and the weak capacity of national staff (for budget support modality). While efforts have increasingly been made by the EC towards aligning its support to the partner countries' fiscal cycles, it risks being frequently undermined by the likelihood of disbursements on compliance to indicators not being made, thus leading ultimately to a reduced alignment to the financing cycle and reduced predictability of financing. In some countries, the adoption of the SBS and GBS modality allowed for a gradual alignment of EC disbursements to the country's fiscal cycles – as, for example, in the *Dominican Republic*. A good standard practice can be highlighted in *Uganda*, where the EC provides projections of future GBS disbursements over the three-year MTEF period, in order to ensure that the financial resources from the EC's GBS programmes are fully taken into account in the GoU budget preparation process. However, in all these cases, predictability is at risk if indicators are not met and tranches are not released.

The **survey of EUDs** covered their perception of the EC's contribution to improving transparency and accountability of education service delivery. Findings largely confirm the general trends identified above. The very mixed scoring indicates that impacts of EC support on transparency and accountability issues related to improving service delivery have been only limited, or have possibly not yet materialised. The following figure highlights this:

Figure 25: Results of survey of EUDs: Rating of the EC's contribution to transparency and accountability of education service delivery in the country



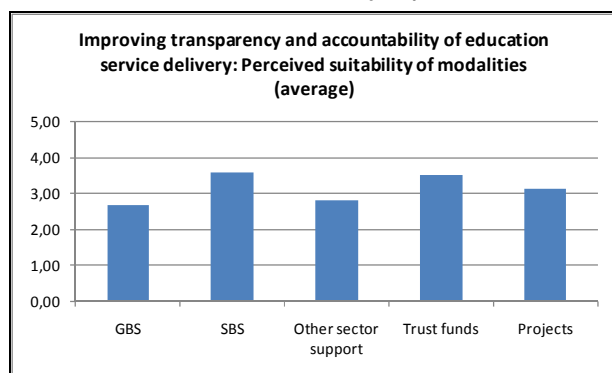
Source: EUD survey

Only three out of 16 responses were graded as “to a high extent”. Combined with the “mediums”, this represents less than 50%. The **high** scores relate to the EUDs to *Nicaragua*, *Uganda* and *Ghana*, which are all involved in policy dialogue via either sector budget support (*Nicaragua*) or general budget support (*Ghana* and *Uganda*). This seems to demonstrate the benefits of constructive EC dialogue on improving transparency and accountability of national governments in these cases. The **medium** scores were given by the EUDs to *Botswana*, *Tanzania*, *India* and *Tunisia*, where *Botswana*’s scoring is understandable as transparency and accountability in the system already seems to be high. Moreover, the Education Public Expenditure Review (EPER) helped to identify some issues. The EUD to *Tanzania* highlighted the fact that the EC was instrumental in initiating a PETS exercise in the education sector when chairing the development partners group; following a lot of resistance, the exercise was performed in 2008/09 – that is, outside the period under evaluation.

The fact that *Eritrea* and *Pakistan* EUDs’ answers are among the **low** scores is perhaps not that surprising, given their fragile state status, although progress related to transparency and accountability may be anticipated for Sindh in *Pakistan*.

Overall, when looking at the ratings related to the **suitability of modalities**, the picture is interesting. Respondents are somewhat divided about the suitability of the project modality to increase transparency, but clear in their message that SBS is much better suited to improving transparency and accountability in the education sector itself than GBS is. This partly confirms the above statements.

Figure 26: Results of survey of EUDs: Improving transparency and accountability of education service delivery – perceived suitability of modalities



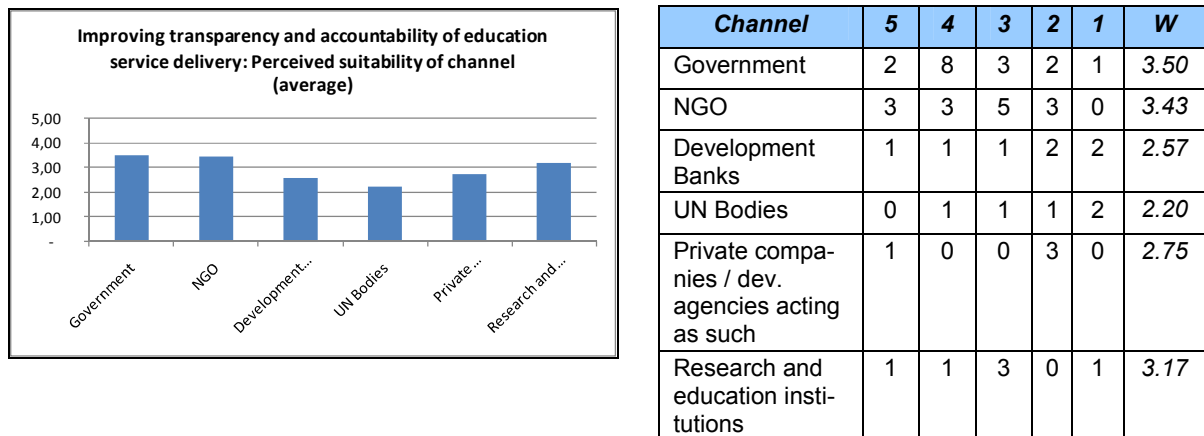
Modality	5	4	3	2	1	W
GBS	1	1	3	4	1	2.70
SBS	2	7	4	0	1	3.64
Other sector support	0	1	3	0	0	3.25
Trust funds	0	2	2	0	0	3.50
Projects	0	5	4	3	1	3.00

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low; W = Weighted average

In terms of each **channel’s suitability with regard to the improvement of transparency and accountability of education service delivery**, the results of the survey of EUDs are comparably clear: first and foremost, it is the government that, in the perception of the EUD, is best suited to addressing such issues, which are also among its core responsibilities. However, the quantitative results also indicate that NGOs can be assumed to play a major role in that regard. The qualitative answers also point to the **role of NGOs in terms of ensuring transparency and accountability, as well as in awareness raising with regard to these issues**. Yet one EUD remarked that the inputs achieved through contracts (for TA and with NGOs) is “quantitatively limited” when compared to achievements of the

“budget sector/government programmes” as a whole. Moreover, it is interesting to note that the scoring for “private companies and development agencies acting as such” diverges significantly from, and higher than, the scoring these channels received for other education sector outcomes.

Figure 27: Results of survey of EUDs: Improving quality of education – perceived suitability of channels



Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low; W = Weighted average

8 EQ8-Co-ordination & Complementarity: To what extent and how has the EC contributed to improving co-ordination, complementarity and synergies with Member States and other donors in the education sector, in line with the Paris Declaration?

This question focuses on how efforts in support of the education sector were co-ordinated – inside the EC, between EC headquarters (HQ) and EUDs, between the EC and the MS, and with other donors and funding agencies – and whether this led to complementary emphasis and approaches. With the increasing acceptance of programme and sector approaches to education sector support, donor co-ordination and complementarity have become increasingly important. This is underpinned by the fact that these are crucial elements in the Paris Declaration. With the advancement of joint approaches of Development Partners and Development Banks towards budget support, donor co-ordination is even more essential. Through preparing donor portfolios, discussions with governments will be facilitated regarding programmes, performance measurement, institutional adequacy, funding and expenditure issues and sustainability.

Several policy documents and evaluations suggest that the EC is well placed to take a co-ordinating / leading role³¹⁹, due to the special nature of the relationship between the EC and the EU MS and through experience with, and major involvement in the education sector worldwide. In this context, it must be emphasised that dialogue and co-ordination should not be confined to programme preparation. Ongoing dialogue and co-ordination efforts are necessary for monitoring implementation progress and for taking necessary corrective actions. By looking into all these aspects, the question will also provide information on the EC's value added in the education sector in relation to the benefits that would have resulted from Member States' interventions only. Co-ordination and complementarity issues are also very much related to the issues of alignment and harmonisation, as spelled out for instance by the Paris Declaration's indicators related to these issues. Grasping some aspects of alignment and harmonisation efforts under this EQ will complement the assessment.

In addition to country co-operation, the EC uses financing channels such as Development Banks to finance Trust Funds, e.g. the FTI. This question will therefore also endeavour to analyse synergies between such channels and other EC modes of supporting education.

This EQ is also linked to the EQs on service delivery and resource allocation (EQ6), on transparency and accountability (EQ7) and EQ9 on aid modalities.

The following box and table give some general information about the EC's participation in the FTI initiative:

Box 47: *The EC and the FTI: Some general information*

The Fast Track Initiative (FTI) was established in 2002. It was the response to the 2000 Dakar world conference which has set up the objective of Education for All by 2015, and the solution to a commitment by rich countries to fund credible national education strategies aimed at achieving this objective.

Donors can participate in the programme in two ways:

- At the country level, they can join the group of donors already active in the support of education by transforming their past individual commitments into a joint venture, in which they fill the financing gap of the national education strategy designed towards meeting the EfA objective.
- They can also contribute to two trust funds: firstly, the Catalytic Fund (CF), which has been set up by donors for "orphaned" countries, or if there are an insufficient number of donors who cannot fill the financing gap with existing active donors. In these cases, the Catalytic Fund can be mobilised. Secondly, the Education Program Development Fund (EPDF), whose objective is to provide technical assistance to certain countries where the capacity to elaborate a national education strategy is limited.

The EU has participated in the Catalytic Fund and occasionally in the local pool of donors. It has not participated in the EPDF officially because the fund has received enough money for the needs which had been identified.

It should be emphasised that the contribution of the EC to the Catalytic Fund is quite substantial. During the period 2004-2010, the EC had contributed to the CF via two different sources: the 9th EDF, and the "Investing in People" programme, as indicated in the following table.

³¹⁹ See e.g. Midterm Review: "The EUs Contribution to the Millennium Development Goals-Halfway to 2015", report by Alliance 2015. The European Economic and Social Committee and the Committee of the Regions: "Keeping Europe's promise on Financing for Development" Com (2007) 164final. See also: Treaty of Amsterdam, Article 180; and, for instance: Evaluation Services of the European Union (2004): The Treaty of Maastricht and Europe's Development Co-operation. Triple C Evaluations, No. 1.

Table 40: EC contribution to the Catalytic Fund (€ million)

Source of financing	2007	2008	2009	2010	Total
9 th EDF	30.3	18.6	14.1	0.0	63.0
Investing in People	10.4	10.4	4.2	5.0	30.0
Total EC	40.7	29.0	18.3	5.0	93.0

Source: Fast Track Initiative Secretariat: "A Fast Track to 2015", October 2009

The answer to this EQ is built on the following JCs:

- JC81: Donor co-ordination mechanisms are in place or being set up with the EC providing value added
- JC82: Complementarity between the interventions of the EC, the EU Member States and other donor agencies active in the education sector
- JC83: Level of synergy between EC-supported trust funds and banks and EC support at country level

8.1 JC81: Donor co-ordination mechanisms are in place or being set up with the EC providing value added

In recent years, the EC has made considerable efforts towards improving co-ordination with EU Member States and other donors. This has been particularly the case for co-ordination during the programming phase. The evaluation team gathered substantial evidence on the fact that the drafting of recent Country Strategy Papers was done in close consultation with EU Member States and partner countries. The survey to EUDs points out an overall improvement in the quality of dialogue with EU Member States, other donors or partner governments during the programming phase. The co-ordination efforts have been enhanced by the adoption by the EC of the new aid paradigm which stresses the need to support national and sectoral policies and to move towards budget support-type mechanisms. This shift in strategic focus creates a need for the EC to link up more closely with the work of other donors through a variety of mechanisms (e.g. working groups, informal meetings, multi-donor committees in charge of public finance management and budget support).

The review of the CSPs, and numerous other documents, shows a clear commitment by the EC towards contributing to improved donor coordination in the partner countries at various levels. It also shows that the EC aims at coordinating its activities with EU Member States. The ways in which the EC ensures co-ordination which leads to complementarity at the planning and programming stage of the donor support is discussed in I-811.

Yet, much less information is generally provided in CSPs on how co-ordination works in practice at country and EC levels (in terms of approaches, modalities and procedures). The analysis of the processes and procedures of the different mechanisms in place is detailed in I-812.

In most cases, the strengths and intricacies of donor co-ordination mechanisms could be highlighted by the data collected during the field visits and the questionnaire survey for EUDs. The latter aimed at capturing the different types of co-ordination and consultative mechanisms related to support to education that exist(ed) at the sector level, and between the different parties who are involved:

- Among the donors themselves (without Governments in partner countries),
- Between the EC and the EU Member States,
- Between the EC/donors and Governments in partner countries.

Results are presented in a synthesised fashion in I-812.

8.1.1 Ensuring co-ordination and complementarity during the planning and programming stage: I-811 and I-822³²⁰

As it is believed that the direct outcome of co-ordination is complementarity, this section will treat the two indicators together that are closely linked (but have been presented under two different JCs) in order to provide an overall picture on the different co-ordination processes at strategic and programming level (especially at the CSP level) and to answer the question how the EC contributes to ensur-

³²⁰ I-811: EC programming and programme documents refer to other donors' policies, particularly that of Member States'; I-822: Extent to which the EC programming process related to education is co-ordinated with other (EU) donors.

ing complementarity between its own support and the support of other donors, including Member States. These indicators are:

- I-811: EC programming and programme documents refer to other donors' policies, particularly that of Member States',
- I-822: Extent to which the EC programming process related to education is co-ordinated with other (EU) donors.

The CSP analysis shows that the EC aims to improve co-ordination of support through extensive consultation with Member States during the design of CSPs. All CSPs relating to the period 2000-2006 and onwards clearly indicate that the EC has designed the Country Strategy Papers in **close consultation with EU Member States and partner countries**. For instance, it is indicated in p.24 of the 2008-2013 CSP for *Argentina*: *"In order to ensure adequate co-ordination and coherence as well as the development of possible synergies between donors' interventions, the European Commission Delegation is in constant dialogue with all relevant actors present in the country. This takes place at all the different stages of the programming and implementation, from the definition and identification of strategic priorities to the formulation and implementation of specific programmes and projects"*. In the 2008-2013 CSP for *Ghana*, it is said that: *"Generally there is a good cooperation among the donors towards division of labour allowing them to concentrate in areas where they have comparative advantages."*

It is noteworthy that, in accordance with the 2006 Common Framework for Country Strategy Papers almost all CSPs contain a specific **section on complementarity** between EC and other donor's support. The sections on complementarity of those CSPs analysed usually specify that the EC strategy for co-operation will not overlap and will be consistent with the activities and strategies of the MS and other donors, and that the EC and the MS must co-ordinate their policies on development co-operation programmes.

The CSP 2001-2007 for the *Dominican Republic* analyses the situation of Donor Support to the DR and identifies the most important characteristics, needs and challenges as well as the potential for co-ordination and the prominent role constantly played by the EC. Specific elements refer to institutional weaknesses and the difficulties in co-ordination and confirm the willingness to promote the enhancement of donor co-ordination. Moreover, as specified in the Country Note of the field visit to the *Dominican Republic*, in all the programme documents (FAs) the problem of donor co-ordination is adequately taken into account. The role of EC Budget Support (PAPSE I) was explicitly expected in the Financial Agreement (FA) to provide the *"opportunity for a rapid and somewhat drastic change of orientation in its role, aiming more and more towards concretising achievements in terms of co-ordination between donors"*.

The analysis of ECA reports also highlights the fact that these aspects of complementarity are considered in the planning and programming stage. For instance, the ECA report on *Liberia* indicates (in relation to the design of the 2008-2013 CSP): *"It is evident from the background information provided in the CSP 2008-2013 that the Delegation (...) duly considered the activities of other DPs in the preparation of the adoption of the CSP in December 2007."*

The **donor matrices** attached to the 20 CSPs relating to the period 2000-2006 and to the 18 CSPs covering the period 2007-2013 analysed during the desk phase confirm that the actions proposed by the EC in the education sector complement the approaches and strategies of the MS. For instance, the CSP 2002-2006 for *Bangladesh* indicates that upon initiative of the EUD *"overview tables have been produced to summarise the involvement of the EC and EU Member States in the different sectors."* And in the case of *Pakistan*, CSPs and programme documents refer to other donor programmes and policies, especially those of Member States. Donor involvement in the education sector is interestingly dispersed along provincial lines for profiles of development partner support to the education sector.

As for the issue of **joint planning** and division of sector activities among donors, seven CSPs relating to the period after 2006 indicated that such efforts are increasingly proposed. In the *Dominican Republic*, for instance, the EC had invited represented MS to set up a joint co-operation strategy document to guide the 10th EDF and bilateral co-operation of MS (see EQ1).

When the analysed CSPs were drafted, some joint programming systems were already in operation:

- Joint Assistant Strategies (JAS), e.g. *Ghana, Tanzania, Uganda* and *Vietnam*;
- EU Joint Programming Framework, e.g. *Somalia* and *South Africa*.

The field visit to *South Africa* highlights that the EC has consistently reflected upon its role and added-value in the Country Strategy Papers, the latest of which (2007-2013) was based on joint analytical work involving MS, EC and GoSA, and resulted in a joint strategy.³²¹

The analysis of the ECA reports gives more insight on the JAS for *Tanzania* and the way it is related to co-ordination and harmonisation of DPs. According to the ECA report, the Tanzanian CSP has been aligned with the JAS and thus reflects all the planned DP support and commitments to Tanzania, even if this means that the EC had to accept that its programming guidelines could not be strictly applied. On the other hand, the authors indicate that the joint nature of the analysis supporting the JAS, and hence the CSP, appears to have facilitated a high degree of co-ordination and harmonisation between the DP (see EQ1 and Box 49).

In terms of a **co-ordinated programming process related specifically to the education sector** the CSPs do not provide much information. However, the NIPs, and especially the TAPs related to FAs of major education sector interventions studied – i.e. in those countries where education has been selected as a focal area in the CSPs – stress the importance of co-ordinating intervention by all donors active in the education sector, particularly that of the EU Member States. Moreover, in 100% of the cases this is presented as a formal statement which endorses the CSP without any substantial comment.

It seems that, in a few cases, co-ordination among donors at the programming level can be problematic when different support modalities are being used or preferred by DPs, such as in relation to sector support to *Liberia* and the financing of the ECSEL project (see ECA report).

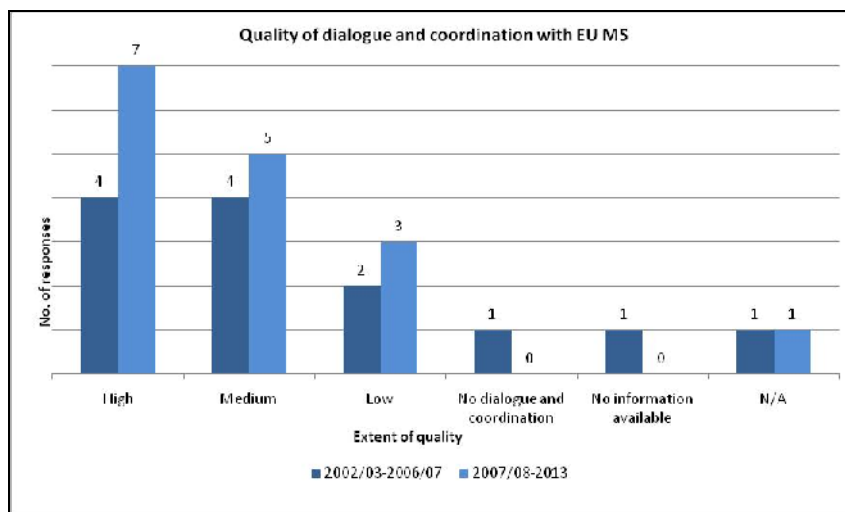
The EUD survey provides a more detailed insight into how the **quality of dialogue with different donors** during the CSP/NIP drafting process is perceived by the EUDs.

The following section shows the results of the survey related to the quality of dialogue during the programming process:

- Between the EC and the EU MS,
- Among the donors themselves (partner countries' governments excluded),
- Between the EC/donors and Governments in partner countries.

The following figure shows the perception of the EUDs that responded to the survey with regard to the quality of **dialogue and co-ordination with the EU MS**.

Figure 28: Results of survey to EUDs: Rating of quality of dialogue and co-ordination with EU MS when drafting the CSPs/NIPs during the period under evaluation



Source: EUD Survey

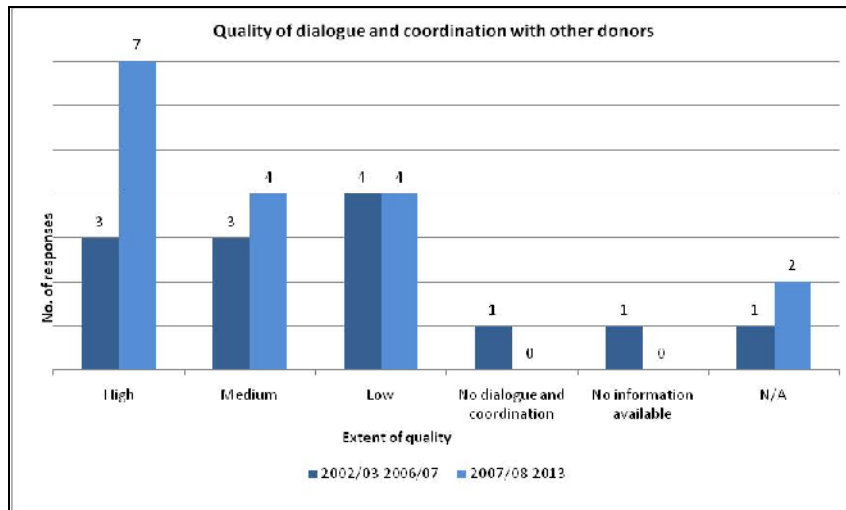
Based upon the survey responses, it appears that dialogue and co-ordination with Member States has significantly improved between the first and second rounds of CSPs.

³²¹ Member States indicated that they would take the CSP into account in their bilateral programming of development cooperation and the ECD and GoSA developed a Multi-annual Indicative Programme (MIP) on the basis of the CSP.

Qualitative comments also reveal that there have been or are several different types of co-ordinating mechanisms in place. In some cases, “ad hoc” dialogue took place for the first CSP that evolved into an education-specific ‘Partners Forum’ for the second CSP (e.g. *South Africa*).

The picture is comparable regarding the EUDs’ perceptions related to the quality of **dialogue and co-ordination with donors**, other than EU Member States, during the drafting of the CSPs.

