Sida

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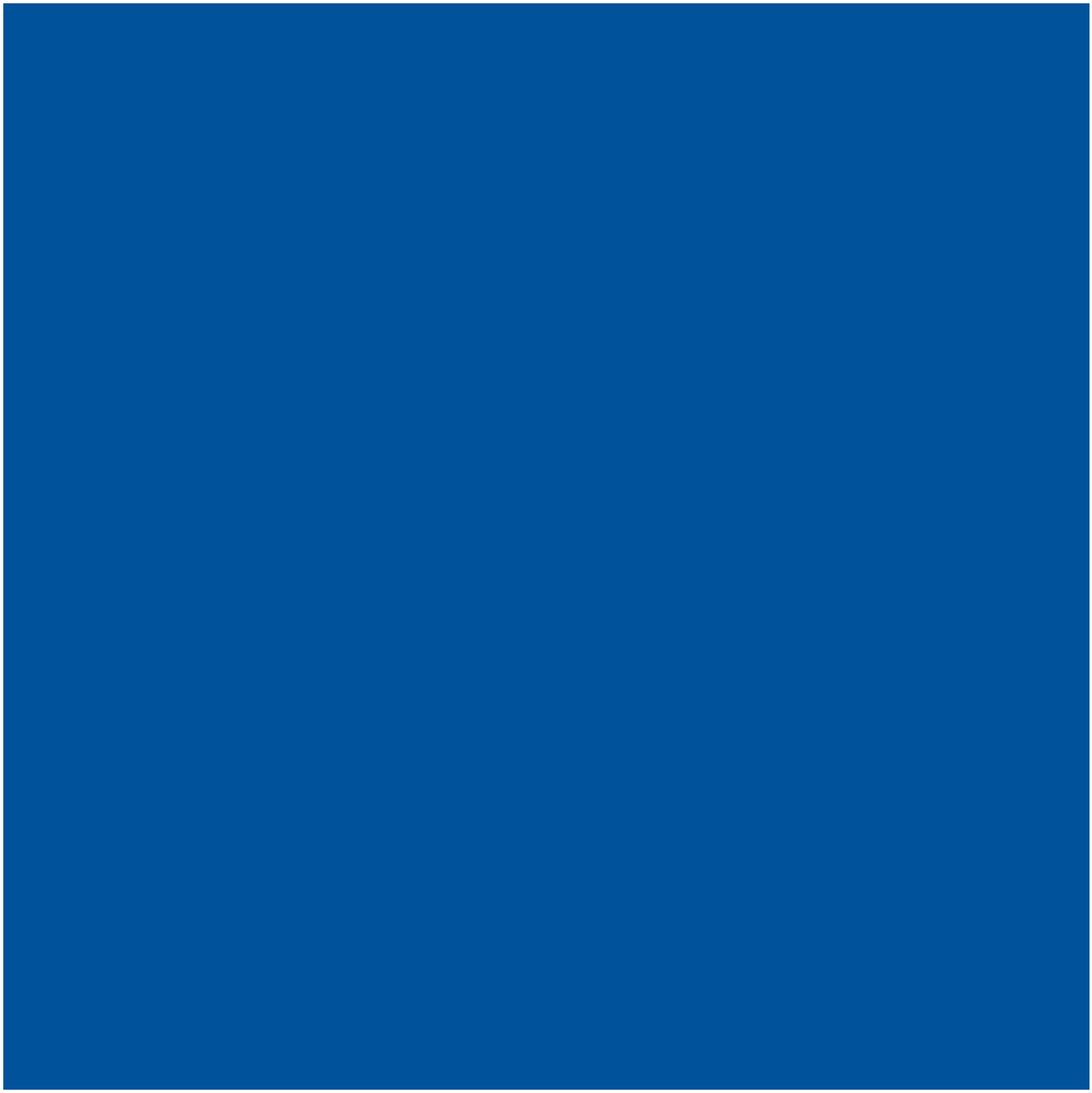
A study on results-orientation and the role of indicators

Monitoring for education results



Foreword

In the light of increasing international interest in result-orientation of development assistance, the Education Division's working group for education systems commissioned this study to explore ways to use performance indicators and results monitoring in programme management.

It was written by Anna Haas, Sida Education Division, together with Martin Schmidt, SPM Consultants. The final report has been reviewed by the working group for education systems making sure that the views and recommendations in the report are shared by the Education Division.

The paper reviews the use of performance indicators, and general results orientation, in eleven education sector programmes in Africa, Asia and Latin America. It highlights the importance of using indicators, especially at the outcome level, as a tool for focusing more effectively on education sector performance monitoring. It is suggested that Sida, and most other developing partners, is still quite far from having a management culture that is focused on results. Therefore it is recommended that Sida should improve its' monitoring of results in the education sector by stronger results focus and by developing Sida's ability to contribute to the inter-agency dialogue necessary to conduct joint programme assistance.