Figure 29: *Results of survey to EUDs: Rating of quality of dialogue and co-ordination with other donors when drafting the CSPs/NIPs during the period under evaluation*



Source: EUD Survey

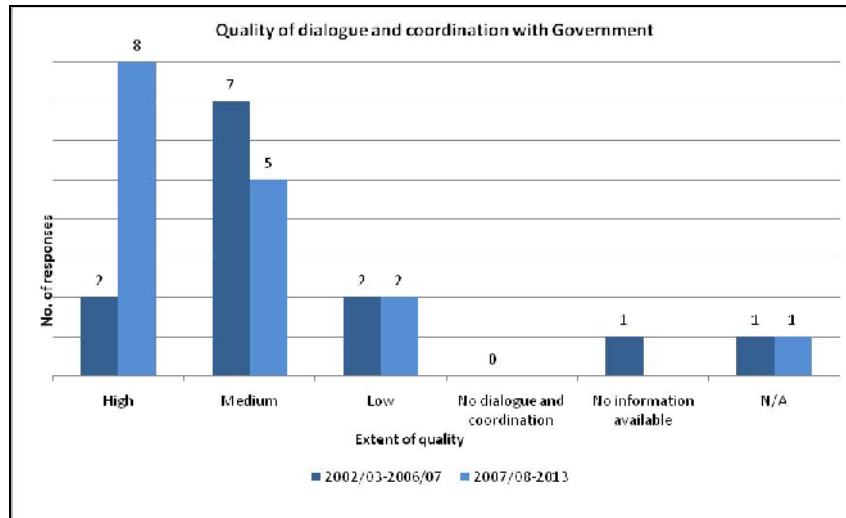
- During the **first round of programming**, dialogue and co-ordination with other donors was perceived as rather mediocre by the majority of survey respondents. About 23% considered it medium, and 31% as low. Only three out of 13 EUDs indicated a high level of dialogue and co-ordination.
- Concerning the **second programming cycle**, over 40% of all respondents considered a high level, while about one quarter considered a medium level, and one quarter a low level of dialogue and co-ordination.

When contrasting the figures for the two rounds of CSPs, it seems clear, that **co-ordination and dialogue of the EC with other donors** during the drafting process of CSPs **has improved over time**.

Although the qualitative comments provided on the question are few in number (7/17), some of them interestingly highlight some limitations concerning the dialogue mechanisms in place, for instance noting that “*such dialogue is limited to an annual meeting of donors*”, and that “*in reality, donor co-ordination is general*”.

When it comes to **dialogue and consultation with the government** during the drafting process of CSPs, during the preparation of the second CSP/NIPs, the quality of dialogue and co-ordination was rated as high by exactly 50% of all respondents (8/16), as medium by another 31.3% (5/16), and as low by only 12.5% (2/16).

Figure 30: Results of survey to EUDs: Rating of quality of dialogue and co-ordination with Government when drafting the CSPs/NIPs during the period covered by evaluation



Source: EUD Survey

The qualitative responses balance this information by revealing a more diversified situation, with statements underlining the fact that the collaboration is perceived as having “*always been harmonious and productive*”, and other statements, where EUDs perceive that there was “*no dialogue and coordination*” in preparation for the second CSP, but instead there were “*consultations with Government after the draft was formulated.*”

Overall, the results of the EUD survey show that the quality of dialogue and co-ordination with governments has significantly improved between the first and second programming cycles. However, the qualitative responses highlight the fact that this dialogue is not always strong. It can even only take the form of a consultation in some cases.

Similar observations were made by the ECA auditors in *Niger*. The ECA report indicates that a formal and coordinated co-ordination process had not been used for the design of the CSP 2008-2013, and the efforts to align various support to the national Poverty Reduction Strategy have been rather informal although continuous.

In certain cases, the recourse to different types of aid modality among DPs may be a reason for the **lack of co-ordination** at programming level. The case of *Burkina Faso* illustrates this problem. The EC selected SBS as a financing modality under the 9th EDF, while other DPs supported the education sector using a specific pool funding, the “*Fonds commun de soutien au développement de l’enseignement de base (CAST-FSDEB)*”. According to the ECA report, the non-alignment of financing modalities had negative consequences on the coordination of the different support provided.

8.1.2 Level of co-ordination and consultation among donors and with the partner countries’ governments, and role of the EC in the co-ordination mechanisms: I-812, and I-813³²²

As both the existence of co-ordination or consultative groups and the type of organisation chairing them are inextricably linked, this section deals with the following two indicators together:

- I-812: Level of co-ordination and consultation (e.g. for education sector or in relation to education conditions for budget support, Member States consultations, or on TA and capacity building),
- I-813: EC is or has been Chair of mechanisms such as Education Sector Working Groups.

It is interesting to note that the CSPs analysed (relating to the period 2000 to 2006 and onwards), mention the existence of different mechanisms for overall donor co-ordination in the education sector, such as:

1. consultative groups (CGs);

³²² I-812: Level of co-ordination and consultation (e.g. for education sector or in relation to education conditions for budget support, Member States consultations, or on TA and capacity building); and I-813: EC is or has been Chair of mechanisms such as Education Sector Working Groups

2. sector working or co-ordination groups;
3. multi-sectoral donor co-ordination (especially for the monitoring of PRSPs).

The EC is indeed **involved in a variety of coordination and consultation mechanisms**:

- In *Argentina*, no formal mechanism to coordinate support among donors exists; however, a kind of non-structured dialogue during programming, formulation and implementation takes place with the World Bank, IADB and UNICEF, among other donors.
- In *Botswana*, ad hoc meetings are often the option chosen for coordination related to the education sector between donors and, especially, between the EC and EU MS (as no other MS other than Germany is active in the education sector). The co-ordination between EC and EU MS is similar in *Burkina Faso* where technical and financing issues are at the core of the discussions.
- In *Cambodia*, the EC is active in several co-ordination groups, such as:
 - o the sectoral working group gathering EU Member States, the “division of labour meeting”;
 - o the Education Sector Working Group (ESWG) which gathers all donors working in the sector. It is chaired by UNICEF with a UNESCO/EC co-chair,
 - o the Joint Technical Working Group on Education gathers donors and the Ministry of Education. It is a forum for regular dialogue and co-ordination between the government and DPs/NGOs. The group is chaired by the Minister of Education and meets every two months.
- In *Indonesia*, the CSP for the period 2008-2013 mentions an ESWG.
- In *Mozambique*, the Joint Donors Group (JDG) comprising 9 members and the Programme Aid Partnership (PAP) were established in 2004 to support poverty reduction. The EC participates in a high number of working groups and co-ordination meetings.
- In *Tanzania*, donors and government used to co-ordinate via the Tanzania Assistance Strategy meetings, but from 2003 onwards this group was reorganised into the Development Partners Group (DPG) with similar sub-working groups as before.
- In *Vietnam*, the EC is a member of the PGAE. The CSP 2007-2013 notes Vietnam was nominated as a pilot country to EU co-ordination of policy and harmonisation of procedures in 2002. EU donors subsequently agreed on an Action Plan in May 2003. This was replaced by a Road Map in February 2005, which reflects the conclusions of the EU General Affairs and External Relations Council of November 2004 and embeds the EU harmonisation and co-ordination process firmly in the Government of Vietnam-led efforts. The Road Map, which, inter alia, describes EU achievements in harmonisation and co-ordination, provides for the alignment of EU MS/EC donor strategies to the Socio Economic Development Program (SEDP). It is stated that the EC has been actively involved in sector working groups, namely on education, PFM and global integration.

The box below refers to the case of *Bangladesh* which illustrates the variety of mechanisms where the EC can be involved, especially in terms of consultation and coordination mechanisms between the EC and Government.

Box 48: Bangladesh: An example of what co-ordination with Governments might require

The **Bangladesh Development Forum** intends to be a high-level discussion forum between government and the development partners in Bangladesh on all major subjects of relevance to development. It is still at its starting phase with the Government being the organiser and chair and the EC participating with other donors.

The **Joint Commission** is a yearly bilateral forum at a relatively high level on all issues related to EC development assistance to Bangladesh, providing an opportunity for both parties to express main concerns and appreciation. Also here the Government is the main organizer and chairs the forum.

The **Education Local Consultative Sub-Group** (ELCG) holds about twice-yearly meetings on education matters, with representatives from donors, government, NGOs, UN, etc.; and special meetings, as and when required, on skills development and non-formal primary education. According to the EUD, the quality, usefulness and number of meetings vary with the chairmanship rotating among development partners. It is perceived as a good tool to interact, but obviously mainly with other development partners, as Government representatives only seem to attend occasionally. EC staff usually participate and once held vice-chairmanship for one year.

The **Project Steering Committee** (PSC) on the TVET reform project, which is co-chaired by government and EC representatives is seen as a meeting at medium level, usually, according to the EUD, ensuring support from a wider group of government representatives. Government co-chairs, jointly with EC staff; and a considerable number of participants from various agencies and ministries are usually present.

Monthly **Project Monitoring and Co-ordination Committee** (PMCC) meetings take place on the TVET reform project, i.e. it seems to be a classical monitoring meeting, involving practical discussions at a relatively low level on specific implementation issues and problems. It seems to be a very useful exercise to ensure involvement of and approval by major government stakeholders, with the Government chairing and many government participants from various agencies and the ministry concerned being present.

Advisory Board (AB) meetings of the non-formal primary education project, with several representatives from government, along with many other non-government participants, which is also characterised as very useful, with active involvement by all stakeholders with frank discussions. The EC holds chairmanship there.

Formal consultation of government takes place at various levels during project design, by EC staff and/or consultants. Here the Government is asked to provide information on policy, strategy and plans. The quality and usefulness of such consultations seems to vary, but to usually provide good background information on government's positions.

Moreover, the EC requests the government to officially **approve certain documents** during project design and implementation, where approval often happens "in silence" in that the Government does not reply.

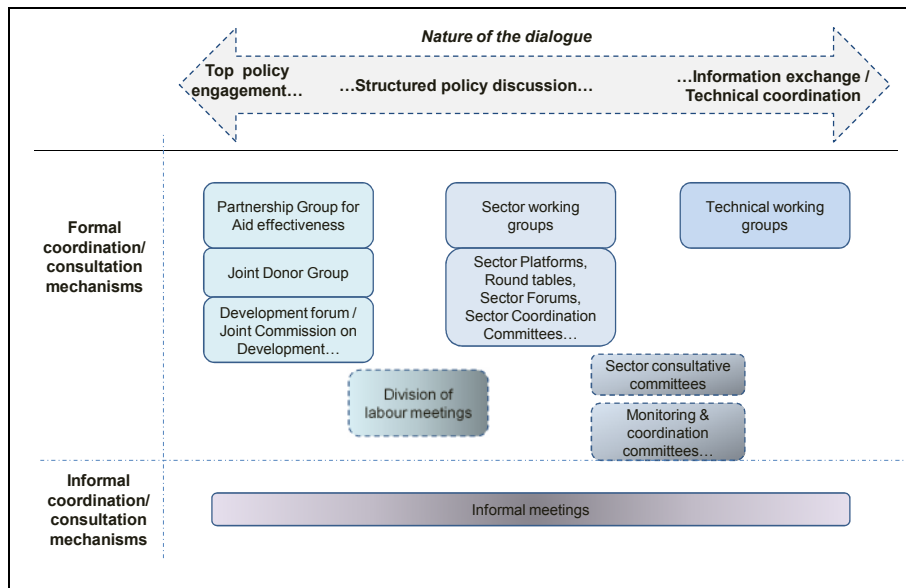
Meetings with government representatives, as and when required, on specific topics, between EC staff and direct counterparts in Government, usually upon request by EC staff.

Source: EUD survey, Country Note Bangladesh

Most of the **co-ordination mechanisms were functioning quite well** over the evaluation period. For instance, in *Vietnam*, the PGAE was instrumental in drawing up the Hanoi Core Statement providing a framework for implementing the Paris Declaration on Aid Effectiveness. In *Cambodia*, the EUD underlined the fact that the ESWG was more effective than other sectoral groups, e.g., in 2010, the ESWG, together with the MoE, contracted an aid effectiveness advisor who works directly in the MoE. Similarly, in *Ethiopia*, according to the EUD, the education co-ordination group is perceived as being the strongest technical working group: it includes donors and the Ethiopian government with a shared chairmanship between the Ethiopian government and the Finnish Embassy, and the EUD claims to be actively involved.

Based upon the various information collected, the different co-ordination mechanisms the EC is involved in can be summarised in the figure below.

Figure 31 Coordination mechanisms and nature of the dialogue



In addition, it is important to also differentiate between the following **two dimensions of coordination**:

- “Aid or Development coordination”, where the DPs together with the government focus on effectiveness of aid and on government systems (including mechanisms for managing government resources).
- “Donor Coordination”, where the focus is on better coordination in the DPs groups (including between the EC and EU MS).

The EC is indeed involved in a number of coordination mechanisms **organised and attended exclusively by donors**:

- At a very general policy level, such as the Development Partner Forum in *Botswana* (revived in 2008), the Development Partner Advisory Committee (DPAC) in *Papua New Guinea*, or the Co-ordination forum established under the UN gathering donors in *Somalia*.
- At the sector level, such as the Sector donor group in the *Dominican Republic*, the “division of labour (DoL)” meetings, for which the EUD is the head of the education sector, in *Cambodia*, or the “Education Platform” in *Ecuador*. Similar co-ordination groups at donor level also exist in *Papua New Guinea*, *Ethiopia*, and *Somalia*.
- At the level of individual programmes, such as for PEDP II in *Bangladesh*, where the group meets with a view to exchanging opinion and expertise on certain issues and developing a common position towards the government (consortium meetings).

Co-ordination mechanisms specifically between the EC and the EU MS also exist. Their nature very much depends upon how actively involved the MS are in the sector (e.g. in *Eritrea* they are not), and what kind of support the EC is giving. The range of such mechanisms is wide, so that basically in each country an individual setting has been established. For instance,

- In *Bangladesh*, formal consultations take place with the EU MS during the design stage, with less formal consultations at earlier stages, providing comments for further improvements of the design.
- In the *Occupied Palestinian Territory*, in 2009, the EC launched the development of an EU strategy for all sectors, including education, with the aim of coordinating and limiting the number of sectors in which the EC and MS are active. Moreover, once a week, information and co-ordination exchange meetings take place with MS, the government being invited for specific interventions/ specific topics.
- In *Ecuador*, in 2009, the EUD started to organise a platform gathering Member States and the EUD, following the ideas of the European Code of Conduct on Division of Labour and Complementarity³²³.

³²³ Communication from the Commission to the Council and the European Parliament of 28 February 2007 entitled “EU Code of Conduct on Division of Labour in Development Policy” [COM(2007) 72 final - Not published in the Official Journal]. With a view to improving the performance of European Union (EU) cooperation policy, the

Looking at the **role plaid by the EC** in the different co-ordination mechanisms, the following three points can be highlighted.

1. Firstly, participation in the various co-ordination mechanisms specifically related to education sector logically depends upon **whether education is a major sector of cooperation** for the EC or not. In *Uganda*, the EUD survey asserts that the Education Sector Consultative Committee (the highest policy making organ of the MoE) apparently works well. However, the ECA has analysed the minutes of these meetings concluding that the EUD has had rather little input to this forum, partly reflecting the fact that education is not a focal sector for the EC as well as the large number of persons present at these meetings. The situation is similar in the *Occupied Palestinian Territory*, where an Education Sector Working Group and Higher Education Thematic Group meet approximately bi-monthly, with the Ministry of Education and Higher Education chairing it (plus one donor and UNESCO co-chairing). According to the EUD, the EC's involvement is judged by the EUD as equal to that of the other donors "*given that education is not a focal sector*".
2. Secondly, where education represents a significant part of EC support to the partner country, the EC has in most cases played a **very active role in the co-ordination mechanisms**, chairing or co-chairing a number of coordination groups.

The reviewed CSE report suggests that, in *Vietnam*, the EC has been actively involved in sector working groups, among which education, PFM and global integration. In *Bangladesh*, as co-chair / chair of five ELCG sub- and working groups including education in 2005, the EC has played an active role in steering sector discussions and co-ordinating donor activities. In addition, the EC holds chairmanship in the Advisory Board meetings of the non-formal primary education project, where several representatives from government and several non-government entities participate. In *India*, the EC has been a very strong promoter of effective donor co-ordination mechanisms³²⁴ throughout the period under evaluation, and has been instrumental in facilitating Gol ownership and control of sector programmes. In 2007, in *Indonesia*, the lack of a structured provision for Gol donor liaison and dialogue was assessed as a great constraint for arranging a donor support to a Gol SWAp/SPSP. These constraints have eventually been overcome and the EC has been instrumental in negotiating a sub-sector approach to basic education with the Government of Indonesia through a Basic Education Trust Fund (BEC/TF) to which the EC is the largest contributor. The focus group discussion highlighted the fact that the EUD in *Ethiopia* has recently held the chairmanship for the social accountability sub-group of the PBS co-ordination group and participates actively in the regular meetings of PBS donors. Finally, according to the CSP 2000-2006 for *Mozambique*, the EC is seen as the groups' leading donor in the country.

3. Thirdly, the EC has in some cases played a special role regarding the **introduction of new aid delivery methods**, and as a corollary provided a special added-value compared to other donors.

As seen above, in *Indonesia*, the EC has been instrumental in negotiating a sub-sector approach to basic education with the Government through a BEC/TF. In *Nicaragua*, the Global Donors Round-Table ("Mesa Global de Donantes" or MGD) was established in February 2003 by Presidential Decree. It is the most important co-ordination forum and meets every two months. At the same time six sector round tables were established. Between 2002 and 2004 the donors formed the Budget Support Group (BSG). During that period, and until 2006, Nicaragua was considered a model of international co-operation, mostly reflecting good relations between the GoN and the donor community. According to the CSE, with two successive sector budget support programmes (PAPSE I and "PAPSE II), the EC has helped the education sector in a complex setting which is, among other issues, characterised by two successive and very different sectoral plans between 2004 and 2008; the involvement of thirteen donors in the sectoral round-table; and the co-existence of three major aid programmes with little harmonisation between them. The EC has been one of the pioneers in the application of new

Commission proposed a voluntary Code of Conduct for better division of labour between the EU donors in developing countries. The Code is based on eleven principles designed to reduce the administrative formalities, to use the funds where they are most needed, to pool aid and to share the work to deliver more, better and faster aid.

See [http://eur-](http://eur-lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexplus!prod!DocNumber&lg=en&type_doc=COMfinal&an_doc=2007&nu_doc=72)

[lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexplus!prod!DocNumber&lg=en&type_doc=COMfinal&an_doc=2007&nu_doc=72](http://eur-lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexplus!prod!DocNumber&lg=en&type_doc=COMfinal&an_doc=2007&nu_doc=72)

³²⁴ In 2003, the Indian government decided to only accept government-to-government aid from five donor countries (UK, Germany, Japan, Russia and USA), whereas multilateral aid (including the EC's) was allowed to continue. The Gol maintains its medium- to long-term ambition of gradually phasing out dependence on foreign aid.

forms of financing for the education sector and took the lead in sectoral round-table co-ordination. In *Burkina Faso*, according to the CSP and the CSE of 2010, progress on budget support was largely driven by the EC which played a co-ordinating and leading role for the other donors related to the PRSP, and for the monitoring and co-ordination of budget support within the Cadre Général d'organisation des Appuis Budgétaires en soutien à la mise en œuvre du Cadre stratégique de lutte contre la pauvreté (CGAB-CSLP³²⁵), in which nine DPs are involved.

Moreover, it is acknowledged by several donors the fact that, in the *Dominican Republic*, the EC funded Support Programme to Sector Policy in Education (Programa de Apoyo Presupuestario Sectorial para la Educación - PAPSE) has provided a reference framework for policy support. This has been pushed in particular by IADB, which wishes to closely coordinate its second phase of the Multiphase Basic Education support Project with EC SBS. The CSP (2008-2013) also highlights the fact that the EC has played a key role in the process of co-ordination among donors in the country.

Governments in partner countries are playing a more and more active **role in co-ordination mechanisms** and this increasing role is often instrumental in bringing out positive changes in development processes. For instance, in the *Dominican Republic*, the inclusion and rising co-ordination role of the government in the Round Table has been confirmed by the field visit. Since 2004, the former "donors" co-ordination Round Table became the *Education Table* ("*Mesa Sectorial*"). It includes all the donors and government institutions involved in education and it is usually chaired by the Ministry of Education³²⁶. This Round Table was expected to be the engine for the reforms in the education sector.

In many cases, the **EC is closely working with the government**. In *Ethiopia*, according to the EUD, in general, donors and government work closely together. The EUD highlights the fact that donors and government "*plan pretty much all our activity together, like for the moment the development of the new education programme and the education chapter of the next PRSP*". In *Papua New Guinea* (PNG), in the education sector, the few active donors gather together in the DPAC which meets monthly. This committee has been created upon the demand of PNG's Ministry of Education which wanted to see the development partners organised among each other. In 2010, the monthly meetings included also the Department of Education and according to the EUD "*there is no issue discussed without the knowledge of the Department of Education*". In *Indonesia*, shortcomings in terms of government engagement in donor co-ordination have been identified. The CSE underlined the fact that there was no clear government commitment to any modality and willingness to negotiate with donor partners on conditionality and characteristics of joint donor support. As mentioned above in this section, the obstacles have eventually been overcome, the EC being instrumental in negotiating a specific approach to support basic education with the other donors and the government.

It is noteworthy that, in most cases, where **co-ordination mechanisms failed** it is either because no framework had previously been established (because a critical mass of development partners supporting the government was lacking, such as in *Niger*) or because there is not **sufficient leadership exercised by the government**. Another case in point in this context is *Botswana*, where the fact that the government does not play an active role in donor co-ordination clearly hinders progress in setting up a more functional co-ordination framework to a certain extent. It appears that a considerable amount of co-ordination is taking place "outside" any standardised communication platform. The World Bank, SIDA and DFID confirmed participating in informal co-ordination efforts with the EC on a non-regular basis. Though, according to the CSE, the EC and its EUD are very active in promoting general policy dialogue in regular meetings in donor fora and are asking the government to take the driving seat in donor co-ordination. In *Eritrea*, there are emerging patterns of donor co-ordination. But a clear system with procedures is lacking. EC support is linked to the ESDP but provided through a separate project modality. The need for a stronger co-ordinated approach within the ESDP has been recognised and consequently EC support has been designed to be complementary with other partners' on-going activities and in accordance with the ESDP. Moreover, it has been noted that separate monitoring exercises when using a joint donor trust fund are inappropriate. Unfortunately, the EC's efforts to improve the co-ordination of donor activities were not well-received by the Government of the State of Eritrea.³²⁷

³²⁵ Cadre Général d'organisation des Appuis Budgétaires en soutien à la mise en œuvre du CSLP (Cadre stratégique de lutte contre la pauvreté).

³²⁶ in 2010, it was "co-ordinated" by the EC

³²⁷ Since 2001, Eritrea's relationships with many western donors have deteriorated. USAID was requested to leave in October 2005 and a number of other donors have restricted their activities to humanitarian assistance or have stopped new commitments. This is in response to the internal political and human rights situation as well as the lack of a published budget and a formal PRSP.