Hopefully, the paper can stimulate reflection and discussion beyond the internal work of the Education Division.

Stockholm in November 2004

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Contents

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1 Introduction

This paper is policy oriented. In light of increasing international interest in results-orientation of development assistance, the paper discusses the eleven education sector programmes where Sida is involved, and the degree to which their management can be described as results-oriented. The overall conclusion is that the degree of results-orientation is quite low. The policy recommendations are primarily written for senior level management at Sida, but can easily be converted into operational guidelines.

1.1 The specific aims and objectives of this study

The immediate aim of the study is to guide Sida's education division on how to improve its' use of education indicators, outcome indicators in particular, as a useful means to monitor for development results.

The specific objectives of the study as described by the Terms of Reference (see annex 1) are to present:

1. an overview of the existing indicators in education sector programmes and PRSPs in Sida's partner countries and an analysis of the extent to which these coincide with the EFA indicators.
2. an analysis of the relevance of outcome indicators in the monitoring of progress. In particular, the use of learning assessments as an outcome indicator is of interest to Sida's education division.
3. a brief overview of how the indicators are used in the education sector programmes that Sida supports.
4. recommendations on steps to be taken by Sida's education division to align its' organisation and policy-making to a results based management (RBM) system

The study is divided into four main sections: 1) a review of key concepts regarding results-based management and the use of indicators for results monitoring; 2) a review of key performance indicators formulated for the different programmes and how they correspond with EFA and PRSP indicators; 3) a discussion on how key performance indicators are used and the level of results orientation in case studies, and; 4) identification of key challenges presented by a results-based approach and recommendations to Sida's Education Division on what is needed to become more results-oriented.

The foundations of section 3 are found in annex 2, in which programme specific comments are made in each of the case studies.

1.2 Introduction to Results-Based Management (RBM)

Moving towards results-based management of development assistance is part of a larger agenda with a common objective of making development assistance more effective. Since the Millennium declaration – taken by the UN General Assembly in September 2000 – and the formulation of the Millennium Development Goals (MDG), a large part of the development community advocates that development assistance should be increasingly managed from the results-side. An important focal point in this work is the DAC working group on "Managing for Development Results".

The idea of focusing on results in the management of development assistance is far from new. However, efforts to focus on results have had limited impact on the actual implementation of development assistance. This is a leadership problem. Statements of intent and directives regarding results-oriented management have not been followed through. What is promising with the currently renewed focus on results is that it is now part of a larger agenda and includes a majority of those stakeholders working toward donor harmonisation and programme support.

A results approach is applicable to all development assistance, but this study is concerned with its application on the programme level and more specifically, to sector programme support in the education sector. The reader should be aware of the implications for our treatment of the concept of results-orientation. While results-orientation not necessarily means joint donor government co-operation, programme-orientation does. So, our interpretation and basic assumption henceforth is that results-orientation in a programme setting implies donor co-ordination as one basic feature.

A focus on results means that development assistance should be managed by first "focusing on the desired outcomes and impacts … and then identifying what inputs and actions are needed to get there" rather than "starting with the planned inputs and actions and then analysing their likely outcomes and impacts".[1] In management terms, the strategy most commonly referred to now is Results-Based Management (RBM). The opposite of a focus on results is often called a focus on measures.

Traditionally, a focus on measures has prevailed in programme assistance. This means that development assistance has been managed with a focus on inputs and outputs, assuming rather than asserting a link between such indicators and performance on the level of beneficiaries. For example, it can not be taken for granted that money invested in textbook production is translated into pupils' learning. By contrast, focusing our attention on what happens in a sector at the level of beneficiaries (for the education sector the main beneficiaries are the pupils) gives an indication as to what extent development or "programme" operations are appropriate to meet the needs of the sector. Indicators of beneficiary level performance are normally called outcome indicators, and they are the focus of RBM.

[1] OECD/DAC; *Promoting a Harmonized Approach to Managing for Development Results:Core Principles for Development Agencies*, principle number 4, spring 2004.

The concept of RBM is found, applied, and interpreted differently in diverse fields such as manufacturing industry, corporate finance and public management. Note that RBM is one in a series of concepts attempting to convert a basic notion of "results focus" into an operational tool. On a most basic level RBM and its siblings[2] can be defined as an *approach to management* that reads;

'Information about the consequences of our recent actions should guide our decisions about future actions.'