The leadership role of the government is striking where co-ordination mechanisms seem to work well at various levels. The case of *Bangladesh* (see box above) gives the example of a strong co-ordination system enhanced by a government playing a leading role in the various mechanisms in place.³²⁸

Interestingly, the focus group discussion organised with the EUDs has highlighted the fact that, **where Budget Support (both GBS and SBS) is used, the leadership of the government is naturally reinforced**, thus helping to improve development coordination mechanisms. This is also valid, and emerges very strongly from the various sources of information used in this evaluation, for **Budget Support** which, in most cases, **has been instrumental in enhancing coordination among donors**. An example in this regard is *Ecuador*, where, during the focus group discussion the EUD noted that it “*manages to reach a complementarity between our different actions*” and that “*Spain is thinking about alignment with the EC sector budget support programme in education, being through BS or through accompanying TA.*” The focus group discussions also highlighted a number of other cases (such as *Cambodia, Paraguay, Morocco or Ecuador*) where (especially sector) budget support has supported the development of effective co-ordination with the government but also among donors.

For *Uganda*, the Country Report of the Joint Evaluation of General Budget Support concluded that sector policy processes in the country are particularly well developed as are the processes of dialogue supporting it; GBS has fostered greater participation in policy dialogue; arrangements for co-ordinated instances of dialogue at cross-sector and sectoral levels have facilitated increasingly coherent dialogue and allowed donors to support the government’s reform agenda. One of the strong points of EC support to education directly through SBS or indirectly through the PABS is that it builds upon strong partnerships with the GoU and donor partners.

In *Mozambique*, according to the CSE, GBS has promoted highly efficient donor co-ordination and permanent policy dialogue between the donor groups and the GoM. The high volume of funds provided to the Government of Mozambique (GoM) through GBS has given importance to dialogue between GoM and the donors and has thus influenced - to a certain extent - policies and reforms.

Yet, it emerges that in countries **where mainly GBS with education related indicators has been implemented, policy dialogue with the relevant education ministries has remained rather limited. Co-ordination at a sector level** must thus be questioned. For instance, in *Jamaica* (where GBS is the only modality used by the EC with a reference to education), it should be noted that within the framework of GBS, education issuers do not seem to be at the focus of coordination. No co-ordination or consultative mechanisms exist specifically related to the education indicators of GBS. Instead, the discussions are “*part of general monitoring arrangements*” (EUD).

Moreover, the EC survey reveals that out of 13 EUDs which have GBS as well as education as a focal sector, only five of these EUDs seem to be engaged in regular policy dialogue with their partner government departments, as evidenced by weekly meetings. A further seven have less frequent (monthly, or in one case half yearly) meetings.

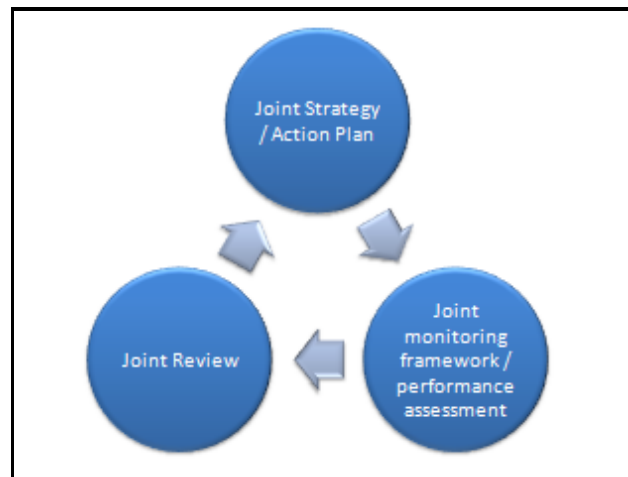
Various **other issues related to the choice of both SBS and GBS** as new aid modalities can also be highlighted.

- It seems that where no coordination was in place before, the shift from a project approach to (General) Budget Support does not necessarily bring about better co-ordination. In *Niger*, the project approach taken in the early years under evaluation was not geared towards co-ordination with other donors. Consequently, the EC has not played a significant role in the co-ordination of donors related to education. Moreover, the situation can be explained by the fact that within the GBS few other donors are active with a focus on education. Apparently, the EUD has not taken the lead in the support to education during the period under investigation, and does not plan to do so in the foreseeable future.
- The case of *Namibia* highlights a problem related to the use of SBS. According to the ECA report, disagreements on disbursement conditions between EUD and local donors versus EC HQ have affected the co-ordination between donors. For the 4th tranche, EC HQ decided to release only 50%, while Spain paid its full contribution on the basis of the agreement in the “aide memoire”. Given that the EUD had signed the “aide memoire”, HQ’s decision is likely to undermine the credibility of EC cooperation. (see EQ9).

³²⁸ The importance of the leadership role of the government in the co-ordination process of aid delivery was also stressed during the focus group discussion, for instance by the EUD to *El Salvador*.

Along with the introduction of new aid delivery methods, **joint activities between donors and governments** seem to be taking place more and more. The figure below summarises the three main types of activities that seem to play a key role in reinforcing coordination.

Figure 32 Joint activities enhancing co-ordination



However, these activities sometimes face some limitations:

- In *Eritrea*, the need for a stronger co-ordinated approach within the ESDP has been recognised and refers to the fact that separate monitoring exercises when using a joint donor trust fund are inappropriate.
- In *Tunisia*, since the Paris Declaration of 2005, most other active donors have ceased their interventions in the education sector, with the notable exception of UNICEF, which is still committed to supporting pre-school children and young adolescents who have dropped out, but with little financial means. The new priorities of the Tunisian government and of the remaining active donors – namely, the World Bank and the EC – are now rather with TVET and higher education, and with the rather challenging issue of graduates' unemployment. Despite these new orientations, a yearly review of donors concerning the support to education still takes place. However, it appears that this annual review does not raise much interest from other donors regarding basic and secondary education, with the exception of UNICEF on the issues of pre-school and dropouts.

But, in most cases, these approaches have proved to be **quite effective in enhancing co-ordination**.

- As mentioned above, in *Bangladesh*, PMCC meetings take place on the TVET reform project. Although, it appears to be a quite classical monitoring meeting, involving practical discussion at a relatively low level on specific implementation issues and problems, it was reported to be a very useful exercise to ensure involvement of and approval by major government stakeholders, with the Government chairing and many government participants from various agencies and the ministry concerned being present. Moreover, at a broader level, Joint Annual Review Meetings provide a forum to assess PEDP II progress. All persons interviewed during the field phase felt that the EC's presence had added value to these meetings.
- In *India*, the JRM is considered as "the" vector for donor co-ordination, with twice-yearly meetings to review progress of Sarva Shiksha Abhiyan, and bringing together education and financial experts from Gol and donors. The EUD evaluates these exercises as good with frank exchanges of information and common drafting of the aide-mémoire, leadership being ensured by the Gol (preparation of reports and presentation in the framework of the JRMs), with active participation by the EC as a member of the core group.
- In *Pakistan*, the GoS/RSU led Joint Review Missions, in which the WB and the EC participate, are enhancing co-ordination in the Sindh SBS.
- Joint sector reviews also regularly take place in *Burkina Faso* and in *Namibia*.
- Interestingly, in *Niger*, despite the absence of strong co-ordination mechanisms, annual joint review missions (GoN and DPs) are held in the framework of the sectoral review of the Education Plan (PDDE³²⁹).

³²⁹ "Plan décennal de développement de l'éducation"

Although Joint Review regularly takes place in several countries, it often appeared that there was still room for improvement for sharing experiences and exchange on good practices between donors specifically in the field of education.

Joint planning activities are dealt with under JC 8.2 – Indicator 8.2.1. However, it is interesting to already underline the fact that, **in several countries** (such as in **Vietnam**) **Joint Strategies have been developed including Joint Action Plans, with the EC often playing a key role**. Here, **Tanzania** is a prominent example. In the framework of the Joint Assistance Strategy, the level of co-ordination during the implementation of support is quite high. The ECA report even concludes that donor co-ordination is qualified as “tight”. The JESR take place and are attended by high level GoT officials, DPs and civil society organisations. As part of the review process, the trends in allocations to education over time are assessed as well as the degree of improvement in the development process. The JESR, which is only one discussion forum between the GoT and the DP has been made possible through intense policy dialogue. This is especially true for the education sector. During the 3-4 year period leading up to the adoption of the updated national ESDP 2008-2017 (and the CSP 2008-2013), the EUD was an active and influential member of the education DP community. The EUD held the chair of the DP Working Group on the Education Sector (Education DPG) in 2007. The EUD was part of the ‘Education Troika’ involving the EUD, the GoT and other DPs in sector dialogue. The ECA report comes to the conclusion that during the chairmanship of the Education DPG, the EUD’s education programme officer had more influence on the GoT’s education policy, than the EUD would have had if the EC had just been one of the DPs supporting education through the Education SBS. Still, according to the ECA report, since the former education programme officer left in September 2008, the EUD has not taken part in the meetings of the Education DPG which is considered to be the main vehicle for education policy dialogue with the GoT.

However, when it comes to managing co-ordination processes and even taking the lead, **human resources represent indeed a key limiting factor**: The EC survey to EUD shows that 20 EUDs dealing with GBS have no person directly assigned to education. As in the case of *Madagascar* or *Uganda* the social affairs officers (often dealing with mainly health topics) are assigned to follow developments in the education sector. 10 EUDs reported using “*expertise in the field of education available locally in the co-operation office of an EU Member State*”. Of these, five were EUDs that had no person assigned to education of their own and four had their own education assigned persons (although only two of these were full-time). For three of these EUDs the arrangement was with DfID. Others used the expertise of the Agence Française de Développement (AFD) and SIDA. Moreover, no EUD reported that these arrangements were formalised in any way. Two EUDs reported that their contractors (Technical Assistance) had agreements with other co-operation agencies to share information and participate in inter-agency policy groups.

The findings of this EC survey are supported by the findings in the ECA analysis, the field visits and in the focus group discussion. In the ECA reports, a recurrent issue is indeed the role of the EUD officer in charge of education. This officer is mentioned in the reports of *Tanzania*, *Liberia* and *Uganda* and is seen as having widely contributed to the dialogue with DPs and the government. As mentioned above, the ECA report highlights that the absence of the officer for a certain period in Tanzania and Liberia implied the withdrawal of the EUD in education co-ordination meetings. For Tanzania, the report highlights the importance of the role of the education officer in the EUD. According to the ECA report, it was through the activities of the EUD education programme officer within the Education DPG and her interactions with GoT officials through the PEDP, the JESR and an ESPD committee, that it was able to influence the GoT’s implementation and revisions of the ESDPs (including the most recent update of September 2007 for the period 2008-2013).

Due to the fact that all TA in *Morocco* is provided through the EC and consists mainly of short-term assistance, this significantly increased the workload of the EUD creating a bottleneck hampering the active role that might have been played in the relevant cooperation sectors.

The picture described in the *Indonesia* CSE may also well apply to a much broader scale. Over the past four years the EUD Jakarta has faced severe constraints in human resources. The implementation of the decentralised management model has meant an increased workload for the EUD, as Indonesian counterparts were late in complying with the requirements.³³⁰ EUD staff had to attend a large number of projects: next to the bilateral programmes, a large number of programmes funded under thematic and regional budget lines also fall under their responsibility. It was reported that staff had little time to monitor projects and speed up implementation.³³¹ External exceptional circumstances (Tsu-

³³⁰ The Country Review of June 2003 already mentions the expected delays caused by the implementation of the Financial Regulation, particularly related to the decentralized management model

³³¹ The Strategic Review and pre-programming Mission of June 2005

nami, Jogjakarta earthquake, events in East Timor, and the avian influenza situation) further increased their workload. In addition, difficulties and delays in filling vacancies (there was a substantial number of resignations, and an organisational restructuring of EUD took time before recruitment could start) aggravated the situation.³³² Implications were that EUD staff was mostly involved in administrative and procedural matters, and that little time was left for substantial work, advice and policy dialogue.³³³

Policy dialogue with the national governments was considered as crucial by a large majority of EUDs during the focus group³³⁴. However, it was also emphasised that: *“In order to build a trustful relationship it is necessary to work very closely with the ministry, which is a very time consuming task. But EUD staffs have often not the means and the time to do it due to a huge work load”*. Moreover, a possible problem that might be faced is the heavy turnover of education sector officers in the EUD. Nevertheless, this aspect has not often been raised as a major issue during the different interviews. What has been perceived as a more problematic area is the **lack of specific competences**. In particular, during the focus group, the EUD to *Ecuador* stressed the fact, that the implementation of SBS requires specific knowledge, as it differs considerably from the project modality. EUD staff had not had enough opportunities to become fully familiar with the new requirements of SBS.

While preparing for sector support programmes and SBS/GBS, many EUDs are indeed faced with capacity problems. In many cases key staff (often only one) are responsible for more sectors besides education (such as health). In addition, sometimes their responsibilities are not in line with the level of seniority required for their position. Apart from multiple tasking, the depth of competencies required for programmed approaches and budget support is quite huge and asks for in-depth consultations not only with Governments but also with Development Banks, which avail of specialist human resources both in country and at headquarters.

It should be stressed that preparing for SPSP/SBS/GBS requires a strong presence in EUDs and adds to the workload in terms of preparing (Terms of References - ToRs) and monitoring specialist education sector specific missions, but also e.g. on PFM. This has been reconfirmed during the focus group interviews.

8.2 JC82: Complementarity between the interventions of the EC, the EU Member States and other donor agencies active in the education sector

Complementarity should be a natural consequence of co-ordination; so, in principle, wherever there is effective co-ordination within the sector, one should assume that interventions supported complement each other. This is evident when an SPSP/SBS is in place; it is less evident when the project modality is being chosen or efforts are made towards SPSP/SBS.

The example of *Vietnam* underpins this assumption as, there, complementarity occurred mainly through budget support dialogue and development of policy actions which has been used to enhance sector policy and the institutional framework in which other EC programmes operate. Also, EC support to various PFM initiatives has helped to strengthen GoV budgetary systems, lowering fiduciary risk and increasing transparency, which might be expected to have a positive impact on other EC programmes that use GoV systems.

Another case is *Indonesia*, where complementary coverage was ensured between the EC and the Government of The Netherlands; the BEC/TF programme is focused at the district level and covers some 10% of the districts. Coverage of districts is also done in a complementary way. Also in *India*, during DPEP, the EC and DfID agreed on complementarity in terms of coverage of different states.

From the documents analysed, the field visits, and the survey to the EUDs, there are clear indications about the EC's and other donors' willingness to share knowledge and to provide relevant actors with updates on programme activities. The fact that all the CSPs contain donor matrices hints towards complementarity being researched by the EC. On the other hand, joint reviews of experiences and donor exchanges on good practices in the field of education are still not so often carried out, pointing to the issue that a gap might still exist between theory and practice.

Moreover, **various factors can sometimes reduce the scope for building complementarities:**

- Project execution remains widely separated by the different procedures and public tender requirements.

³³² EAMR of 2005 and 2006

³³³ Personal information Head of Operations, EUD Jakarta.

³³⁴ For instance, it was mentioned that it could significantly contribute to the formulation of sector strategies.

- The EC contracting process marks it out from broader EU and donor co-ordination because of its lengthy nature, particularly during the identification stage. In situations where timely action is required, the heavy administrative workload might not allow the EC to remain updated on new priorities; to respond in a timely manner to structural needs or to follow the lead provided by certain Member States.

In addition, the CSE for *Indonesia* notes an interesting point: while multi-donor programme implementation is on the increase, it is still difficult, as donors (incl. the EC) want to co-ordinate their aid to Indonesia, but have to adhere to their own regulations. Finding compromises and ingenious solutions takes time, therefore intended collaboration efforts, such as Multi-Donor Trust Funds, in a number of cases lead to delays in programme and project implementation. This is likely to be applicable to many other cases.

8.2.1 I-821: EC/EUD strategic planning documents identify gaps, discuss means of filling them, and identify action to minimise overlaps

In terms of mechanisms used to establish complementarity at **the planning and programming phase at county level**, the desk study and field visits show a range of different approaches.

The ECA analysis reveals that the EC, in the **Sub-Saharan African** countries covered, systematically uses mechanisms at the planning and programming phase of the support with the aim of achieving complementarity of interventions, as exemplified by *Liberia, Uganda, Niger, Tanzania* and *Namibia*:

- The EUD in *Uganda* had made considerable inputs into the process leading to the establishment of the new Joint Assessment Strategy in October 2009 by insisting on the importance of results indicators³³⁵.
- In *Niger* the EUD along with other DPs and the GoN have agreed on a performance matrix including indicators, which is used to monitor the Education Sector Plan, PDDE. This matrix has been in use since 2003 and according to the ECA report “the primary education sub-sector is the sector in the country with the best monitoring and evaluation situation”.
- A particular close collaboration at the design and programming phase of the support can be seen in *Tanzania* (in the framework of the Joint Assistance Strategy) and in *Namibia* with Swedish SIDA during the preparation of the financing agreement for the Medium Term Expenditure Framework 2003-2007 and a sector co-ordination mechanism in the framework of the design of new strategic plans by the Ministry in charge of education.

Box 49: *Tanzania: The Joint Assistance Strategy in Tanzania*

In Tanzania EC support is provided through the JAS. Hence the planning and design of the CSP is the result of a compromise between DPs.

As a result of the JAS, the CSP 2008-2013 does not include education as a focal sector, despite the recommendation by the CSE. Two of the main reasons³³⁶ were, according to the ECA report, the agreement reached in the Division of Labour agreement between the locally represented DPs and the explicit wish of certain EU Member States DPs. The CSP indicates the following: “*The need to ensure better mainstreaming of environment in aid cooperation and secondly for a more structured approach to monitoring poverty impacts within the PRBS architecture, and strengthening of the public financial management reform process. (...) The Division of Labour (DoL) discussions conducted as part of the JAS have also informed the choices made in this response*”³³⁷.

According to the ECA analysis, the DoL exercise had no consequence for most of the donors, while for the EC; it meant withdrawing as an active donor from 6 out of 16 sectors. Since the adoption of the CSP 2008-2013, the Netherlands and Finland have withdrawn as active donors from the education sector, leaving the sector with only two active EU Member State donors (the UK and Sweden). At the same time, the DoL exercise consolidated the continued engagement of 14 donors, including eight EU Member States, as providers of GBS.

The joint nature of the assistance strategy and programming has facilitated alignment and harmonisation among DPs beginning at the planning phase of the support. Cross-cutting issues relevant for education such as the exclusion of the handicapped, orphans and vulnerable children and gender are addressed explicitly in the analysis for the education sector presented in the CSP. In the Joint Programming Document, which is an integral part of the CSP, the DPs state their collective intention to support the integration of HIV/Aids into the school curriculum and find solutions to reduce the impact of HIV/Aids (Acquired Immune Deficiency Syndrome) on trained teachers (plus a number of other issues) through the development and implementation of a strategic plan.

Source: ECA report *Tanzania, CSE Tanzania*

³³⁵ This has been made evident during a roundtable meeting held during the ECA audit mission with other budget support donors. The latter commended the EUD for the contribution it had made to the dialogue on setting up the JAF through its insistence on the importance of results indicators.

³³⁶ Another reason was the restriction imposed by the principle of concentration which recommended to have only two focal sectors.

³³⁷ CSP 2008-2013, p. 60.

In *Asia*, *Bangladesh* is an interesting example of joint approaches between EU Member States in the framework of the preparation of the last EC programming cycle. The Country Note highlights that the Council Guidelines (2001) on operational co-ordination between EU Member States missions and EC Delegations provided impetus for a common discussion. Member States and the Delegation held discussions on the harmonisation of the next cycle of the programming exercises for the country strategies as of 2006. By 2003, the situation appears to have improved and the Country Strategy Evaluation (2003) for Bangladesh noted that the NFPE had been “supported by the EC together with other donors (DfID, Netherlands Directorate General of Development Cooperation (DGIS), NOVIB, AKF/ Canadian International Development Agency (CIDA), Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ), UNICEF, etc.)” and that the EC had been successful in ensuring co-ordination and complementarity of its interventions with those of others. The CSP 3 (2002-2006) also noted that upon initiative of the EUD “overview tables have been produced to summarise the involvement of the EC and EU Member States in the different sectors”.

Due to the specific situation of *Somalia*, all international aid coming into the country is coordinated through a co-ordination forum with a secretariat, established under the UN and based in Nairobi. The EUD Kenya, Somalia Operations Unit, is of the opinion that the EC has significantly contributed to this secretariat. During the focus group discussion, it was stated that beyond this international donor co-ordination mechanism, the particularity of Somalia is that the Somalia Operations Unit has actively sought the consultation and dialogue more specifically with other EU MS. As a result of this policy, from 2010 onwards, DfID will channel their funding through the EC after five years of discussions. Also with Danish International Development Assistance (DANIDA), discussions have been engaged in order to include them as part of a consortium of a new capacity development project. Taking into account the fragile situation of Somalia, the Operation Unit saw co-ordination as a crucial issue and accordingly “the issue of co-ordination has been taken very seriously”³³⁸.

Even though complementarity is addressed in the major policy documents in *Pakistan*, the field visit revealed that this complementarity was hampered by the lack of harmonisation between the programming cycles of the different development partners.

From the various sources analysed, and the field visits, it emerges that processes to ensure **complementarity at the education sector level** existed in most cases, but seemed to be, in several cases, established more on an ad-hoc basis.

- In *Bangladesh*, at the sectoral level, the Financing Proposal for the Support for Non-Formal Primary Education³³⁹, indicates that representatives of Members States active in education support were closely consulted during the formulation together with other DPs (ADB, CIDA, JICA, UNESCO, UNICEF, UNDP and WB). This intense consultation was especially important as the NFPE programme was aimed at complementing four other major activities in non-formal education not supported by the EC³⁴⁰.
- In *Indonesia*, the EC identified conditions for meeting the requirements for a SWAp approach. Based on this analysis, gaps were identified and incorporated in a revised roadmap towards SWAp in the country. Even though not explicitly referred to in the CSEs analysed, this approach seems to be common in preparing for budget support operations.

As seen above in JC8.1, it emerged, especially during the focus group discussion, that **Sector Budget Support** has a considerable potential to support the development of effective co-ordination with the government, but also among donors:

- The EUD in *Morocco* stated that the EC has significantly contributed to co-ordination during the design of the education sector programme. Co-ordination was ensured together with the Ministry of Education as well as with the development partners, with whom a memorandum of understanding has been developed leading to a joint programme. In order to take complementarity into account at the planning stage, one of the seven components of budget support was “partner cooperation”. It is interesting to note that first the EUD obliged the government to hold co-ordination meetings, which led the government in a second step to request more co-ordination among the various donors. With its joint education support, Morocco is often presented as a good example of co-ordination between donors and government.

³³⁸ Focus Group Discussion, Somalia Operation Unit

³³⁹ NFPE n° ASIA/2005/017-588

³⁴⁰ These activities were: 1) BRAC Education Programme, USD 133 million; supported by CA, NL, NO, UK; 2) Education for Indigenous Children (USD 15 million; NO); 3) Basic Education for Hard-to-Reach Urban Children (USD 35 million; SE, UNICEF); 4) Reaching out of School Children project (USD 58 million; WB and CH).

- Furthermore, in *Paraguay*, the EUD was confident in being able to improve complementarity through a more coherent sector strategy which was made possible through SBS launched at the end of 2009.
- In the *Dominican Republic*, the role of EC Sector Budget Support (PAPSE I) was explicitly expected in the FA to provide the “*opportunity for a rapid and somewhat drastic change of orientation in its role, aiming more and more towards concretising achievements in terms of co-ordination between donors*”.
- In *Namibia*, the framework of the development of a new education sector plan by the government, the EC and Swedish SIDA who all cooperated very closely to prepare the financing agreement for the Medium Term Expenditure Framework 2003-2007 and a sector co-ordination mechanism. This common framework never materialised due to the changes in government strategy. The subsequent efforts to coordinate at planning level seemed to have increased the efficiency in coordination, but as more and more donors are phasing out their support, the necessity of co-ordination has decreased. According to the ECA report “*Donor co-ordination has improved but gradually lost significance*”.

Box 50: Namibia: Co-ordination mechanisms of DPs, especially MS

The EC and Swedish SIDA have cooperated very closely during the preparation of the financing agreement for the Medium Term Expenditure Framework 2003-2007 and a sector co-ordination mechanism in the framework of the design of new strategic plans of the Ministry of Higher Education, Training and Employment Creation and the Ministry of Basic Education, Sports and Culture.

But as the new ESP remained unfinished and was finally dropped in order to develop a new 15-year plan, (ETSIP)³⁴¹, this mechanism did not develop its potential. Following the Paris Declaration principles, a Memorandum of Agreement (MoU) was signed between donors after the adoption of ETSIP. It established joint procedures for disbursement and monitoring. According to the ECA report this was an important step forward towards closer donor and GRN coordination. However, the MoU conflicted with some essential dispositions of the EC’s ESP financing agreement. Following co-ordination problems by donors and the withdrawal of the World Bank from the Education and Training Sector Improvement Programme (ETSIP), some essential monitoring provisions were subsequently never implemented.

Initial efforts by donors to establish mechanisms allowing for co-ordination and complementarity, e.g. between the EC and SIDA have today lost importance due to the fact that an increasing number of donors are phasing out their support to the education sector in Namibia. This has been the case for SIDA, which originally entered into a partnership with the EC to finance the ESP or for the Netherlands, which had envisaged a similar partnership which never materialised. Today, only the EC and Spain are currently providing sector budget support to GRN, while other donors, including the US government through its Millennium Challenge Account, provide traditional project support.

Source: ECA report *Namibia*

The case of *South Africa* shows some parallels with *Namibia* in the sense that due to the fact that only a few donors are present in the education sector of the country, co-ordination among donors is not very strong. Complementarity is assured through the leading role played by the Ministry of Education. The findings of the field visit show that EC projects have traditionally been identified by DoE, which had a preference for bilateral engagement, with donors focussing primarily on complementarities with its own programmes and its funding gaps. The central role of the Ministry of Education in the co-ordination of donor support in especially countries with only little support has been reconfirmed in the focus group discussion (especially the participant countries of South America). It seems that through this external donor co-ordination, complementarity with existing sector interventions (which are mainly under the authority of the Ministry of Education) can be best achieved.

8.2.2 I-823: Degree to which the EC has established trust fund agreements with UN organisations, Development Banks and bilateral organisations

Figure 34 shows EC contributions to trust funds that made up 10% of the total amount contracted during 2000 and 2007, which amounted to € 197 million. The financing of trust funds has increased during 2007 and beyond.

Most of these funds relate to FTI support via the World Bank, with funds originating from the EDF and the general budget, e.g. also through the budget line “Investing in People” (from 2007 onwards), which has an education component. It should also be noted that for instance GBS support to *Niger* included

³⁴¹ The formulation of the ETSIP was mainly supported by the World Bank. According to the ECA report of *Namibia* EC’s co-ordination with the WB did not work efficiently during the formulation of ETSIP. This was in part due to the fact that the WB did not have a country office which may have contributed to limited cooperation between the WB and the EUD. Even when technical teams were in mission to Namibia, the WB did not always participate in the donor’s co-ordination meetings, nor did it share its terms of reference for missions or the results from them.

variables tranches linked to education indicators of an amount of €15 million. In addition to GBS, the EC participated to the pool of donors which have endorsed the FTI package based on sector budget support. However, these additional € 15 million were added to the existing GBS, and not included in the common fund set up by other FTI donors.

With a total contribution amount of € 93 million from 2007-2010, the EC rightly claims that it today belongs to the core group of active donors, along with the Netherlands, the UK and Spain. However, it must be noted that the three countries mentioned provide an average contribution of € 267 million, far above the EC's contribution of € 93 million, which represents less than 6% of total pledges. The three most important bilateral contributors together provide 67% of total pledges.

Only few sample countries received funds from the FTI during the period under evaluation.

Table 41: *Catalytic Fund Disbursements until end of 2007 (in USD million)*

Country	Cumulative disbursement until end of 2007
Cameroon	11.3
Djibouti	6
Ghana	19
Guyana	12
Kenya	72.6
Kyrgyz Republic	1.1
Lesotho	4.2
Madagascar	27
Mauritania	9
Moldova	2.2
Mongolia	8.2
Nicaragua	14
Niger	9
Rwanda	26
Tajikistan	9.1
The Gambia	13.4
Timor Leste	5.6
Yemen	20
Total	269.7

Source: FTI: Catalytic Fund Interim Status Report April 2008

Co-ordination mechanisms and complementarity between FTI / trust funds agreements and EC support will be discussed more in detail in JC 83.

Apart from FTI support, the following major trust fund agreements have been identified (inventory, EUD survey³⁴², CSE analysis, field visits):

- In *Indonesia*, two TF agreements exist: The Basic Education Capacity Trust Fund (BEC/TF), equipped with € 17 million, jointly with the Government of The Netherlands given since 2007, which has been a highly innovative and comprehensive policy driven programme gradually preparing for sector support. Among other goals it focused on strengthening the capacity of the Government of Indonesia for policy and performance based educational management, monitoring and financing in a decentralised context through support to the Policy Dialogue Board. Additionally, the EC has had a contribution agreement with ADB and with UNICEF on BE-SCSP Component 1 – “The Basic Education-sector Capacity Support Programme”³⁴³.

³⁴² Only 12 EUDs provided an answer to the question of co-funding, four of them indicating the EC had co-financed programmes. The question was aiming at the issue of co-funding related to programmes that are then being implemented by the other organisation, and not at cases where, for instance, the WB and the EC are jointly financing education support or where the EC is co-funding an NGO project.

³⁴³ The overall objective of BE-SCSP is to accelerate achievement of EFA and education-related MDGs in Indonesia through developing capacity of the sector to deliver basic education services in accordance with GoI Minimum Service Standards (MSS) and decentralisation provisions. The purpose of the programme is to contribute to enhanced service delivery capacity in basic education in line with MSS as a result of (1) strategic reforms and capacity ensuring an equitable, cost-efficient and quality-driven decentralised education system and (2) increased impact of district and provincial education plans and budgets on MSS achievement in basic education as a result of emulating good practice. BE-SCSP consists of two components: Component 1: Central, Provincial and District

- In *Eritrea*, the EC has concluded a Single Donor Trust Fund with the World Bank in the framework of ESDP. The Trust Fund covers € 32.44 million out of a total EC commitment of € 52 million. The Fund has three components:
 - o Component 1: Professional Development of Teachers and Component;
 - o Component 2: Enhanced quality of the education system;
 - o Component 3: Construction and equipment (Euro 32.44m).

The programme operates both under "centralised management" (for Components 3) and "decentralised management" (for Component 1 and 2). Hence, EC support to ESDP in Eritrea covers a combination of implementation modes; Direct Labour Operations for Components 1 and 2, Service Contract for Technical Assistance and the Administration Agreement with the World Bank for Component 3.

- In *Pakistan*, the "Earthquake Emergency Assistance Project (Education) in the Earthquake-Affected districts of AJK, Pakistan" was concluded with the ADB (€ 30 million), and with the participation of the Netherlands and Germany. It is solely related to post-earthquake reconstruction of school facilities. The Pakistan Education Programme in the Earthquake-Affected districts of NWFP and AJK was implemented by UNICEF (€ 10 million).

Other EQs provide further information on how these arrangement have been implemented and respectively what the outcomes were (EQ2 for instance).

Moreover, it is to be noted that quite a number of agreements exist as well with UN organisations such as UNICEF, UNDP, UNESCO, ILO, etc., with a total of € 71 million. However, the evaluation team would classify all of them rather as service delivery contracts that should basically be dealt with like any other contract concluded between the EC and a service deliverer.

8.3 JC83: Level of synergy between EC-supported trust funds and banks and EC support at country level

This JC seeks to elaborate on synergies between EC support to FTI or trust funds which have been identified in indicator I-823, and EC support at the country level, usually implemented within the framework of the CSP. The following indicators have been developed:

- I-831: Co-funding FTI and trust fund arrangements with development banks is complementary with other interventions funded by the EC
- I-832: FTI' and development banks' programmes co-funded by EC in the education sector are co-ordinated with other interventions funded by the EC (at country, or at regional level)

As these are closely interrelated, complementarity, possibly being a consequence of co-ordination, both are dealt with together. In addition, this JC is partly overlapping with EQ9, JC95 dealing with value added through EC support to development banks.

Related to the question of FTI, in the reviewed countries in relation to direct EC support to the countries, the EUD survey indicates that there has been rather limited co-ordination between EC support and the FTI during the planning stage of EC support. The sample comprised a number of countries that have benefitted from FTI support during the period under evaluation, such as *Burkina Faso, Ghana, Mozambique, Uganda and Vietnam*.

The EUD survey results show also that dialogue and co-ordination with FTI representative entities has been nearly non-existent at EUD level (for both CSP programming cycles). Concerning the first CSP programming period, seven out of 12 EUDs pointed out that the question was not applicable to them. For the second CSP programming period, the same applies to eight out of 14. This means that dialogue with an FTI representative entity was not relevant or possible in about two-thirds of all responding EUDs. In no case was dialogue and co-ordination marked as high, but over the whole period, those who did indicate that dialogue took place, four out of five indicated that its quality was low.

However, despite these rather weak ratings on co-ordination during the CSP periods, the EUD survey also shows that the EUDs see a clear relevance of, and complementarity with the FTI in relation to the existing support by the EC. In this way, eight of the 20 EUDs indicated that FTI is relevant to their country³⁴⁴. As an example, the EUD in *Pakistan* spoke in favour of trust funds like the FTI, as it may

Capacity Development for Decentralization managed by ADB; and Component 2: Mainstreaming Good Practices in Basic Education, implemented by UNICEF.

³⁴⁴ This has been the case in: *Burkina Faso, Eritrea, Ghana, Mozambique, Uganda, Vietnam, Tajikistan and Nicaragua*, but not in all of them, the process has been launched.

prove an effective way of channelling funds “due to its push towards enhanced harmonization, alignment to government policies and improved coordination.”

The example described below illustrates the FTI support to *Niger*.

Box 51: *Niger: The FTI in Niger*

Niger was one of the first countries to be included in the FTI scheme. The EC has participated in the pool of donors which have endorsed the FTI package based on sector budget support, although the EU contribution was added to existing general budget support, and not included in the common fund set up by other FTI donors. However, the EU has also indirectly contributed to the FTI package through the Catalytic Fund, which was mobilised for a total amount of approx € 25 million during the first period of FTI, before the suspension³⁴⁵. Furthermore, the contribution by the EC to FTI through the Catalytic Fund was intended to reach the MDGs, just as GBS is dedicated to similar objectives. Full complementarity exists between both channels of support. The EC has been a member of the FTI committee and supported the idea that the Catalytic Fund should be included in the common fund using national procedures.

This position is reinforced by the findings in the ECA analysis, which states that the support to primary education is characterised by an important number of DPs (15) and a diversity of financial instruments through which the sector is supported (e.g. GBS, SBS, pool funding and projects). Nevertheless, the conclusion is that the EC is fully in complementarity with the support of other DPs in the sector and especially with education support in the framework of the “Fonds Commun d’Appui au PDDE”, which is mainly funded by the FTI.

Source: Country Note Niger, European Court of Auditors (2010): Audit de l’aide de l’UE aux pays en développement pour l’éducation, Desk-Review - Niger (Février 2010); Relevé de constatations préliminaires

When it comes to the role of the FTI-CF in improving country preparedness for EC sector support, the EUD survey gathered six EUDs opinions: Half of them, i.e. *Burkina Faso*, *Ghana*, *Nicaragua*, were of the opinion that the FTI was only helpful to a very limited extent, respectively not at all. This is quite understandable for all three of them, as in the first two countries EC support has been channelled into GBS (almost exclusively) for a number of years, while in the Nicaragua case the EC had already started its sector support when FTI became relevant. One EUD (*Tajikistan*) was of the opinion that the FTI process has been very significantly helping the country to prepare for SBS, as a catalytic factor behind the move towards SPSP, which is foreseen (after the evaluation period), and which seems to have improved donor co-ordination and alignment. This is confirmed by a review of coordination mechanisms for development cooperation carried out for the World Health Organisation (WHO) in Tajikistan in 2009³⁴⁶, which mentions that the Trust Fund has been instrumental in preparing the ground, at sector level, for enhanced planning and monitoring mechanisms, and better resource alignment. This review also highlights that the FTI does not necessarily ensure that the focus of the strategy is expanded to cover the whole sector. Neither does it ensure that the government takes the lead in the coordination efforts.

The other respondents to the survey perceived the relation between the two funding modalities as less positive and even mentioned the lack of relation. In *Burkina Faso* it seems that the funds were held on a “non-trackable” account that gave no guarantee that additional resources would be given to the Ministry of Education.

Regarding **co-ordination mechanisms related to the FTI**, of the eight EUDs indicating in the EUD survey that FTI is relevant, seven EUDs report the existence of some form of consultation mechanisms³⁴⁷. The most commonly used are donor discussion groups with a planned agenda for FTI issues (that may include also the government), e.g. Education Sector Working Groups. Other co-ordination means are ‘formal agreements’ or informal and ad-hoc exchanges which take place in the framework of existing sector co-ordination groups and benefit from the presence of DPs in these meetings. In detail, the co-ordination mechanisms are:

- In *Tajikistan*, in early 2010 (i.e. outside the period under evaluation), there was no mechanism in place, but being discussed with the WB and the Ministry of Education, given the fact that Government of Tajikistan recently received a USD 13.5 million grant under the Catalytic Fund.
- In *Burkina Faso*, the World Bank and EUD are part of the same group of donors for education, which seems to meet several times a month, and is also related to progress on FTI.
- In *Eritrea*, according to the EUD, an agreement exists between main implementers in education (the WB, the EC and UNICEF) on the importance that FTI could play for Eritrea. Meetings among donors have taken place on this subject, and the MoE has been made aware of the

³⁴⁵ One is referring here to the suspension which was decided by donors active in the common fund after the so called « MEBA Affaire », in which serious mismanagement has been discovered.

³⁴⁶ WHO (2009): Review of Coordination Mechanisms for Development Cooperation in Tajikistan.

³⁴⁷ *Burkina Faso, Eritrea, Ghana, Mozambique, Uganda, Vietnam, Tajikistan and Nicaragua; only Ghana states that there is no consultation mechanism.*

opportunities that FTI poses, but the country has not gone yet through an FTI appraisal process³⁴⁸. According to the EUD, since the end of 2009, discussions on FTI among the WB, UNICEF and the EC have taken place regularly at every occasion of a WB supervision mission, and in between, via email communication.

- In *Uganda*, the Education Sector Working Group is used for discussing FTI issues, while in *Vietnam* the same type of mechanism has been established in November 2009, but, until early 2010, no meeting had taken place.
- As for *Nicaragua*, consultation is rather informal, through exchange with EFA-FTI, while, on the other hand, participation in education roundtables seems to facilitate such contacts.

As for **co-ordination (mechanisms) related to trust funds other than FTI**, the following examples highlight the broad range of the quality of their implementation and outcomes, i.e. the fact that these are very much depending on individual settings:

- In *Eritrea*, the Trust Fund arranges for built-in co-ordination. According to the EUD survey and a recent monitoring mission report³⁴⁹, the co-ordination with the WB is perceived as being rather weak. The same applies to implementation efficiency and effectiveness of the Construction Component, as delays in implementation had accumulated until June 2009, being weakly addressed by the WB. Only after a so-called “Rapid Results Approach”³⁵⁰, applied as a desperate measure in 2009 did first results seem to have been achieved through a community approach to school construction.
- As for *Indonesia*, the Trust Fund “Basic Education-Sector Capacity Support Programme” recognises the exemplary nature in terms of donor co-ordination and co-operation of MDTF modalities and the CSE stretches the benefit of MDTF, which might ultimately enhance efficiency in practice. But the trust fund modalities have also often been factors leading to delays in project launch. This delay is due to delays caused through incompatible rules and procedures employed by different donor agencies. In the framework of the Indonesian MDTF, the donors opted for a new inter-agency partnership modality to fund the MDTF and Contribution Agreements.
- The picture is different for *Pakistan* where a couple of MDTF agreements have been made and where the co-ordination process and the results seem today to be rather good according to the EUD survey. Despite the very slow start and familiarisation with adequate construction models for the earthquake areas, and the lack of sufficient technical expertise during the first years, as expressed in the EUD Survey, the EUD scores efficiency, effectiveness, impact as rather good relating to co-operation with the ADB, and less favourable in terms of the efficiency and effectiveness of UNICEF support. Overall, co-ordination with the two bodies seems to have been good. The field visit confirmed the first difficult start with MDTF and states that the EUD today has solid experience of working with MDTFs, especially on the Earthquake relief MDTF with the ADB and UNICEF.
- Similar to Pakistan, the EUD of the *Occupied Palestinian Territory* survey rates the efficiency and effectiveness of the MDTF as good, given the short duration of the programme up until now. Despite the fact that this programme has only been contracted in 2008 (with UNESCO), and therefore falls outside the scope of the evaluation, this seems to demonstrate the results of good co-ordination with UNESCO and let the EUD to state that the “Quality Systems for Quality teachers” programme is highly complementarity to other EC support.

In sum, the statements made in the CSE for Indonesia very much reflect the general situation in relation to EC participation in Multi-Donor Trust Funds (MDTF): *“Even though ultimately MDTF might enhance efficiency in practice it meant dealing with different agencies with different rules and procedures which makes the process cumbersome”*.³⁵¹

³⁴⁸ Only two EUDs, *Uganda* and *Nicaragua*, answered the question on how sharing of information on results of FTI country appraisals between them and HQ. However, the answers given did not indicate any mechanism for sharing information.

³⁴⁹ Particip GmbH, Edinburgh Consultants (2010): Ex-post evaluation of programme-estimates and annual monitoring of the project “EC Support to the Education Sector” – Eritrea. EuropeAid/126248/D/SER/ER. Service Contract 9th EDF – account no. 9.ACP.ERY.9. Monitoring Mission Report. Draft Final Report. Volume 1.

³⁵⁰ The Rapid Results Approach (RRA) is a results-focused learning process aimed at jump-starting major change efforts and enhancing implementation capacity.

³⁵¹ TA 4391-INO: Support for Decentralized Education Management (SDEM II) Major change in scope and implementation arrangements.

9 EQ9-modal: To what extent have the various aid modalities and funding channels and their combinations, in particular GBS/SBS/SSP/projects, been appropriate and contributed to improving access to, equity and policy-based resource allocation in education?

The EC uses various aid modalities, channels and instruments in order to achieve its objectives in the education sector. It is assumed that each of them should serve specific objectives and be selected and used on the basis of specific national context requirements.

As demonstrated in the inventory, sector budget support and general budget support with emphasis on education are now key aid implementation modalities and constitute the majority of support funding wise. Moreover, the analysis of the CSPs, especially those covering the period 2007-08 onwards, also confirms this trend. It is to be noted that 90% of the CSPs that have shifted to forms of budget support for the period 2008-13 justify this move as a way of further increasing the sense of local ownership and raising the level of transparency and predictability.

Clearly, a driver of this change in aid modalities has been the ongoing high-level discussions taking place on improving the impact of aid, the outcomes of which are captured in various policy documents, such as the Rome Declaration on Harmonisation (2003), the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008). There is also a forthcoming high level meeting to be held in Seoul (2011).

However, it cannot be assumed that the same modality is equally suited to all contexts, especially given the substantial diversity of countries receiving education support from the EC. Thus, providing budget support in, for example, *Somalia* or other extremely fragile states may prove counterproductive, while project-type and fragmented support in aid-dependent but well-governed states is likely to undermine domestic capacity.³⁵² Consequently, attempts have been made in the following analysis to distinguish between the various categories of countries, based on whether the country is low, medium or high on UNDP's HDI, whether it is from the ACP, DCI-ALA or European Neighbourhood countries-TACIS/MEDA region, and whether the country's state is classed as fragile.

This question seeks to address whether the choice of aid modalities has been based on a sound analytical basis, appropriate to the context, and has contributed to the education outcomes and objectives as stated both globally and locally. To this end, five judgment criteria have been established:

- JC91: Improved analytical thoroughness in the selection and implementation process of aid modalities and channels (e.g. discussion of alternatives)
- JC92: Contribution of EC GBS and SBS to policy-based resource allocations and pro-poor objectives in the education sector
- JC93: Increased efficiency of EC aid delivery
- JC94: EC's contribution to the FTI provides added value to EC support at country level
- JC95: EC support to development banks provides added value to EC support to education at country level

9.1 JC91: Improved analytical thoroughness in the selection and implementation process of aid modalities and channels (e.g. discussion of alternatives)

As stated above, a driver for the changing architecture of aid has been the various international high-level meetings on harmonisation and effectiveness, which generally have resulted in increasing use of budget support. This judgment criterion will seek to establish whether such top-down pressures have also been complemented by more contextually-based analysis of local circumstances and options, which should improve the potential for higher aid effectiveness.

A key methodological challenge is that preceding analytical work undertaken by, for example, EUDs is not systematically documented, if at all. The key sources are the CSPs and the CSEs, complemented by the EUD survey of the sample countries. However, the strategy papers are mainly concerned with

³⁵² See e.g. the now seminal study by Knack, Stephen and Rahman, Aminur (2004): 'Donor Fragmentation and Bureaucratic Quality in Aid Recipients', World Bank Policy Research Working Paper 3186, January 2004.

forward-looking aspects and provide guidance to future EC operations, but and are less detailed about which analyses preceded such strategic guidance. CSEs, on the other hand, are mainly focusing on the activities, outputs and outcomes/impacts (or arguing why impact cannot be evaluated) using the five Development Assistance Committee (DAC) criteria, which again provides limited information on the analytical efforts in the process of choosing and implementing the aid modalities.