As simple and straight forward as it seems, relying only on this approach to guide decisions and actions is difficult. This is so because, most importantly, interaction in society – all societies – is governed by rules of behaviour (political, cultural, religious and so forth). When looking for a particular consequence, doing what is necessary for its realisation may stand in opposition to such rules.

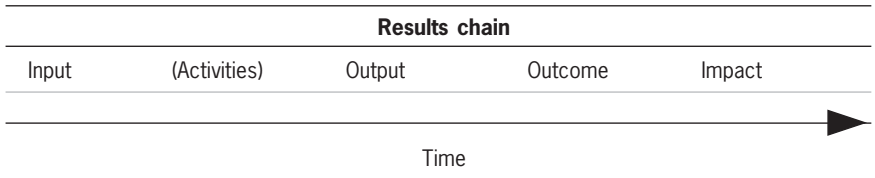
The extreme alternative to the RBM approach is to let rules of behaviour alone guide our decisions and actions. Such an approach has obvious drawbacks, particularly when management enters into a field where it has not previously been. On the other hand, the principle is not devoid of strengths. If it lies in our long term interests to stimulate certain behaviour or values,[3] basing action on rules that imply such behaviour or values can be highly effective.

Arguing a results approach to programme management does not mean that management practices must change entirely over night, nor do they have to move from one extreme to another. A focus on results means that programmes should be increasingly managed by first looking at performance on the level of beneficiaries (mainly outcome).

1.3 The input-output-outcome-impact chain

The lack of a results focus in development aid has contributed to a present confusion over the measurement of results. As the EU puts it, "there is currently considerable confusion over the purpose, methodology, terminology and typology of indicators".[4]

DAC and the EU have proposed a typology and definitions of four groups of indicators that at the same time represent a basic notion of a *results chain*. The results chain represents both a causal relationship and a time dimension,[5] and can be illustrated in the following way:



[2] Such as the Management-By-Objectives (MBO) or Programme Management By Activity (PMBA) approaches. Confer Meier, Werner; *Results-Based Management: Towards a common understanding among development co-operation agencies*, p. 6–7, October 2003.

[3] For instance that of settling disputes by arbitration.

[4] European Commission/DG Development; *Guidelines for the use of indicators in country performance assessment*, p. 2, October 2002

[5] Confer OECD (2002), *Glossary of key terms in evaluation and RBM.*

Indicators of input measure the financial, administrative and regulatory resources provided by the government and donors. *Example: Share of the budget devoted to education expenditure, number of classrooms available.*[6]

Indicators of output measure the immediate and concrete consequences of the measures taken and resources used. Output indicators are primarily, but not always, quantitative and a fairly straightforward measurement of tangible immediate results. *Example: Number of schools built, number of teachers trained.*

Indicators of outcome measure the intermediate results or consequences of output at the level of beneficiaries. *Example: school enrolment, percentage of girls among the children entering in first year of primary school, completion rate, learning achievement.*

Indicators of impact measure the long term and aggregated results or changes in a segment of society targeted by an operation. *Example: Literacy rates, portion of the population in tertiary education.*

The four monitoring levels identified – input, output, outcome and impact – are closely linked together, and can work as a guide to decision and policy making as long as these links are made explicit.

Looking only at output, such as the *number of schools built*, may give the impression of a highly effective programme since so many schools were built in a certain year. The indicator may say that 200 schools were built in the northern province, but without information about what resources were used to build the schools (input), nor about how many children actually attended these schools (outcome), for all we know it could have been a disastrous programme. So, in order to understand what programme measures result in, the entire results chain must be considered. Studied in isolation, each monitoring level can give rise to misinterpretation.

1.4 The relevance of outcome indicators

Recent studies on programme aid point to an information gap between input-output and impact indicators. Information is often lacking on what actions taken have translated into in the medium term and on the beneficiary level. This "gap" is what would be filled with indicators of *outcome,* with the possibility of determining if output performance has the desired effect on the beneficiaries and, in the case of education sector programmes, on the education system.

Outcome results have a time lag. If a school is built today, it takes some time before learning actually takes place in that school. This feature has given rise to the labelling of outcome indicators as *intermediate*: the information that outcome indicators provide is a consequence of output results, and it will take some time for them to show up in statistics.

The intermediate nature of outcome results has a few important implications. One is that external factors to the education sector programme influence the programme's outcome performance. Economic, political, environmental and demographic factors intervene and make the correlation between output and outcome achievements less clear-cut. To separate various influencing factors is difficult, but not impossible.

[6] All examples given in this section are, for the sake of easy reference, taken from the context of education sector programme support.

Another implication, which is promising, is that the intermediate nature of outcome results provides decision-makers and managers with a possibility to assess programme activities *during the course* of programme implementation. Sector programmes run over the course of many years and that is ample time for identifying the consequences of operations. It allows both governments and donors to determine if their actions are appropriate, and gives them an opportunity to *change* policy based on real performance.