9.1.1 I-911: Selection of aid modalities explicitly discussed and analysed in the formulation and negotiation of CSP/education sector support

All CSEs analysed indicate that the aid modalities are being explicitly analysed and discussed both internally in the EC and in the various forums where development partners meet locally, regionally and internationally. It is difficult to assess the real depth of the analysis that has been devoted at CSP level and in designing the specific education support interventions, primarily because a substantial part of the preceding analytical efforts (e.g. identification and formulation processes) is not fully recorded in the CSPs³⁵³. For example, most CSPs do not explicitly discuss the pros and cons of the various modalities. This was the case in a number of CSPs – for example, *Ghana*, *Uganda* (both at medium HDI level) and *Mozambique* (low HDI) – but, interestingly, the modality discussion is also largely absent in fragile states (e.g. *Pakistan* and *Somalia* and, increasingly, also *Eritrea*).

Some CSPs (period 2008-13) still argue that, despite the extended use of forms of budget support, this aid modality is not necessarily the right approach for all countries at all times.

- For the *Dominican Republic*, the EC considers the use of a project approach to support sector policies in education if the conditions for budget support change.
- For *Niger*, the CSP clearly reiterates that General Budget Support must be accompanied by project support to strengthen institutional capacity of public finance management.
- In *South Africa*, even if the traditional project approach will, according to the CSP, be progressively replaced by sector budget support, the modalities used to deliver aid for education would continue to include projects and programmes.

More information in this context is available in the CSEs, which point to substantial discussions as a consequence of the move towards either sector or general budget support (e.g. *India* through sector support, and *Ghana* and *Mozambique* through general budget support). In *India*, the EC started using sector budget support in the early 1990s, far ahead of the Rome and Paris Declarations on aid effectiveness. This support was clearly based on a thorough analysis of the limitations of previous project aid, but was also guided by a strong government insistence on this modality (CSE India). It would appear that the move towards budget support has allowed for more strategic discussions also on systemic issues hindering the achievement of education outcomes. This has included discussions with non-state actors on their role in relation to, for example, budget support, such as in *Mozambique* and *Tanzania*, as indicated by the CSE and the ECA report.

The evidence from the field phase shows that in most instances where sector and general budget support has been provided, there has indeed been a substantial analysis of eligibility and readiness of the country to manage sector and general budget support. Moreover, there has also been explicit recognition that proliferation of modalities, in particular the project-modality, may undermine aid effectiveness. This has been the case in both the *Dominican Republic* and *Bangladesh*, but in the latter country the fragility of the national accountability framework nevertheless prevented the EC from providing sector or general budget support.

In countries with less fragile accountability frameworks, the EC has been more willing to provide budget support and has generally conducted appropriate analysis of the feasibility. *South Africa* is a notable exception, where the idiosyncrasies of the EUD and Government of South Africa (GoSA) relationship undermined efforts to progress towards budget support.

It is, therefore, not surprising that the increased levels of fragility pose serious challenges in determining aid modalities. In some situations, the EC seems willing to act swiftly to be able to offer support in very fluid situations that often characterise fragile contexts. Thus, in *Liberia*, according to the ECA report, the decision to provide GBS with education-related indicators was fast-tracked due to the need to support a recently launched reform agenda. In this process, the normal procedures for analysing eligibility were by-passed, as was the Ministry of Education, which played no role in determining education-related indicators and triggers.

³⁵³ Clearly, the CSPs are not appropriate platforms for substantial in-depth discussions and analyses of the pros and cons of various education assistance modalities.

Another unorthodox example of the EC providing support with budget characteristics in fragile contexts is in the Sindh province of *Pakistan*. Here, according to the Country Note, the analysis was arguably considerably more in-depth and not driven by macro-political considerations, but was rather a pragmatic focus on providing education support in an aligned fashion with adequate fiduciary safeguards. In this case, the EC's SBS criteria were not fulfilled, but innovative collaboration with the provincial government and the World Bank enabled the EC to devise a support intervention that used mainstream procurement procedures and aligned quite closely in other respects.

A special case is *Somalia*, where the SISAS (Strategy for the Implementation of Special Aid to Somalia 2002-2007) – which replaces a standard CSP, as Somalia has not acceded to the Cotonou Partnership Agreement – indicates that the situation in the country is unlikely to allow for any form of direct budget support in the period of the CSP. It suggests establishing as the main implementing instrument, sector support for education through multi-donor mechanism, or, if this is not possible, through co-financing and project support. However, more recent documents indicate developments in the direction of assisting Somalia with a kind of SWAp. The EU-Norway Somalia JSP for 2008-13 and groundwork for a SWAp between 2006 and 2008 were preparing the way for discussions on a SWAp with an initial € 30 million commitment by the EC after 2008. It is clear that, for Somalia, the EC has been very aware of the disadvantages of delivering project-based aid, but has so far not been able to implement other mechanisms, although moving forward with a more SWAP-based modality is being considered.³⁵⁴

While this is obviously important in itself, there is only limited evidence of explicit discussion of **alternatives to budget support** or the potential pros and cons of having various aid modalities run simultaneously. For example, having GBS, SBS and projects is likely to fragment aid and increase transaction cost, but may allow for a more diverse set of entry points to dialogue and information. The argument is forcefully made by the ODI evaluation of budget support to *Ghana*, which further argues that education sector budget support must be a symptom of either 1) donors having a set of preferences different to that of government and trying to impose them on resource allocation processes by providing sector-specific resources, or 2) donors not trusting national budget systems. If it is the former, then the ODI evaluation argues that more dialogue is needed on budgetary allocation patterns. If it is the latter, then efforts need to be made to strengthen the budgeting process. In both cases, providing sector-specific aid for education simply by-passes the problem.³⁵⁵ None of the CSEs reviewed contained an analysis of this issue.

A particular point about aid modalities is that sector budget support is almost universally praised for its ability to offer an entry point into a substantive policy dialogue on issues directly related to the education sector. This has also been confirmed by the EUD survey. In contrast, while GBS often had education-related indicators, the quality and relevance of these indicators were often compromised (e.g. in *Uganda* - see the ECA report) and there was little substantive policy dialogue on issues related to the education sector. The EUD survey clearly points to the fact that the policy dialogue related to GBS usually focuses on very broad policy issues, while sector specifics are not necessarily of high importance. This absence was considered unfortunate by the ECA reports (e.g. *Niger* and *Uganda*). However, it is noteworthy that this view is primarily one put forward by the EUDs, whereas partner governments' views are largely absent from the analysis. In some cases, this relates to challenges in getting access to partner governments (e.g. in *Tunisia* during the field visit), but the case of *South Africa* suggests that what the EC may consider a substantive sector policy dialogue was seen by the recipient as an additional transaction cost that undermined national accountability and financial allocation principles as it by-passed the budget process, and hence was not subject to the same level of parliamentary scrutiny. The South African government clearly takes the view, similar to the ODI evaluation of budget support to *Ghana*, that providing sector budget support to education is a vote of "no confidence" in its accountability systems.

In sum, it appears that the EC's education support in **countries with more robust governance system** has been based on analysis and discussion of the benefits of budget support, but less on the implications of continuing with a diversified portfolio. For **fragile states**, the evaluation team found some evidence that only limited analytical effort has been invested in the aid modality selection process, with the project support here being the default modality – although there are also exceptions, such as *Pakistan*, where there has been explicit analysis. In general, the trend seems to be that more analytical efforts are progressively being invested in determining the pros and cons of various modalities.

³⁵⁴ Based on focus group interviews. Clearly, the EC is not the only donor not being able to devise more aligned support modalities. All donors are struggling in this respect.

³⁵⁵ ODI (2007): Joint Evaluation of Multi-Donor Budget Support to Ghana, London 2007.

9.1.2 I-912: Selection of channels explicitly discussed and analysed in the formulation and negotiation of CSP and reflected on by government/EUD

As demonstrated in the inventory, the EC uses a wide range of channels for delivering its education support, including beneficiary countries' national governments, private companies, development banks, UN bodies, NGOs, research and educational institutions, and trust funds. Globally, government benefited from just over half of the EC's education assistance, whereas development banks and NGOs had a share of 17% and 12%, respectively. The aid through development banks includes support to the FTI, which is managed by the World Bank. FTI accounts for a substantial share, the remainder being dominated by, in particular, the ADB's support to *Bangladesh* and *Pakistan*.

There are substantial variations at country level, with some countries receiving limited aid through government structures (e.g. the highly fragile state of *Somalia*, where the government's effectiveness and legitimacy is seriously compromised) to countries where most of the education assistance is channelled through government (e.g. *India*, where more than 95% is through governments). In both cases, there seems to have been analysis and discussions of the modalities used, at least internally within the EC. However, within the CSEs analysed there is comparatively limited information on the degree of analysis of the comparative advantages of various alternatives to the channels used, which is an issue warranting further analysis due to the often limited impact of the existing channels. Thus, the extensive use of government channels, without accompanying focus on the severe governance problems, has been criticised in the *India* CSE.

In contrast, the EC has used projects implemented by **NGOs** extensively to provide education services in *Bangladesh*, initially based on an analysis of the (limited) government capacity to promote girls in particular in both primary and secondary education, combined with the existence of comparatively capable NGOs with a robust track record in delivering social services. However, issues of ownership and ensuring easy transition and compatibility from a NGO-driven education system to a government mainstream system made the EC reconsider its aid channels in favour of intensifying its dialogue and partnership with the government (see *Bangladesh* Country Note). This may point to the need to include government in some way or another, regardless of the aid channel chosen, due to the need to ensure accreditation and easy transition.

Similarly, the discussion of the role of civil society in the context of increasing budget support has also touched upon issues of aid channels (see e.g. CSE and CSPs for *Tanzania* and *Mozambique*).

Another context in which the government may not be the preferred channel is in **emergency or fragile situations**. The *Pakistan* Country Note offers an insight into both situations. With regard to emergencies, the EC has channelled support through UNICEF and ADB in response to the earthquake emergency situation and the need to coordinate the multi-sector, multi-agency assistance in an effective way. This points to the need to maintain flexibility in choice of channels, selecting those that are able to deliver in a harmonised and speedy fashion, as often is required in emergency situations. In a fragile context, such as the North Western Frontier Province, which is characterised by low levels of security and government legitimacy and extreme religious conservatism, the EC managed to use a locally-respected NGO to improve access, quality and sustainability of education for in-school and out-of-school children, with increased gender equity. This could not, at that point in time, have been achieved using government channels.

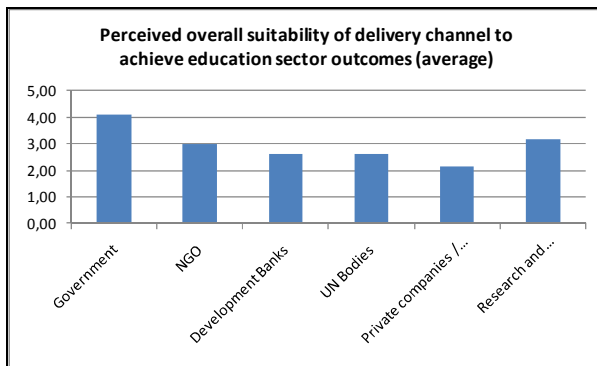
The **FTI** as a channel has equally been criticised for not providing sufficient value added and not leveraging complementary funding.³⁵⁶ There have also been criticisms that the requirements to meet endorsement impose additional transaction cost on recipient government (see e.g. CSE for *Burkina Faso*). However, *Niger*, as specified in the Country Note, is an example where the unintended negative consequences of project aid catalysed a change of both modalities and channels, with projects being phased out and sector budget support through FTI phased in. Here, there are quite elaborate analyses of the background to and ambition of these changes. The shift to sector budget support has not been without challenges, as it became evident that corruption and mismanagement impacted negatively on the performance. There are some similarities in neighbouring *Burkina Faso*, where FTI has also assisted in making a shift towards sector budget support. However, sector support was later abandoned in favour of GBS, with the ECA report (2010) arguing that this decision was not backed up by robust analysis.

In this context, it should be noted that the EUD survey revealed that most respondents believe that the government is the most suitable channel to achieve education sector outcomes, which also fits with the view revealed in the questionnaire, that SBS, GBS and other sector support are the most suitable

³⁵⁶ See EFA: Mid-Term Evaluation of the EFA Fast Track Initiative.

modalities (see and Annex 3 – EUD survey). Only in the case of providing special assistance to disadvantaged groups did the government not emerge as the preferred channel, with NGOs taking top spot.

Figure 33: Results of survey to EUDs: Perceived suitability of delivery channels to achieve education sector outcomes



Channel	5	4	3	2	1	W
Government	6	8	2	1	0	4.12
NGO	0	5	8	3	1	3.00
Development Banks	0	3	3	1	3	2.60
UN Bodies	0	1	5	3	1	2.60
Private companies / dev. agencies acting as such	0	0	1	5	0	2.17
Research and education institutions	1	4	2	4	0	3.18

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low; W = Weighted average

In sum, aid channels appear to have been chosen after specific analysis, and also there has been some flexibility to change them if field lessons dictate so (as in *Bangladesh*). A core unifying element is that some kind of government engagement – either directly as an education provider or indirectly as an accreditor of, for example, NGO education service providers – is needed in the medium to longer term.

9.1.3 I-913: Percentage of EC education aid that uses partner country procurement systems

According to the inventory, direct support to the education sector that is channelled through the partner country government amounts to 52% (approximately € 1 billion) of all direct support in the period 2000-07. In addition to this, the education sector was supported indirectly through parts of the €3.2 billion spent via GBS with reference to the education sector in GBS Financing Agreements. Due to the inherent untied characteristics of GBS funding, it is impossible to quantify the exact share of this amount being allocated to education, but most GBS operations contain references to education as trigger mechanisms for part of the funding. However, the step from disbursement of variable tranches to monitoring the impact of these tranches on education budgets is highly complex. Thus, this kind of GBS may be considered as indirect support to education. This is further explained in section 9.2.1,

Especially in *Asia*, sector policy support programmes with many similarities to SBS have been the preferred modality, mainly as a result of support to *India*, which is by far the single biggest beneficiary of EC education assistance³⁵⁷. This may reflect the fact that budget support operations are generally more advanced in *ACP countries* and, hence, general budget support in ACP may have absorbed a substantial part of education funding that would otherwise have been disbursed as SBS. Country-level analysis further finds that the level of fragility and the share of project aid seem to be correlated.

The following table depicts the figures that could be collected by the EUD survey in relation to the use of partner country procurement systems.³⁵⁸

³⁵⁷ The CSE desk review showed that, at the overall level, in *Vietnam* all sectors have made good progress on the use of GoV procurement systems; the share of ODA using government systems increased from 33% in 2005 to 59% in 2007 (in excess of the 2010 target); the EC's share increased from 44% to 58%. The proportion of donors channeling at least half of their ODA through Government systems increased from 25% to 33%, but is targeted to increase to 50% by 2010.

³⁵⁸ Unfortunately, only 14 out of 21 Delegations that responded to the survey answered this question.

Table 42: Results of survey to EUDs: Percentage of EC education aid that uses partner country procurement systems

Country	BOTSWANA	BURKINA FASO	DOMINICAN REPUBLIC	ERITREA	SOUTH AFRICA	TANZANIA	INDIA	INDONESIA	PAKISTAN	VIETNAM	TUNISIA	OCCUPIED PALESTINIAN TERRITORY	ARGENTINA	NICARAGUA
Year														
2002-03	0		0	0	0	100	90	0	0	0	30		0	100
2007-08	98	75	90	0		100	90	0	48	0	35	0	0	100

As might have been expected, the use of country procurement systems was extremely limited in the early years under evaluation. Among those EUDs responding to the survey, only four were partially using country procurement systems in the education sector in 2002/03: *Tanzania* and *Nicaragua* already relied on such systems for 100% of their procurement, *India* for 90% and *Tunisia* for 30%, all of them having sector programmes in various forms being implemented.

In 2007-08, the picture had changed considerably, with other countries where the EC provided support through sector approaches joining those that had done so already in 2002-03: *Botswana* (98%), *Dominican Republic* (90%), *Pakistan* (48%).

Despite the rather low level of answers, these results, overall, confirm the evaluation team's analysis of CRIS data. Within a short time span (four or five years), EC support to education has improved its alignment in accord with the Paris Declaration and has achieved a marked improvement in relation to procurement systems.

Further comments from the EUDs in the survey indicated noted exceptions to the general indications of percentages: certain kinds of funds have to employ EC procurement systems. *Argentina* indicated that, although EC education aid is implemented under the procurement models of the EC, EC funds are channelled through the National Budget and managed according to national financial management system. In *Pakistan*, the remaining 52% is provided using the project modality (including TVET).

While the field visits did not provide more information at aggregate level on the use of national procurement systems globally, some qualitative trends emerged. In countries where there is no or only partial reliance on national procurement systems (e.g. in *Pakistan* and *Bangladesh*) important work was under way to strengthen these systems, often with the ambition of them eventually becoming the vehicle for procurement, reducing the reliance on EC or other donor-determined procurement rules.

In this context, it should also be highlighted that support to procurement is a common feature in countries where the EC is using national systems, often under a broader PFM agenda (e.g. *Tanzania*, *Dominican Republic* and *Niger*) as they are often still not considered optimal. It is clear that working through existing national system offers a legitimate and straightforward entry point for discussing and assisting in this key PFM issue. However, it is not always evident that discussions and assistance are sufficient for improvements. For example, if political commitment to reforms is only partial, progress may be undermined (as has been the case in *Niger*).

9.2 JC92: Contribution of EC GBS and SBS to policy-based resource allocations and pro-poor objectives in the education sector

This judgment criterion seeks to analyse the degree to which EC budget support has facilitated a more pro-poor policy adjustment of the resources invested in education. By policy-based, the evaluation refers to a situation where resource allocation is made in a transparent and open discussion on policy priorities, rather than being driven by technocratic or elitist concerns. By pro-poor, it is meant that special attention is paid to ensure that the poor segments of society gain better access to quality education than they would have otherwise. Too often it is inferred that increased budget allocations to the education sector in itself is an indicator of pro-poor resource allocation (several CSEs make this assertion), but, generally, there is often limited correlation and even weaker causation between the size of the budget envelope and the degree of pro-poor impact.³⁵⁹ Thus, the CSE for *Burkina Faso* also concludes that the education-linked budget support has had a disappointingly low impact on poverty.

Neighbouring *Ghana* tells a different story, with the EC's support certainly having contributed to the adoption of important policy reforms in the area of public finance management – for example, those

³⁵⁹ See e.g. Pritchett, Lant (1996): Where Has All the Education Gone? World Bank Policy Paper WPS1581.

incorporated in the PAF (termed "matrix" in Ghana) adopted in 2000. Elements included in the matrix have shown steady progress in their implementation, helped in particular by the passing of several Bills (procurement, financial administration, internal audit). According to the CSE of 2005, budget support programmes, together with participation in SWAPs, have also contributed to promoting a concern for performance in some of the sectors in which they have been implemented, and have fostered revitalisation of the reform agenda. The TA included in these programmes has contributed to improving the M&E capacities of the agencies they were targeting. This has included more robust and higher integrity of data, better processing of data into information and applied knowledge, all of which has helped in establishing a better policy decision-making platform, not least for the Ministry of Education Youth and Sports.

9.2.1 I-921: The release of both fixed and flexible tranches of General Budget Support has been linked to education development targets

In the period 2000-07, a total of 98 GBS operations³⁶⁰ were financed by the EC (in total, € 4 billion), and of these, 73 operations had a reference to the education sector – amounting to € 3.2 billion, of which a share (the size of which is difficult to determine) is transferred to the education budget, as explained below. Among the sample countries, *Burkina Faso*, *Dominican Republic*, *Ghana*, *Jamaica*, *Mozambique*, *Niger*, *Tanzania* and *Uganda* have received GBS with reference to the education sector:

- *Burkina Faso* – GBS from 2000, 2001, 2002 (ongoing) and 2005 (ongoing); all refer to education sector;
- *Dominican Republic* – GBS from 2006 (ongoing) refers to education sector;
- *Ghana* – GBS from 2001, 2002, 2004 and 2007 (ongoing); all refer to education sector;
- *Jamaica* – GBS from 2000, 2001, 2004 and 2004 (ongoing); all refer to education sector;
- *Mozambique* – GBS from 2000, 2001, 2002 and 2006 (ongoing); all refer to education sector;
- *Niger* – GBS from 2000, 2003 and 2005 (ongoing) do refer to education sector. 2002 and 2002 do not;
- *Tanzania* – GBS from 2001, 2003 and 2006 (ongoing); all refer to education sector;
- *Uganda* – GBS from 2002 (ongoing) and 2005 (ongoing) both referring to education sector

The GBS operations consist of fixed and variable tranches, where the latter is often partly dependent on performance in the education sector. The variable tranches of GBS operations vary in size, starting from approximately 20% of the total operation (e.g. as in the Ghana FA). Typically, 30%-50% of a GBS operation is performance-based tranches.³⁶¹

These are mostly divided into performance indicators in the area of public financial management on the one hand, and basic social services on the other, where the social sectors are usually the health and education sectors. Examples of such a distribution include *Mozambique* and *Tanzania*, where the Public Finance Management indicators release 50% of the variable tranches and the social sectors 50%, with the latter 50% being distributed equally on health and education sector indicators. Hence, in these cases, 25% of the variable tranches are dependent on performance in the education sector.

For all sample countries that have received GBS with reference to the education sector, the percentage of variable tranches dependent on education sector performance range from 20% (as in *Ghana* and the *Dominican Republic*) to almost 36% in *Uganda* and 40% in *Niger*.

In other cases, the percentage may be slightly lower, as in *Malawi*, where 16% of variable tranches were related to education performance³⁶². However, a general tendency seems to be that the education sector accounts for 25%-30% of the variable tranches³⁶³.

Generally, a substantial part of the general budget support is envisaged as being to promote more pro-poor educational outcomes. This is most explicit in the release triggers for the **flexible tranches**

³⁶⁰ Of the sample countries, *Botswana*, *Eritrea*, *Somalia*, *South Africa*, *Bangladesh*, *India*, *Indonesia*, *Pakistan*, *Vietnam*, the *Occupied Palestinian Territory* and *Tajikistan* did not receive GBS financed by the EC between 2000 and 2007. *Nicaragua* is the only sample country that has received GBS but without reference to the education sector.

³⁶¹ Following examples can be given: 33% in *Uganda*, 37% in Mali, 42% in Kenya, 45% in *Mozambique*, 50% in Zambia and 50% in Benin

³⁶² Numbers derived from GBS Financing Agreements.

³⁶³ Also GBS programmes in countries such as Kenya, Mali and Benin show similar percentages, at 25%, 27% and 30% respectively.

where the most typical performance indicator in the education sector is net primary school enrolment rate, usually gender-disaggregated. Also, PCR is a typical indicator. Other, less frequent, indicators are primary school drop-out rates, and transition rates from primary to secondary school. Indicators that relate to the quality of education are less frequent, but textbook/student ratios and student/teacher ratios are sometimes used – for example, in *Burkina Faso* and *Mali* GBS operations – while "annual testing of children" is mentioned in, for example, *Ghana*. In some cases, reference is made to especially deprived districts (e.g. in *Kenya* and *Ghana*).

These triggers should, all things being equal, ensure more pro-poor outcomes, with the important exception that quality of education at times seems relegated to a less prominent position in the hierarchy of indicators (e.g. *Kenya*, *Tanzania*, *Ghana*). One of the most thorough evaluations of budget support (made by ODI on *Ghana*) argues that the importance of education accorded in the performance assessment framework has facilitated increased expenditures, improved enrolment and more equity in the sector, but at times at the cost of quality. In *Uganda*, the flexible tranche release of GBS has also been linked to education indicators, including enrolment ratios, completion rates and literacy levels. Here, the key issues have centred on both the reliability of the data and the under-ambitiousness of targets. The latter point was also evident in *Ghana* (see below). However, the inclusion of education indicators has probably had the beneficial effect of highlighting these information gaps, and has been a necessary first step towards tackling them.

Thus, with **variable tranche release** linked to education sector indicators, GBS seems to be able to stimulate a sector dialogue on fundamental aspects of the information basis upon which education strategies, priorities and targets are determined. Therefore, some of the same benefits highlighted for sector budget support also can materialise under GBS. There are also important differences in the depth of the education dialogue, with GBS tending to structure it around data (or lack of data) and bargaining about the aspirations. Sector budget support may allow for more in-depth dialogue on curriculum, school management and vulnerable groups' access. Detailed interaction and micro-management on sector level indicators between benefiting governments and their external development partners may often not be desired within the GBS framework. The rationale is that donors should concentrate on aggregate educational outcomes and leave more political space for domestic stakeholders to detail sector specific education policy choices – a point also forcefully argued by the evaluation of multi-donor budget support to *Ghana*. From this perspective, the relatively few education triggers in GBS may catalyse benefits in terms of creating a focused incentive framework that is less transaction cost intensive.

As for the **fixed tranches**, these often tend to be associated with the outcome of IMF reviews of their Poverty and Growth Facility, or similar instruments. These, in turn, are typically based on PRSPs that contain reference to education and education's role in poverty reduction. However, the IMF's attention is often skewed towards macro-economic issues and fiscal governance, perhaps a reflection of the Fund's comparative advantage within these sectors. Consequently, this reduces the degree to which the fixed releases are closely correlated to improved pro-poor educational policies (for example, *Dominican Republic*³⁶⁴, *Mozambique*, *Niger*, *Uganda*, *Ghana* and *Kenya*). In this way, the fixed releases can be viewed as an ambition to ensure a conducive and fiscally sustainable macro-economic framework that allows for better educational pro-poor planning. Moreover, there are several instances where CSEs have seriously questioned the validity of the data and monitoring efforts of the governments, further compromising the relevance of the targets established (e.g. CSE *Nicaragua* and *India*).

The ODI budget support evaluation for *Ghana* also contains interesting observations on the incentives and areas of focus created by the process of establishing performance measurement. The government clearly has an incentive to have education targets as unambitious as possible (to ensure higher and more predictable aid inflow), whereas donors have pressed for very ambitious targets. Thus, much of what should have been a policy dialogue has deteriorated into an arbitration process on the ambitiousness of the indicators, squeezing out more important policy and technical discussions. Examples of such developments have been found in *Uganda*, where donors have argued similarly that targets are unambitious. This is obviously also of relevance to education sector budget support from the EC, which is often also tied to triggers, and the recent ECA report on *Uganda* further notes that the triggers for tranche release are not capturing core poverty-related issues – for example, whether poorer children are benefiting from better access or quality.

However, there are also examples of the indicators being more process-oriented, as demonstrated in *Botswana*, where the implementation of an education public expenditure review constituted one indicator that had only indirect relation to education outcomes. Moreover, the risk of indicator proliferation

³⁶⁴ The *Dominican Republic* seems to be a case where only one GBS indicator was related to education (government's budget allocation to education).

has also been flagged in. for example, the *Nicaragua* CSE, which argues that an excessive number of indicators risk complicating monitoring, especially if different donors use different indicators, as has been the case in Nicaragua. Nevertheless, most CSEs agree on the increased predictability and country ownership that the move towards budget support has created, and having education indicators as part of the variable tranche seems to afford a good compromise between the need to increase financial aid and the principle of progress-related support (see e.g. *Tanzania* CSE). There are also examples where the EC has judged that macro-economic policies and governance quality deteriorated to the point at which general budget support linked to progress in education outcomes was no longer feasible (e.g. *Jamaica*).

A typical GBS intervention often focuses on public financial management, health and education, and the triggers thus tend to be related to these areas.³⁶⁵ Also, the above analysis tends to corroborate the hypothesis that it is generally non-fragile ACP countries that benefit from education-related GBS.

An interesting, but somewhat disturbing, point related to the variable tranche indicators is their close association with the MDGs. In *Niger*, the indicators are simply extrapolations of the numbers needed to achieve the MDGs by 2015, without any analysis of the realism. As has been pointed out in the academic literature, the achievement of the education MDGs requires Niger to increase gross enrolment rates from around 40% to 100% in the span of 15 years – something that is historically unprecedented (it took the USA 150 years to achieve this) and completely detached from the country context and capacities.³⁶⁶ Thus, Niger seemed bound to miss the indicator (and, ultimately, also the educational MDGs) due to unrealistic global goal-setting and mechanistic extrapolation based on the goals. Thus, the Country Note for Niger concludes: “As a consequence, one has unrealistic indicators, which lead to lower disbursements, and create additional obstacles for achieving the indicators by increasing the resource constraint.” A final point from the Niger field analysis is that the government has failed to produce all the documentation aimed at corroborating the achievement of the indicators, arguing that such documentation raises the transaction cost significantly and runs counter to the objective of enhancing aid effectiveness. The following box highlights further details.

Box 52: *Niger: How not to define GBS triggers*

In Niger, GBS is by far the most important modality of EC support to education. It is aligned to the implementation of the PDDE, thanks to a set of indicators that are closely connected with the PDDE and, more generally, with the poverty reduction strategy of the government. However, during recent years, the pace of disbursements has been negatively affected by two obstacles: the difficulties, for the government, in providing the documentation on which both parties have agreed for allowing the disbursements; and because the indicators have not been met satisfactorily (I-932 and I-933).

GBS is provided through three-year programmes, called PPARPs. They started in 2003, with PPARP 1 for the period 2003-05, PPARP 2 for the period 2006-08 (which included the special education support linked to the FTI endorsement), and the ongoing PPARP 3 for the period 2009-11. All three PPARPs have committed € 90 million, at € 30million per year, with a fixed tranche at the beginning and a variable tranche during the two subsequent years.

The Country Note elaborates in detail on the disbursement status of EC commitments for PPARP 2 and 3. For PPARP 2, € 55.31 million has been disbursed out of the € 90 million committed. In addition, € 16.13 million could still be disbursed if some conditions are met by Niger, with € 10 million of this sum linked to the education fixed tranche. The disbursement is dependent on a rider to the “Convention de financement”, which is not yet finalised, and € 6.13 million is linked to a temporary suspension by the EC.

Of the variable tranche, € 19 million was lost due to the fact that some indicators have not been achieved. The variable tranche for education was expected to reach a maximum of €18 million, and has finally been reduced to € 7.13 million.

PPARP 3 should have started in 2009, but no disbursement has taken place, due to the absence of certain required documents, but also to the fact that Niger deemed to be in breach of Article 96 (related to human rights) of the Cotonou Agreement, which means that the disbursements have been suspended.

If disbursements were delivered in accordance with the expected schedule, Niger should have received € 135 million of GBS for the last 4.5 years, but has effectively received only € 55.31 million (41%). With regard to education only, it should have received € 33 million (€ 15 million for the fixed tranche and € 18 million for the variable tranche), but has received only € 11.38 millions (34% of commitments).

The level of disbursement can be considered as disappointingly low. There are three causes for this low level of execution: suspension linked to the political situation, incomplete documentation, and no respect of certain indicators.

On the issue of incomplete documentation, the Niger view is that there are too many documents to produce, given their administrative capacity to provide the required information. GBS is presented as a tool for reducing transac-

³⁶⁵ The focus is partly also aimed at assisting the countries achieving the MDG, several of which are related to improved social services.

³⁶⁶ Clemens, M.: ‘The Long Walk to School: International Education Goals in Historical Perspective’ CDG 2004 & Easterly, B.: ‘How the MDGs are unfair to Africa’ in *World Development* Vol 37, no. 1, 2009.

tion costs of previous donors' interventions through projects, but the costs of producing the required information seems also excessive.

Finally, with regard to indicators, it must be remembered that they are based on the PDDE, which is itself a constrained exercise, in which MDGs are supposed to be achieved, whatever the conditions. In order to estimate the GER in 2012, for instance, people in charge of producing forecasts do not base their numbers on an in-depth analysis of the capacity of Niger to achieve this GER, but by extrapolating the required value in 2012 if one wants to be at a GER of 100% in 2015. Yet the arbitrary setting of 2015 as the date for all countries to meet the MDGs assumes that a country that has to go from 30% to 100% could do it as easily as a country having to go from 80% to 100%. This is not realistic. History of education systems worldwide has shown that the rhythm of progression decreases over time, because excluded children tend progressively to be more difficult to reach for geographical reasons (more remote and more dispersed population), and because of socio-economic-cultural reasons (poorer segments of the population, more traditional family environment, more reluctant attitudes vis-à-vis school, etc.). In the case of gender parity, the tendency is to overestimate the capacity of public authorities to influence the behaviour of traditional households. Information or sensitisation campaigns cannot reach everyone when there is no channel of information at all in certain contexts.

The less developed a country, the less likely it is to achieve ambitious objectives, precisely because it does not have the adequate preconditions. As a consequence, unrealistic indicators lead to lower disbursements, and create additional obstacles to achieving the indicators by increasing the resource constraint.

Source: Niger Country Note

In sum, both fixed and flexible tranches of EC GBS support have usually been linked to educational development targets. How well these have been met will be discussed below. From the findings, there seems to be a strong, but as yet unquantifiable, spill-over into education budgets in the GBS operations of the EC. However, funds triggered by achievement of education indicators are not necessarily allocated to this sector. Determining the exact flows from GBS to the education sector would require a careful budget and MTEF review over time, as well as the evolution of key education budget lines.

9.2.2 I-922: The release of fixed and variable tranches of SBS has been linked to education development targets and policy triggers

SBS has been provided in a number of countries and was, in some instances, a precursor to GBS. The distinction between fixed and variable tranches is, in principle, found in all SBS operations, although there are some examples of the EC funding the education sector through the budget without this distinction.

One such example is the first country to receive a type of sector budget support, *India*. SBS started with the District and Primary Education Programme in 1993, and continued in 2001 with SBS to the Sarva Shiksha Abhiya. Here, it is difficult to distinguish between SPSP and SBS as they are partly overlapping. In Sarva Shiksha Abhiya, the EC contribution and other external funds are pooled with Government of India funds, using government procedures. In both programmes, the disbursement modalities were harmonised among the core donors and followed those of the World Bank, but actual release was directly to government's budget. Hence, it can be classed as an early type of SBS with some deviances, as there were no variable tranche releases. The development partners – led by the World Bank, and perhaps reflecting its strong disbursement focus – had very few hard outcome indicators, focusing instead on merely reimbursing eligible expenditures and leaving it to joint review missions to decide on disbursements (which they invariably did). Unsurprisingly, this set of modalities allowed for high disbursement rates, but unfortunately without corresponding improvement in educational outcomes (see CSE India).

In contrast to the above example, *Nicaragua's* SBS (called Programa de Apoyo Presupuestario Sectorial para la Educación) had both variable and fixed tranches, thus mimicking a GBS support operation, and also linked the fixed tranche to financial predictability and accountability improvements, whereas variable tranche releases were more linked to direct educational outcomes in terms of enrolment and drop-out rates. Here, the key challenges included sub-standard educational statistics, a plethora of indicators, and reduced performance incentives (for example, the Ministry of Finance was the main victim of cuts in tranche releases, not the education ministry). The ultimate blow to the supposed performance incentives came when the EC, at the programme's end, decided to disburse all the remaining funds that had not been released due to lack of compliance with the indicators (See CSE Nicaragua).

Finally, SBS has been given in *Vietnam* to support the national EFA drive, but because of significant problems in accessing basic educational information (due to the opaqueness of public finances in Vietnam), it proved difficult to assess compliance with objectives. This may illustrate a broader point – that SBS (and GBS) is conditional on recipients allowing some degree of transparency in the inner workings of government. TA aimed at correcting such issues proved unsuccessful in Vietnam, again illustrating the need to have government commitment and a modicum of transparency.

The field studies also display a mixed picture regarding the tranches in SBS. The Sindh SBS in *Pakistan* has only fixed tranches, but nevertheless shows ability to catalyse a comprehensive policy dialogue around improving pro-poor educational targeting. In other cases, such as *Dominican Republic* and *Tunisia*, a mix of variable and fixed tranches was used. However, in the *Dominican Republic*, as indicated by the Country Note, the release of variable tranches of PAPSE I were linked mainly to activity-based or input-based indicators, based on education development. As a result of the lessons learnt from this experience and of an improved capacity of SEE-MINERD, better indicators – graduated over the period – have been formulated.

In the case of the *Tunisian* SBS related to basic education, both the variable and fixed tranches were disbursed fully, and it is noteworthy that quality indicators dominated, given the already high level of enrolment. The second SBS on secondary education also had a variable tranche, the disbursement of which was subject to the achievement of 10 indicators, all of them linked to the objective of improving the quality of secondary education, and in particular to students being either better prepared for entering higher education or better prepared for entering the labour market. One of the 10 indicators was aimed at diversifying secondary strands, the number of which was expected to increase from four to nine. The EC considered that the increase in the number of stands was not achieved. Therefore, the related tranche was withheld and then cancelled.

This is in contrast to most other countries, where there is a mix of access and quality indicators, reflecting the still unfinished agenda in ensuring universal enrolment. However, there also is a discernable trend of access indicators improving while quality indicators are either stagnant or deteriorating, suggesting that there can often be a trade-off between the two (as evidenced in, for example, *Dominican Republic*).

In sum, SBS and SBS-like support operations and their disbursement modalities vary and can display characteristics of both a more traditional project approach (i.e. disbursement against expenditure) and GBS (i.e. disbursement against performance). Unsurprisingly, many of the challenges of project and GBS support also manifest themselves in SBS, including the problems of disbursement pressures and how to identify robust and performance-inducing indicators. On the other hand, SBS also seems to offer significant opportunities for deepening the sector-specific engagement and dialogue on broader educational aspects (as seen, for example, in *India*), to an extent that is difficult to achieve with any other modality. There also seem to be dangers in aligning the indicators too closely with the MDGs, as the latter are based on unrealistic assumptions, which in turn invariably lead to non-achievement. Finally, there is a pattern of better goal achievement in terms of access, whereas quality indicators may be adversely impacted by the expansion of access.

9.2.3 I-923: Policy dialogue is incorporating financing, accountability and capacity development measures in the education sector

There is only patchy and anecdotal evidence in the CSEs on the degree to which the policy dialogue centres on issues of financing, accountability and capacity development measures in the education sector. All available information from the CSEs (e.g. *Nicaragua*, *India*, *Ghana* and *Tanzania*) indicates that SBS is probably the most conducive aid modality for creating entry points to initiating such discussions. This also seems logical: if the EC channels funds through the mainstream channels (e.g. the education sector's budget), it is also perceived as more legitimate to raise issues pertaining to the way EC funds are handled and to issues of improved accountability. This is perhaps most vividly demonstrated in *India*, where the transition from project to sector budget support catalysed a qualitative change in focus, away from project procedural issues towards policy, accountability and capacity development issues (CSE India 2007). GBS, on the other hand, may not allow for such detailed policy dialogue as the macro-economic issue often takes centre stage (see CSE *Ghana*).³⁶⁷

Similarly, the *Botswana* experience is also instructive in how sector budget support allowed for more strategic policy dialogues on financing and accountability measures. Indeed, one indicator (that an education public expenditure review be undertaken) was made precisely because it would inform and qualify the policy dialogue on these aspects (see Botswana CSE).

The survey for EUDs partly completes the patchy picture indicated above, as it tried to capture the EUDs' perception of the importance of financing, accountability and capacity building measures related to education in policy dialogue related to the GBS (see the following table). Given the rather low number of answers to the survey, any generalisations should be treated with caution. However, EUDs

³⁶⁷ Especially public financial management issues are often at the core of the dialogue, see e.g. ODI: 'Joint Evaluation of Multi-Donor Budget Support to Ghana' 2007

attribute, in the majority of cases, considerable importance to educational financing and capacity building measures in policy dialogue around GBS. Accountability issues seem slightly less important.

Table 43: Results of survey to EUDs: Policy dialogue in the framework of GBS: Perceived importance of financing, accountability and capacity building measures related to the education sector

	Not relevant		No importance		Limited importance		Considerable importance		Very high importance		Total	
	N°	%	N°	%	N°	%	N°	%	N°	%	N°	%
Financing issues	0	0%	1	11.1%	2	22.2%	4	44.4%	2	22.2%	9	100%
Accountability	0	0%	1	11.1%	3	33.3%	4	44.4%	1	11.1%	9	100%
Capacity building measures	0	0%	1	11.1%	2	22.2%	5	55.6%	1	11.1%	9	100%

However, the answers also seem to suggest that educational issues have some influence in the GBS policy dialogue, with sector policy dialogue feeding into this. In other words, it appears that the policy dialogue related to GBS seems to focus on very broad policy issues, where sector specifics are not necessarily of high importance. Moreover, when the education sector benefits from direct support (pool funding, etc.), usually no additional technical assistance or capacity building component is provided in the framework of the GBS (*Mozambique, Ghana, Uganda*). In the few cases concerned by the issue of co-ordination of TA and capacity building, the co-ordination is most of the time effective and usually takes place during GBS meetings and reviews. Moreover, several EC informants pointed out that TA could play a very useful complementary role for both SBS and GBS by providing capacity development (not least within indicator development as seen in, for example, the *Dominican Republic*) in more subject matter issues, such as teacher training and curriculum development.

In the case of *Mozambique*, partners of the GBS support have, according to the CSE report, aligned themselves to the government's own planning processes and have worked through the government's own systems of cash management, procurement and audit, thus contributing in an important way to strengthening governmental systems and leadership. Moreover, the GBS has had a positive effect on increasing the proportion of public expenditure subject to the national budget. It has promoted the creation of a common donor framework that has allowed it to broaden its policy and poverty focus and to increase the government's participation. GBS has, furthermore, contributed positively to macro-economic management by supporting IMF conditionalities, and has increased the volume of resources available (and made them more predictable) in the national budget. All this contributes to more transparency of public expenditure. The GBS has permitted an increase of resources available in the national budget and improved accountability and stability in public expenditure on pro-poor expenditure (PPE).

The field visits also suggest that educational policy dialogue is most intensive and in-depth under SBS, but that the indicators should reflect the desired focus of the dialogue – as, for instance, in the *Dominican Republic* and *Uganda*, where poverty targeting was not included in the dialogue, resulting in limited focus in the policy dialogue, according to the ECA report. In countries with no SBS, such as *South Africa* and *Bangladesh*, the issues dominating the agenda seem often to be more procedural (*South Africa*) or somewhat confrontational (*Bangladesh*), or both. Once a country enters into an SBS or GBS, the agenda shifts and the key challenge becomes defining appropriate indicators that stimulate policy dialogue on relevant and actionable issues.

In sum, sector budget support seems an especially promising entry point to initiate dialogue on sensitive but important issues of fiscal discipline, accountability and capacity development in the education sector. For GBS, this seems less so, but it is still superior to project-type aid. This is due to a limited leverage on core PFM and governance issues when implementing fragmented and stand-alone projects. GBS, on the other hand, offers only limited scope for more detailed and technical discussion on education-specific issues, while macro-economic and fiscal governance issues often take centre stage. However, to realise the full potential offered by GBS and SBS, appropriate indicators must be defined.

9.3 JC93: Increased efficiency of EC aid delivery

9.3.1 I-931: Education MTEF, or the like, operational

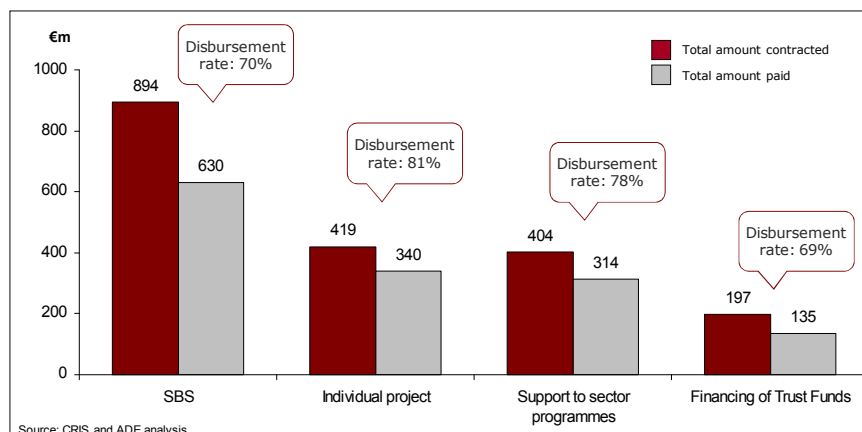
The role of MTEFs in improving resource allocation has already been discussed in EQ6. From there it is evident that, if functioning, they provide a good basis for EC funds to be properly allocated according to explicit policy priorities, promoting efficiency in budget execution. This is, for example, shown in the case of *Tunisia*.

9.3.2 I-932: Disbursement and expenditure rates by aid modality and channel

Extensive description of disbursement rates is given in Annex 2. This section complements what is stated there, and is based on the categorisation and typologies previously agreed.

The disbursement rates of the different modalities range from 69% to 81%, for the period 2000-07. Individual projects, surprisingly perhaps, have the highest disbursement rate (81%), with € 340 million paid of a total contracted amount of € 419 million, followed by support to sector programmes (78%). SBS and financing of trust funds have the lowest **disbursement rates**, at 70% and 69%, respectively. This could be a cause for concern, as there is generally a shift away from project modalities towards budget support (including SBS), and FTI especially is also gaining support. However, it must be taken into consideration that most contracting of trust funds, and considerable contracting of SBS, took place in 2006-07, and therefore funds may not have been fully disbursed at the end of the evaluation period.

Figure 34: Disbursement levels by modality used by the EC to implement its aid, education sector without HE and VET, 2000-07



In this context, there was criticism of the speed of disbursements of the **Catalytic Fund**. According to interviews at HQ, this seems to have been true in the first phase of the programme because recipient countries were not prepared to describe the detailed activities supported by the programme before the agreement, and therefore this step has taken extra time. It is also mentioned by EC HQ staff that the utilisation of the World Bank disbursement procedures tends to generate additional delays and constraints. Later on, in part due to EU pressure, these delays were reduced. The estimates of future needs from the catalytic fund for the period 2010-13 indicate that a replenishment process is urgently needed, and present commitments of FTI donors are not yet sufficient to meet the needs. The EC is not participating in the replenishment process.

With regard to the reasons for **varying degrees of efficiency of (general) budget support**, the CSEs and the Country Notes have been informative for a number of the sample countries (see also above box on *Niger*):

- In *Burkina Faso*, it is noted that initial delays were caused by prolonged negotiations and late submission by the Burkinabe authorities, but that these obstacles were later overcome as the GBS modality became better entrenched. This has been further corroborated by the ECA report.
- *Ghana* seems to share some of the budget support experiences of *Burkina Faso*, with initial problems causing delays. The CSE of 2005 also notes that delays reoccurred at a later stage, partly due to the EC's inability to provide timely support, but also due to the government failing to fulfil eligibility criteria, especially in the run-up to elections.

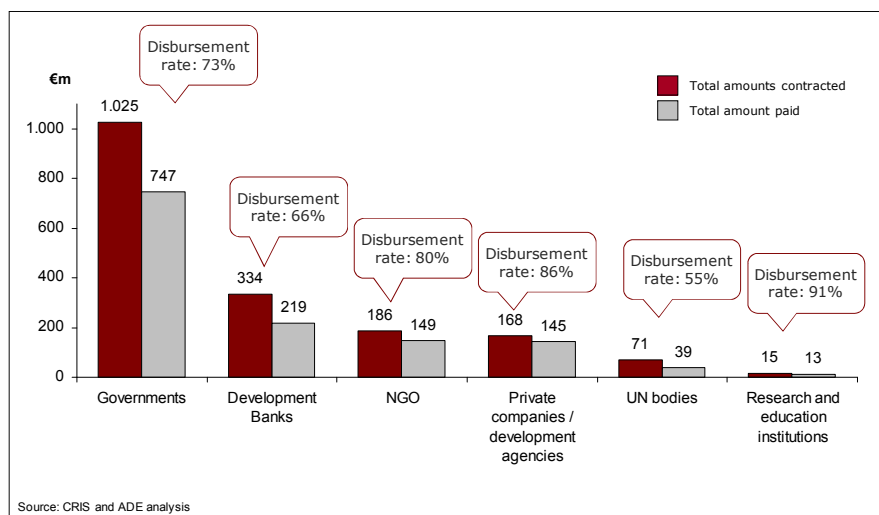
In relation to **trust funds**, mainly Country Notes and the EUD survey yield the following information:

- In *Eritrea*, joint donor trust funds are seen as more efficient than project support, although not as efficient as budget support. However, lack of fiscal and policy transparency, combined with limited strategic convergence between the EC and the government, rendered this modality impossible to utilise. With regard to the trust fund agreement with the WB, the EUD survey reveals rather low satisfaction with this way of channelling EC support, culminating in an impact that is classified as very limited due, among other factors, to insufficient monitoring.
- Disbursement related to the earthquake relief MDTFs of the ADB and UNICEF in affected areas in the NWFP and AJK of *Pakistan* was low, due to severe delays in the construction and rehabilitation of schools.

In sum, there seems to be considerable disbursement challenges in using trust funds, probably reflecting the often complex multi-donor agreements needed. Budget support is also subject to some challenges, but field evidence suggests that if initial obstacles are overcome, disbursement can often proceed speedily.

A greater diversity in disbursement rates can be found when analysing **disbursement levels by channel** (see following figure³⁶⁸). Research and education institutions have the highest disbursement rate (91%), followed by private companies or development agencies acting as such (86%) and NGOs (80%). The disbursement rate of governments is 73%. Development Banks show a rate of 66%, but this mainly concerns contribution to the FTI Catalytic Fund, which was only contracted late in the evaluation period. UN bodies rank lowest, with a disbursement rate of only 55%, perhaps due to the sometimes complex procedural requirements of both the EC and UN agencies. The overall disbursement level of direct support is 74%.

Figure 35: *Disbursement levels by channel used by the EC to deliver its aid, education sector without HE and VET, 2000-07*



Generally, the efficiency in disbursement rates, and the number and length of delays, have decreased with the introduction of SBS and GBS (most CSEs concur on this issue – such as *India, Burkina Faso, Nicaragua, Botswana, Mozambique* and *Tanzania*). In these cases, there seems to be a short but comparatively steep learning curve involved in migrating from project to budget support – as also indicated, for instance, by the Country Note *Dominican Republic* – during which transaction costs are still high and efficiency correspondingly below expectations. In this phase, all partners have to learn how to appropriately design the core elements of support modalities – in particular, the PAF, appropriate indicators (and an appropriate number of these), sanctions and rewards for fulfilling the PAF indicators, and how to respond to deviations. Once these issues are resolved, efficiency seems generally to improve substantially. However, where disagreement or distrust becomes the dominant characteristics of the relationship between governments and its development partners, budget support tends to be withdrawn, with relatively high transaction costs and low efficiency as a consequence (see, for example, CSE *Eritrea* and *Jamaica*). The case of *Eritrea* could indicate that increased fragility

³⁶⁸ This figure does not show the disbursement rate of the category of channels themselves for the implementation of the activities.

translates into lower efficiency, due to termination of budget support and resumption of parallel support modalities.

While budget support is thus comparatively more predictable than project support, there are still examples of degrees of unpredictability reported in, for example, *Ghana* CSE, where continuous and frequent delays diminished efficiency – at least, as perceived from the country perspective – for the period up to 2005.³⁶⁹ A comparable situation has been illustrated above for *Niger*.

The above findings tend to indicate that, where limited ability exists to engage with government, NGOs can be efficient in terms of disbursements (and also effects – see e.g. EQ2), as has been seen in *Bangladesh* and *Pakistan*, and similarly with UNICEF in *Pakistan*. In contrast, there are examples of the government channel being inefficient under the (general) budget support modality (e.g. in *Niger*), and under project modality in which procedural issues tend to undermine disbursements (as seen in e.g. *South Africa*, *Bangladesh*, *Niger* and the *Dominican Republic*), in some cases even causing significant decommissioning of funds (e.g. *South Africa's* School Infrastructure Support Programme). Results from the video-conference corroborated the findings from the field studies that GBS and SBS were considered to be more efficient instruments, although the variable tranches often reduced efficiency as seen from a purely disbursement perspective.

9.3.3 I-933: Adequate compliance levels by beneficiaries of GBS and SBS with regard to policy triggers and indicators

Triggers and indicators have been extensively used, especially in non-fragile **ACP countries** but also in some **Latin American** countries, such as *Nicaragua*. The triggers are established mainly to fund and reward the achievement of desirable educational outcomes, thus ensuring both an incentive framework aligned to, for example, MDGs and EFAs, but also ensuring that the EC can document value for money.

The various sources analysed reveal a very **mixed picture regarding compliance levels to policy triggers and indicators**, but also a somewhat mixed picture concerning the usability of these triggers and indicators in their current form. The following boxes provide an indication of the obstacles being faced by partner countries, such as *Namibia*, *Tanzania* and *Uganda*, when trying to meet indicators, both in SBS and in GBS with education-related indicators (see also the above case of *Niger*). These examples clearly highlight that different perceptions among EC HQ and EUDs might exist on compliance, even complicated in some cases by the fact that these perceptions might be contradictory to those of other donors involved.

In *Uganda*, the government has generally complied with the educational indicators inherent in the budget support. However, the EUD has argued that this was not an indication of improved performance, but rather that the indicators chosen were unambitious and (too) easily achievable. Furthermore, there has been criticism that some budget support operations had too many indicators (e.g. *Nicaragua*), blurring the incentives. Adam *et al* (2004), studying the design of the flexible tranche in *Uganda*, *Benin*, *Burkina Faso* and *Madagascar*, argue that indicators relied too heavily on output and outcome indicators, rather than on the impact indicators that measure progress in terms of ultimate objectives.³⁷⁰ In other cases, governments failing to achieve the agreed indicators have applied for waivers, as in the case of *Kenya*, for example, citing drought as a cause of not complying with enrolment targets.³⁷¹

On the other hand, the *Ghana* CSE documents the remarkable progress the country has achieved in terms of reducing its macro-economic imbalance and improving its PFM practices, which formed a core part of the policy triggers. However, there also has been a lack of clarity of the conditions related to the release of the variable tranche, which has compromised Ghana's ability to comply, and thus caused delays in disbursement.

In addition, the case of the Sindh SERP SBS in *Pakistan* shows that achieving compliance with DLIs (disbursement-linked indicators) may be feasible in a fragile environment characterised by low political stability and low education indicators. There, a performance-based SBS differing substantially from the EC blueprint for sector budget support was launched and is functioning and meeting objectives fully

³⁶⁹ Donor perspective may focus more on irresponsible fiscal policies following the electoral cycle as the cause of delays.

³⁷⁰ See Adam, Chambas, Guillaumont, Jeanneney & Gunning (2004): Performance-Based Conditionality: A European Perspective in *World Development*, Vol 32, no 6.

³⁷¹ However, Kenya is a country increasingly prone to droughts, and it could be argued that provision should be in place to mitigate such factors.

consistent with the EC policy framework, and responding to urgent needs in terms of focus on the provincial and district levels.

Box 53: Namibia: Difficulties in complying with indicators under the SBS

In *Namibia*, the Education Sector Programme (ESP) financing agreement was signed in September 2003 and covers the period from 2003-04 to 2008-09, with a total budget of € 24 million. A new 15-year plan, the Education and Training Sector Improvement Programme (ETSIP), has been developed with technical support from the World Bank.

The ESP payments were delayed, due to the nature of the disbursement conditions and insufficient progress on implementing the programme. The assessment of whether or not the prior actions have been carried out has proved difficult in practice and led to disputes between the EUD, HQ and the GRN. The new disbursement mechanism, which set conditions for partial releases of funds, appeared not to be appropriate for the ESP financing agreement. As an example, for the release of the 4th tranche, HQ decided to pay 50% of the tranche contrary to the opinion of the EUD and the GRN. The reason was the different interpretation of the achievement of one out of the 20 prior actions. The assessment of the fulfillment of the 5th tranche conditions also proved difficult, with delays of more than nine months from the submission of the request for the release of funds.

Prior to the adoption of the rider, the lack of sufficient progress in implementation of the programme had also led to a partial release of only 50% of the 3rd tranche, with the agreement of HQ, EUD and SIDA. Furthermore, the delay incurred by the GRN in presenting the request meant that SIDA could not pay its contribution. As SIDA could not roll its contribution over to the following fiscal year, the government lost this € 3.2 million contribution.

The ECA report also indicates that there are potential contradictions between the financing agreement and the MoU regarding disbursement conditions. In accordance with the review mechanisms, GRN and donors assess and agree on the achievement of prior actions during the recurrent review meetings. Subsequently, an "aide memoire", signed by GRN and the EUD, is issued and serves as a basis for GRN to ask for the next disbursement and for donors to pay. This procedure, aimed at strengthening alignment and harmonisation of donors' procedures, is at odds with the fact that the final decision on disbursements is taken by HQ. Whereas for the 4th tranche, EC HQs decided to release only 50%, Spain paid its full contribution on the basis of the agreement in the "aide memoire", thereby undermining the credibility of the EC's co-operation.

Source: ECA report *Namibia*

Box 54: Tanzania: Difficulties in complying with indicators under the SBS

In *Tanzania*, the main EC interventions supporting the Education Sector are:

- the Poverty Reduction Budget Support Programme 2006-08 (PRBS03), which is a General Budget Support amounting to € 101.8 million,
- the Support to Education Sector Reform Programme, which is a Sector Budget Support (2006-10) of € 43.5 million,
- the MDG contract 2009-15, amounting to € 305 million.

According to the ECA report, the *Tanzanian* government was typically slow to submit, to the EUD, payment requests with the necessary information to show that payment conditions had been met. The delays were mainly due to the change from the basket funding mechanism to the SBS, the suspension due to the EPA case and administrative delays at DG AIDCO. There was a three-year delay between the last payment for the basket fund and the first payment for the SBS programme, while payments from GBS programmes continued in the meantime.

The report further stresses that eight out of the 10 indicators of the Education SBS³⁷² did not achieve their target for 2008/09. The number of indicator targets not achieved or partly achieved increased from six to eight between 2007/2008 and 2008/2009, demonstrating a negative trend. The draft MTR came to the conclusion that "SBS is mostly off track, i.e. only a minority of SBS indicators have been globally achieved, many of which are behind schedule, and only in a minority of cases are adequate measures taken when (threatening to go) off track" (Equals "C" rating).

In December 2009, DG AIDCO approved an amount of € 3.75 million with regard to the variable tranche because the following indicators were either not or only partly fulfilled. The indicators that were partly fulfilled and scored 0.5 were:

- Pupils/grade A or diploma teachers in primary education (quality in primary)
- Gross enrolment ratio in secondary – Form 5 to Form 6 – (access in secondary education)
- Percentage of students passing the Form 4 examination (quality in secondary)

The following indicators were not fulfilled:

- Reduction of cross-district disparities in pupil/teacher ratio in primary education (quality and spatial equity in primary)
- Pupils/textbooks in primary schools (quality in primary)
- Percentage of girls passing Primary School Leavers' exam (gender equity in primary)
- Public expenditure on education as a percentage of total expenditure (Financing)
- Percentage of LGAs awarded clean audits by the National Audit Office (Decentralisation and accountability).

³⁷² Sector support programme "Support to Education Sector Reform"

According to the ECA report, the comparison between the fulfilment of the indicators for the last flexible tranche and the previous shows that the number of targets achieved decreased from five to three, the number of targets partly achieved increased by one, and the targets not achieved increased from four to five. This shows that the results are not improving.

Source: ECA report Tanzania

Box 55: Uganda: Difficulties in complying with indicators under the GBS

In Uganda, for the **first variable tranche**, all four education indicators of the GBS were considered by both the GoU and the EC to have been met – in three of the four cases with much larger margins than would normally be expected. The EUD did not seek policy/operational explanations from the GoU concerning this, nor did it question the reliability of the statistics. It did, however, propose to address issues relating to baseline data and related targets in sector dialogue, and to discuss capacity building to support the EMIS.

Regarding the **second tranche**, for only one education indicator (E1) was the amount paid in full, in one case nothing was paid because of underperformance (E2), and for the other two indicators half of the amount was paid because of problems with the setting of targets. In fact, there were issues in relation to each target:

- *Concerning primary school enrolment* – Given that the target for 2004-05 had been so comfortably exceeded (95% compared to 90.3%) it might have been expected that the 2005-06 target would have been increased from 90.6%, which represented only a marginal increase from 2004-05. The target was not changed, and in fact performance fell back from 95% to 91.7%. No reason for this reduced performance was given;
- *Completion rate* – A new target rate of 50%, introduced by the GoU and agreed to by the EUD, was actually below the reported 51% achieved in 2004-05. Nevertheless, the 2005-06 outcome was still below the new target, at 48%. This result is in line with widespread concerns over the quality of primary education in Uganda since the establishment of Universal Primary Education. In this case, the GoU provided only a very brief commentary on the reasons for not achieving the target. The EUD stated that this issue had been subject to substantial dialogue between it and other development partners and the GoU.
- *Competency in Literacy and Numeracy* – No target was set for 2005-06. The outcome showed a very marginal improvement, from 31.5% to 32%. Despite the absence of a target and no explanation for this, the GoU and EUD proposed full disbursement for this indicator. The EC headquarters decided on half the amount being paid, reasoning that there was “positive progress”, but pointing out that without a target it could not be said that it had been achieved.
- *Concerning secondary school enrolment* – The reported level was 22%, compared with the target of 25% and the estimated level of the previous year of 40%. Nevertheless, the EUD proposed, along with the GoU, that the amount should be paid in full, but the EC headquarters again decided to pay half the amount, on the basis that there was “some progress over the baseline” of 18% in 2003-04.

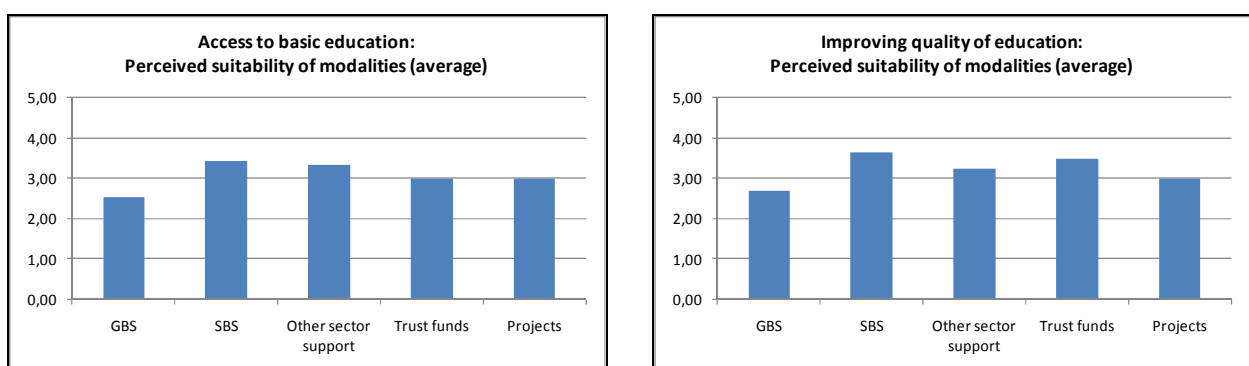
Source: ECA report Uganda

The mixed picture regarding compliance levels to policy triggers and indicators is corroborated by findings from the EUD survey: The respondents indicate that:

- SBS and other forms of sector support are clearly more suitable than GBS to enhancing access to basic education;
- The same pattern, though even more pronounced, applies when it comes to improving transition to secondary education, and to improving quality of education.

The following figures show these results for the two aspects, access and quality (more detailed information can be found in Annex 3):

Figure 36: Results of survey to EUDs: Improving access to, and quality of, basic education – perceived suitability of modalities



Modality	5	4	3	2	1	W	Modality	5	4	3	2	1	W
GBS	1	1	3	4	2	2.55	GBS	1	1	3	4	1	2.70
SBS	3	5	3	1	2	3.43	SBS	2	7	4	0	1	3.6
Other sector support	0	2	4	0	0	3.33	Other sector support	0	1	3	0	0	3.25
Trust funds	0	2	2	0	1	3.00	Trust funds	0	2	2	0	0	3.50
Projects	1	2	9	2	1	3.00	Projects	0	5	4	3	1	3.00

Scale: 5 = Very high; 4 = High; 3 = Medium; 2 = Low; 1 = Very low

W = Weighted average

Overall, the analysis conducted (ECA, CSE, Country Notes and complementary reviews) suggests that most governments comply with a substantial number of education-related indicators, especially those on gross enrolment, where the main challenge is to retain quality standards in the face of this increase. However, as for instance the Country Notes *Niger* and the ECA report for *Burkina Faso* indicate, there can be a serious trade-off between increasing access and improving (or just maintaining) quality, with focus having been on the former, often to the detriment of the latter. Part of this is probably due to the MDG and the resulting drive to achieve universal primary education. This potentially damaging trade-off increasingly features in the discussions between EUDs and their development partners, not least governments. Also, and as noted above, close alignment with MDG targets on expanding access is almost certainly bound to lead to failures in many countries (e.g. *Niger* and *Burkina Faso*) as their starting point was so low that achieving the MDG targets will require globally unprecedented achievements in expanding access and completion. This risks undermining both domestic and international support to the education sectors, as the robust success stories are increasingly becoming perceived as a failure to meet the MDGs.

Altogether, this calls for increased analytical focus on designing realistic **indicators that are simultaneously ambitious and achievable**, something that is not as insignificant as it may seem. This includes careful and country-contextualised analysis of the degree to which international goals are realistic and appropriate.

9.4 JC94: The EC's contribution to FTI provides added value to EC support at country level

The EC has provided € 100 million to FTI and also co-chaired the initiative during one year (2006-07). Since 2009, the chairmanship no longer rotates among members, as a permanent chairperson has been appointed. The involvement of the EC in the programme has been robust from the beginning. Its main contribution is related to the initial provisioning of the catalytic fund, for which the EC has been the third most important contributor, after the Netherlands and the UK. More recently, Spain has joined the group of the most active supporting partners. Staff members of EuropeAid and DG DEV regularly participate in FTI steering committee meetings.³⁷³

The EC is, therefore, an important partner, and can reasonably expect that this modality adds value over and above the direct education support from the EC. This criterion will seek to establish the degree to which this has materialised. However, FTI was only launched in 2002 and the main financial support mechanism, the Catalytic Fund, became operational in 2004 – hence, few of the country-level evaluations of EC support cover FTI.³⁷⁴ Only CSPs from 2007 onward contain some information on FTI, which is mainly forward looking (as it should be) and thus has limited direct relevance for this evaluation.

It is to be noted that the FTI initiative was recently subjected to a mid-term evaluation³⁷⁵, which argued that FTI has not sufficiently engaged with Ministries of Finance and national MTEF processes, and that the choice of projects or pooled funds as aid modalities has undermined alignment efforts in practice.

³⁷³ With regard to EC support to the FTI, the following sharing of work is implemented between DG DEV and DG Aidco: DG DEV has the policy lead, and is co-ordinating with DG Aidco C4 (Centralised operations for the ACP countries), E3 (Social and human development and migration), and F3 (Investing in People). Participation in FTI steering committees is also shared between these units. DG Relex seems to be involved only when it comes to questions of FTI support to a country.

³⁷⁴ In fact, only the Comoros Country Level Evaluation has a brief mention of the FTI, but no substantive analysis of interest to this evaluation.

³⁷⁵ Cambridge Education et al. (2010): 'Mid-Term Evaluation of the EFA Fast Track Initiative', February 2010. Several Volumes.

Nevertheless, it is widely acknowledged that FTI has had an important advocacy role in keeping education high on both the international and local agendas, which clearly can be viewed as a value added to the EC. Moreover, FTI has reinforced the focus of education donors on supporting country-owned plans and processes, which again should be seen as a contribution to making EC education support more successful, as this facilitates ownership and commitment, as well as ensuring continued focus on promoting aid effectiveness. In this context, it is important to note that FTI is envisaged as a main mechanism for scaling-up aid to basic education via a "compact" made at country level between the local education sector donors and the government. Once an education sector plan and its financing framework had been endorsed by FTI, local donors are expected to commit to scale-up external funding (if so required) and the government would commit to providing the domestic resources set out in the financing framework. The FTI Catalytic Fund was intended to be relatively small and to provide short-term financing to "donor orphan" countries, so that they could demonstrate good performance and thereby attract increased and longer-term support through regular bilateral and multi-lateral channels. However, the mid-term evaluation found no evidence for the compact improving mutual accountability (such as donors also being held to account on their commitments), or any evidence of increased funding to donor orphans.

A mainly donor-specific benefit has been the role of FTI as a global forum enabling donors to work together across agencies in the process of sharing experiences and developing common approaches. However, this may have impacted mainly at headquarter levels, and hence only indirectly benefiting EC support at country level. This is because the EC involvement in FTI has been through the CF and rarely through local donor groups. FTI has endorsed 40 countries, a minority of them belonging to the group of countries receiving education assistance from the EC. Only two, *Niger* and *Burkina Faso*, belong to the group of 23 sample countries in the present evaluation.

One possible explanation for the phenomenon that few FTI-endorsed countries receive EC education assistance is that most of the endorsed FTI countries included in the scheme are **ACP countries** for which the EC had programmed its assistance under the 9th EDF, just before the beginning of the FTI process. When local donors' groups started the endorsement process, EUDs could hardly participate because EC assistance was already committed. In principle, FTI endorsement should be conducive to allowing for future EC SBS support, even if the two processes are not directly related. However, FTI still adds value, in the sense of making additional funding available, not least to countries that are not considered "donor darlings". Another supposed benefit of FTI is that the endorsement process and the follow-up reviews are supposed to provide structure and content to the dialogue between governments and their development partners, with the former being the key interlocutors. Again, the FTI mid-term evaluation found mixed evidence of the dialogue-catalysing effects of FTI.

The EC involvement at the headquarters level is also confirmed by interviews held in EC HQ. Almost all EU Member States' education biannual meetings include the issue of FTI on their agenda, and this seems to have a positive impact on the level of acceptance and mobilisation of EU Member States in favour of FTI and, more generally, in favour of the EFA objectives. This suggests that an indirect contribution of FTI is to improve donor co-ordination, harmonisation and alignment.

Finally, FTI has also contributed with additional resources for education, primarily through the CF. Indeed, it would appear that the funding aspect is the main attraction of FTI for developing countries. Again, additional funding can be viewed as an added value if it brings in funds that would otherwise have been allocated for other purposes. However, this is also seen as a main weakness of FTI, as it was originally intended as a compact between development partners, not as a donor-recipient relationship.³⁷⁶ Thus, accountability has tended to be asymmetrical: from recipients towards donors. Moreover, there has been criticism from several beneficiary countries that focus has been too biased towards primary education – a criticism also echoed in the EC CSPs for *Honduras* and *Nicaragua*. This demonstrates that there still are unresolved issues about reconciling a sector-wide plan with a primary education specific concentration of support, vis-à-vis achieving an appropriate balance among all EFA objectives, as these extend beyond primary education.³⁷⁷ Furthermore, the CSP from *Burkina Faso* states that the FTI process was characterised by a weak involvement of the Ministry of Basic Education in the dialogue, further corroborating the fact that the dialogue benefits of FTI have hitherto mainly materialised among the donors themselves, even though partner countries were supposed to be one of the key interlocutors.

³⁷⁶ The compact was meant to ensure that developing countries committed themselves to designing and implementing sound education plans, while donor partners were committed to aligning and harmonising additional support around these plans.

³⁷⁷ The Mid-Term Evaluation suggests that the focus on primary education is due to the ease with which this can leverage donor funding.

9.4.1 I-941: FTI improves partner country preparedness for EC sector support, including SBS

As stated above, there is only limited and partly contradictory evidence of FTI improving country readiness for EC SBS in the available documentation, including documentation from the field phase. On the one hand, FTI has in many instances focused the discussion and dialogue on critical aspects (especially planning aspects, with partner governments as interlocutors) of the education sector, as reported more generally in the mid-term evaluation of FTI, but also in the EC CSPs from, for example, *Djibouti* and *Madagascar*, with the latter benefiting from EC assistance to get access to more FTI funding. This has also been corroborated by interviews at EC HQ that further allude to the fact that FTI is very country-focused and anchors the aid effectiveness agenda in the local context and procedures. On the other hand, the strong concentration of FTI support to primary education can potentially complicate more comprehensive education sector planning, as secondary education, for example, may not be able to cope with the increased number of primary pupils graduating. Moreover, the strong planning focus of FTI appears often to have been at the expense of implementation and service delivery, which again may not be sufficient to allow for EC SBS (see FTI's mid-term evaluation 2009).

Apart from the contribution to the catalytic fund, the EC was among local donor participants in at least two FTI processes in which a direct EC contribution was mobilised – namely, in *Burkina Faso* and *Niger*³⁷⁸.

Box 56: *Burkina Faso: EC support to FTI*

In 2004, when the mid-term review of the 9th EDF was undertaken, the Fast Track Initiative had mobilised local donors active in Burkina Faso for endorsing the country in the new scheme, in order to accelerate the pace of expansion of access to basic education.

The EU has participated in the exercise, and it was proposed to make a specific new commitment of € 15 million to be disbursed as earmarked budget support for the years 2005 to 2008 – that is, an extra € 3.75 million for basic education per year.

However, in the CSP for the period 2008-13, which describes the EC assistance to Burkina Faso in the framework of the 10th EDF, some assessment of the fast-track funding is provided. It is indicated that the disbursement process of the € 15 million was delayed due to several factors, among which were the low level of involvement of the Ministry of Education, the reluctance of the Ministry to move from project to budget support, and the lack of absorptive capacity of the Ministry, already overloaded by the management of the common basket brought by the existing pool of donors.

The FTI mid-term country evaluation report concludes that the situation improved in 2007, and the first disbursement was in the pipeline. Undoubtedly, the FTI programme has had a significant impact on the acceleration of access of excluded children to primary education. But it is probable that the speed of possible improvement of education delivery has been overestimated – both from a quantitative and qualitative perspective – in a context such as that of Burkina Faso.

Sources: *Revue à mi-parcours 2004 – Burkina Faso. Projet final de conclusions*; CSE Burkina Faso; Cambridge Education et al. (2010): *Mid-Term Evaluation of the EFA Fast Track Initiative. Country Case Study: Burkina Faso. February 2010*

While only six surveyed EUDs provided replies on the role of FTI-CF in improving country preparedness for EC sector support, some interesting issues arose, confirming that the FTI process was in principle started too late for the early programming period within the timeframe covered by the evaluation.

Only one EUD, *Tajikistan*, is of the opinion that the FTI process (implemented only in 2009) has been very significantly helping the country to prepare for SBS, as a catalytic factor behind the move towards SPSP which is foreseen (after the evaluation period), and which seems to have improved donor coordination and alignment. The other EUDs that answered the question – *Burkina Faso*, *Ghana*, *Nicaragua*, – were of the opinion that FTI was only helpful to a very limited extent, or not at all. This is quite understandable for all three of them, as in the first two countries EC support has been channelled into GBS (almost exclusively) for a good number of years, while in *Nicaragua* the EC had already started its sector support when FTI became relevant. The other EUDs complained rather about the lack of relation with FTI, while it seems that in *Burkina Faso* the funds were held on a "non-trackable" account that gave no guarantee that additional resources would be given to the Ministry of Education.

It should be noted that transparency and the sharing of financial information is a precondition for countries to participate in FTI appraisals. According to the EUD, these seem to be missing in *Eritrea*.

Complementing the desk analysis made, only the Country Note *Niger* reveals that FTI had played a positive role in the initial phases of the support to the sector programme in Niger, and that the EC had

³⁷⁸ Other cases may exist, but could not be identified from the evaluation database, based on CRIS.

actively participated in the local donor group that endorsed the FTI programme in 2003. At that time, the EC was already providing GBS, and the EC contribution was added to the existing GBS and not included in the common fund set up by other FTI donors, thus showing the increased emphasis on education, as also highlighted by including variable tranche releases related to education. FTI provided SBS to the national sector programme 'Programme Décennal de Développement de l'Éducation' (PDDE). Thus, FTI arguably did not improve the preparedness for EC SBS, but rather provided additional financial resources and catalysed some donor discussions on the FTI endorsement process. At a later stage, FTI actually contributed to increased fragmentation, as FTI funding was no longer being pooled with other development partners but was being managed unilaterally according to World Bank procedures.

Overall, it seems that FTI has the potential – as yet, largely unrealised – to improve preparedness for SBS, as FTI is often viewed primarily as a funding source and less as a global repository of knowledge and advice that could be used to strengthen sector policies³⁷⁹. Moreover, the issue of FTI governance may also require further emphasis, as the case study of *Niger* illustrates.

9.4.2 I-942: Level of regular consultations between EUD staff and FTI on sector support issues, including SBS

It is important to note that FTI at country level is usually represented by a local donor group (LDG) or, more recently, the local education group (LEG), which also encompasses government and civil society. The lead donor of the group – most often, the World Bank – has tended to act as the co-ordinating agency. Thus, there is often no distinct FTI presence at country level, but rather the already active donors do much of the preparation of the education plan needed to access FTI funding, the subsequent appraisal, and the endorsement.

The desk-based evaluation of available documentation (CSPs, CSEs, CSP reviews) could find only very limited evidence on the level and regularity of consultations between EUD staff and FTI. However, the EUD survey reveals that out of the 20 EUDs replying to this question, eight indicated that FTI is relevant to their country: *Burkina Faso*, *Eritrea*, *Ghana*, *Mozambique*, *Uganda*, *Vietnam*, *Tajikistan* and *Nicaragua*. While the EUD to *Ghana* reports that there is no consultation mechanism in existence, the other EUDs report on various kinds of mechanisms:

- In *Burkina Faso*, the WB and EUD are part of the same group of donors for education, which seems to meet several times a month, and is also related to progress on FTI.
- In *Eritrea*, according to the EUD, an agreement exists between main implementers in education (WB, EC UNICEF) on the importance FTI could have for Eritrea. Meetings among donors have taken place on this subject, and the MoE has been made aware of the opportunities that FTI poses.
- In *Uganda*, the Education Sector Working Group is used for discussing FTI issues, while in *Vietnam* the same type of mechanism was established in November 2009, but, to date, no meeting has taken place.
- In *Tajikistan*, there is currently no mechanism in place, but it is being discussed with the WB and the Ministry of Education, given the fact that the government recently received a US\$ 13.5 million grant under the Catalytic Fund.
- In *Nicaragua*, consultation seems to be rather informal, through exchange with EFA-FTI, while, on the other hand, participation in education round tables seems to facilitate such contacts.

From the joint annual reviews, it can be established that the EC has played important roles at least in *Mozambique* and *Burkina Faso*.³⁸⁰

The field study of *Niger* reveals an initial strong engagement of the EUD in the dialogue process, but after endorsement by the donors contributing to the common fund (an SBS, to which FTI also contributed), interest in FTI itself waned, reaching its lowest point when the WB unilaterally decided to withdraw FTI funding from the SBS programme.³⁸¹

Thus, there seems to be limited dialogue with FTI in the post-endorsement process, a point that is also corroborated by the finding of the mid-term review of FTI.

³⁷⁹ This is a key finding of the mid-term evaluation of FTI (November 2009).

³⁸⁰ In ACP countries, these efforts are mainly documented in joint annual reviews between the National Authorising Officer and the EUD. However, there is limited evidence on the substantive discussions that supposedly have taken place.

³⁸¹ The main reason being heightened fiduciary risks.

9.4.3 I-9431: EUD consults EC HQ on results of FTI country appraisal undertaken

Usually, it is the Local Donor Group /Local Education Group that leads FTI appraisal processes – that is, FTI is a country-led (as opposed to HQ-led) led planning and appraisal process. Therefore, it might be natural that involvement of EC HQ in such processes is rather limited. However, interviews held at EC HQ indicate that there is regular consultation between EuropeAid and the EUD when a Call for Proposal arises. Only two EUDs, *Uganda* and *Nicaragua*, indicated that they were sharing information with HQ, and the field study had only limited information on interactions between EUD and EC HQ. Thus, while there are regular consultations, there is not sufficient evidence to determine conclusively the quality and outcomes of this dialogue.

9.5 JC95: EC support to development banks provides added value to EC support to education at country level

Relatively limited volumes of EC education aid go through the UN system (4%), whereas development banks do have a larger role channelling 17% of EC aid. As explained in section 8.2.2, contracts with UN organisations in the education sector can simply be considered as a means of contracting similar to that of a research organisation, a consulting company, or an NGO.

The World Bank (through FTI) and ADB are the main channels through which funds in trust arrangements have been made. *Pakistan* and *Bangladesh* in particular have both benefited from such EC assistance through ADB, and, towards the end of the period under evaluation, so has *Indonesia*.

The following box shows some major elements of EC support to PEDP II in *Bangladesh* – a programme to which the EC committed about € 104 million (paid in June 2009: about € 62.6 million) – as well as some successes and challenges. Overall, it seems that supporting PEDP II has added value to the EC support strategy, in that joint donor commitment made the Government of Bangladesh (GoB) focus on the need to take responsibility for education that lay outside of the formal primary education sector, as well as for GoB to try to improve its accountability. The consortium of donors also participates in the Joint Annual Review Missions (JARM), which gives them a platform to discuss issues with the DPE and to consider the Annual Operational Plans, as well as to make GoB more accountable.

Box 57: *Bangladesh: PDEP II – Features, successes and challenges*

The GoB requested the ADB to lead donors in the financing of the Government's Primary Education Development Programme. The EC agreed to contribute to the ADB-led **pool fund**. This was the first attempt to apply a SWAP to financing education in Bangladesh with 11 donors, although AusAID and the Government of Japan contributed to the programme through UNICEF, which, along with JICA, supported the programme through a parallel funding mechanism. The total financing envelope for the six-year programme (2004-10) is US\$ 1.815 billion, comprising USD 1.16 billion from GoB and USD 654 million (36% of the total) from donors.

The PEDP II was geared towards the reform of formal basic education and was designed to avoid duplications and overlapping of various interventions under different projects.

A MTR was conducted in October and November 2007, at the end of the programme's third year. The MTR noted that the potential results of some activities were thwarted by delays. The programme implementation commenced in the Financial Year 2004-05, (i.e. more than a year late), due to loan and fund transfer delays. In addition, Cyclone Sidr on November 15, 2007, damaged many primary schools across 19 districts. With a caretaker government in place, Bangladesh was also preparing for elections at the end of 2008.

The design of PEDP II was deemed too ambitious in terms of the capacity of the DPE to implement it, given the many diverse activities. It also led to pressure to spend funds and did not sufficiently take into account the size of the system. Many of the assurances required were not realistic – notably, those that depended on actions or decisions by other ministries or the Public Service Commission outside the control/responsibility of the Ministry of Primary and Mass Education (MOPME) or DPE.

An Institutional and Organisation Analysis of BEP conducted in 2003, when PEDP-II was at its inception stage, noted that "...the NGOs have disappeared from the scene in PEDP-II", and expressed a hope that it "...might be a temporary situation". Within a year, it was evident that the slow start-up of PEDP-II would not significantly address issues of access in the short-term, and that the need for additional provision by NGOs such as BRAC had not diminished. In response to the ongoing need to provide education to those children who remained outside the mainstream system, the BEP five-year plan was revised in January 2006.

The Mid-Term Review noted that PEDP-II had made sound progress in key areas. These included improvements in teacher recruitment, teacher training, and the printing and distribution of textbooks and provision of supplementary reading materials.

PEDP-II had also made **good progress in some of the key reforms**. Teacher recruitment and teacher transfer rules and processes had been improved substantially. In addition, the backlog of untrained teachers (teachers without Certificate-in-Education training) was reduced significantly. At the time of the MTR, more than 45,000 new and existing teachers had received one-year Certificate-in-Education training, with another 19,000 undergoing this training (out of a target of 90,000), resulting in better trained teachers being placed in schools. However, the need was noted for more direct classroom follow-up and support to ensure theory-into-practice application in classrooms. The MTR also commented that **school management had improved** through SLIP, and that this compo-

ment was ready for scaling up.

One area requiring attention concerned the expansion and implementation of inclusive education plans for children with special needs, tribal children, and vulnerable groups, as this component was seen to be **lagging behind** in terms of implementation progress and achievements against set targets.

The final conclusion of the MTR is that PEDP II had made overall satisfactory progress at the mid-point, despite the challenges faced by MoPME and DPE.

On the issue of linkages between education sector reform and broader national reforms – decentralisation, civil service reform and **public finance management reform** (JC63) – the MTR noted **progress in the decentralisation of responsibilities and authority in the areas of procurement, financial management, and planning to field level operations to support implementation of PEDP-II**. However, the recommendation was made that the proposed decentralisation process needed to be accompanied by appropriate capacity building and staffing at the local level, and that the devolution plan needed to be approved as a priority. The MTR also noted that the SLIP process should be scaled up to empower the head teachers.

With regard to **governance** issues, the DPE established a Governance Review Committee (GRC) in early 2007 to work jointly with the Development Partner's Governance Working Group (GWG) to address governance actions under PEDP-II in four areas: (i) Information and Transparency, (ii) Human Resources, (iii) Financial Management and Procurement, and (iv) Administration and Devolving Responsibilities.

In terms of accountability and compliance with assurances required under **PEDP II**, the MTR notes that 25 out of the 33 assurances had been substantially met, and that the remaining eight were at different stages of compliance at that time.

The MTR acknowledges the progress on efforts to improve budget planning, financial management and procurement under PEDP-II. The capacity of DPE in the area of MIS and M&E needed to be strengthened significantly to enable it to collect, analyse, and present data that could show the results and outcomes of the programme – set against the targets – in a more timely and reliable manner. In addition, it noted that government agencies under PEDP-II needed to strengthen their fiduciary risk mitigation through improved financial management and computerisation.

Source: Country Note Bangladesh

The picture seems comparable with another case, *Pakistan*, where EC funding was channelled through a development bank As part of the “Earthquake Emergency Assistance Project (Education) in the Earthquake-Affected districts of AJK, Pakistan”, contracts were concluded with UNICEF and the ADB (€ 30 million and € 10 million respectively), solely relating to post-earthquake reconstruction of school facilities. Despite the very slow start and familiarisation with adequate construction models for the earthquake areas, and the lack of sufficient technical expertise during the first years, as expressed by the EUD, the EUD scores efficiency, effectiveness and impact as rather good for co-operation with ADB, but less favourable for efficiency and effectiveness of UNICEF support. Moreover, co-ordination with the two bodies seems to have been working well.

With regard to *Eritrea*, where a trust fund agreement exists with the World Bank related to the implementation of the Education Sector Development Programme (ESDP), the EUD perceives quality of co-ordination as rather weak.

9.5.1 I-951: Level of regular consultations between EUD staff and Development Banks/UN bodies on co-operation and co-ordination (general and programme-specific, if relevant)

In general, the desk review (CSPs, CSEs, FTI mid-term evaluation, survey to EUDs) reveals that the EC consults widely with other development partners in the education sector, including with development banks and UN Bodies (e.g. UNICEF; see also EQ8). The EC is undertaking extensive consultations both internally with other external development partners (e.g. in EFA/FTI contexts) and in partner countries. This was broadly confirmed by the field phase for those countries concerned by trust funds:

- In *Bangladesh*, the EUD worked robustly with ADB in establishing a pooled mechanism for the main external development partners. However procedural differences between EC and ADB (mainly related to procurement) caused some friction, but were eventually overcome. More serious was the very limited degree to which the ADB-led group of donors was able to align their assistance to national strategies and procedures. Despite intensive consultations, no credible entry point was identified.
- In *Pakistan*, procedural challenges also compromised the speed at which EUD could provide earthquake emergency relief in the North-Western Frontier Province. However, a contribution agreement with ADB was eventually signed, but delays in school construction persisted until 2010. Also in Pakistan, the EC consulted extensively with the WB and provided additional assistance that was not eligible for WB financing in a sector programme in the Sindh province. Here, the EC added a substantial TA component that assisted the government in meeting the WB's disbursement criteria. The policy matrix and results framework were jointly formulated and agreed by the government, EUD and WB. This was clearly an example of outcome focus

consultations that included all key stakeholders in an inclusive process, producing tangible and pro-poor impacts.

9.6 Final Remarks

Overall, there is robust evidence on the appropriateness of the EC's use of various aid modalities and channels. Its aspiration to align as closely as possible to that of its domestic partners is outstanding and probably unmatched. This aspiration, however, only seldomly leads to uncritical adaptation of budget support, if conditions for alignment are not conducive. This leading position in alignment of aid modalities is thus still backed up by reasonable analytical underpinnings. In most places, where feasible, the EC has opted either for SBS or GBS, which has enabled it to work in partnership with domestic stakeholders on addressing issues related to access, equity and policy-based resource allocation. In the partnerships that SBS and GBS has provided space for, the focus of the EC – and virtually all other development partners – has been too skewed towards improving access, with insufficient attention paid to quality issues. The clearest manifestation of this is the indicators, which in turn have been strongly influenced by the MDGs and EFA goals. Clearly, the issue is beginning to appear on the agenda of the international education community, including the EC, and while there may often be a certain initial trade-off between access and quality, the challenge is now to minimise this trade-off in order to progress on both fronts simultaneously.

The dilemmas facing the EC are far greater in fragile contexts and in crisis situations. Here, it is often necessary to compromise on the alignment aspirations, opting instead for a more pragmatic approach that holds the promise of offering short-term to medium-term support. However, promoting transition to a more stable environment will often involve planning for more aligned approaches. In that regard, the EC is still struggling to operationalise emerging concepts of shadow alignment – for example, aiming to design interventions close to what the systems ought to be, so that the transition is smoother when they are rebuilt. This is clearly a challenge facing all development partners with the ambition of engaging in education assistance in fragile countries.

Finally, there are also instances where fragility is not the main cause preventing the EC from using government systems. Here, it is either the government policy or governance quality (or both) that may undermine the robust partnership necessary for alignment. In such a context, the option has often been to use NGOs as alternative channels both for mainstream education (e.g. *Bangladesh*) and pilots (many places). The results, efficiency and effectiveness have often been impressive, and could arguably serve as inspiration for EUDs to analyse alternatives to state provision of education. However, there are challenges surrounding the use of non-state education providers – accreditation and compatibility with transition being among the major ones. Where service delivery at frontline level is corroded by weak governance (which, unfortunately, is widespread, given the high rates of teacher absenteeism in most of **South Asia** and **Sub-Saharan Africa**), the EC and EUDs should still consider using non-state channels, if the government is unable or unwilling to address widespread governance failures that are often related to wider political economy issues at local and national levels (e.g. teacher unions' influence in national politics, and head teachers' collusion with local elites). Effectively addressing governance failures at service delivery level is probably the single biggest omission in the EC and EUD analytical work that underpins the aid modality choices, and is consequently also an area that warrants more attention.