Having said this, one must recognise that analysing outcome indicators is a challenge. The more complicated the aspect under consideration the less straight forward is the outcome indicator.[7] To reduce complexity one must ensure strong conceptual links between all indicators in the results chain.

When dealing with outcome indicators, making distinctions between "straight forward" and "higher-order" indicators is helpful. A typical higher-order indicator is *learning achievement*. A multitude of factors work together to influence the result, which is only detectable in the medium to longer term; 3 years or more is a common estimation.

However, this aspect should not deter the programme manager. While waiting for learning achievement results, more straight forward indicators can give important information (e.g. *pupil teacher ratio, drop out rates*, or *pupil book ratio* that are measurable at least annually). If the programme aims to reduce the pupil teacher ratio as one measure to achieve better learning outcomes, a reduced pupil teacher ratio serves to tell us that things are moving in the right direction.[8]

In summary from a RBM perspective, the critical aspect of outcome indicators is that they can inform policy and decision makers about what their actions translate into. Knowing – again using our fictitious example in section 1.3 – that the school construction programme in the northern province from the beginning already resulted in significantly higher enrolment rates, while the opposite was true in the southern province, serves to support an informed policy response. For some reason, when put into practice in the southern province, programme assumptions about outcome did not come true. The decision-maker now has several options thanks to the information provided by the outcome indicator "enrolment rate". He or she can investigate the immediate causes of the failure and determine if it is reasonable to continue operations and, if so, through what means.

An attempt to summarise the current support for a results focus in programme assistance may comprise the following propositions:

- Argument 1: Focusing on outcome results promises to enhance *decision making quality* by basing it on information of what measures taken have resulted in on the level of beneficiaries.
- Argument 2: Focusing on results can give governments a greater sense of *ownership* when they have the chance of adjusting policy in response to performance information.
- Argument 3: Focusing on results has the potential of changing the nature of *government donor dialogue* for the better through an improved

[7] I.e. the more influencing factors and correlated elements in the cause and effect chain.

[8] This is often referred to as a "proxy" for the higher-order result, i.e. an *indirect indicator* that is easier to measure and that gives a reasonable estimation of other indicators that are more difficult to measure.

joint understanding about the ongoing reform programme rational and its results.

- Argument 4: Focusing on results can facilitate and improve *accountability* both for governments (ability to show results and be held accountable before its electorate) and donors (results reporting to home government).

A more elaborated discussion on these arguments is found in annex 4.

Highlighted issues in this chapter:

1. Results-orientation means that education sector programmes should be increasingly managed by first analysing the performance on the level of the beneficiaries, for education mainly outcomes for pupils, and thereafter adjust actions to enhance programme performance.

2. Results-based management (RBM) is part of a larger development assistance agenda working for harmonisation and programme support. It is in Sida's interest to commit and involve itself actively in this work.

3. The monitoring levels input-output-outcome-impact should be looked upon together as they form a logical results chain (cause and effect pattern).

4. Strong arguments, such as enhanced decision making quality and improved accountability, exist for a wider use of outcome indicators for adjustments of education sector programmes.

2 Identified key performance indicators for the education sector programmes

The term key performance indicator is in this study used to denominate a selection of a limited number of performance indicators that have been *jointly* agreed between major stakeholders, such as the Ministry of Education, development partners and non-governmental organisations, in the formulation of an education sector programme. The aim of key performance indicators is to give a comprehensive overview of developments within the sector on a yearly basis by indicating development trends in crucial elements of the education system. The identified sets of key performance indicators for the selected education sector programmes are included in appendix 3.

Key performance indicators are in this study distinguished from the numerous indicators found mainly in the Ministries' yearly activity plans for the education sector. Ideally, overall key performance indicators are meant to be linked to the activities and input and output indicators in the yearly action plan by providing information for on-going policy adjustment of the action plan.

2.1 Overview of existing key performance indicators

Out of the eleven education sector programme supports selected for the study, ten have been identified to have a set of key performance indicators[9]. The only country without a set of key performance indicators is Bolivia. As mentioned in the introduction, we find it useful to classify the key performance indicators according to DAC's input, output, outcome, impact classification.

It is worth noting that the design of the education sector programme determines how a certain indicator is classified. For example, an indicator such as *share of government expenditure on education reaching most decentralised structures* can either be regarded as given – because programme operations are not concerned with that spending pattern – or it can be regarded as something one would like to see changes in as a result of a programme activity. In the first case the indicator belongs to the input level, since it forms part of the framework into which sector support will be channelled. In the second case, changes in expenditure patterns would be regarded as outcomes.

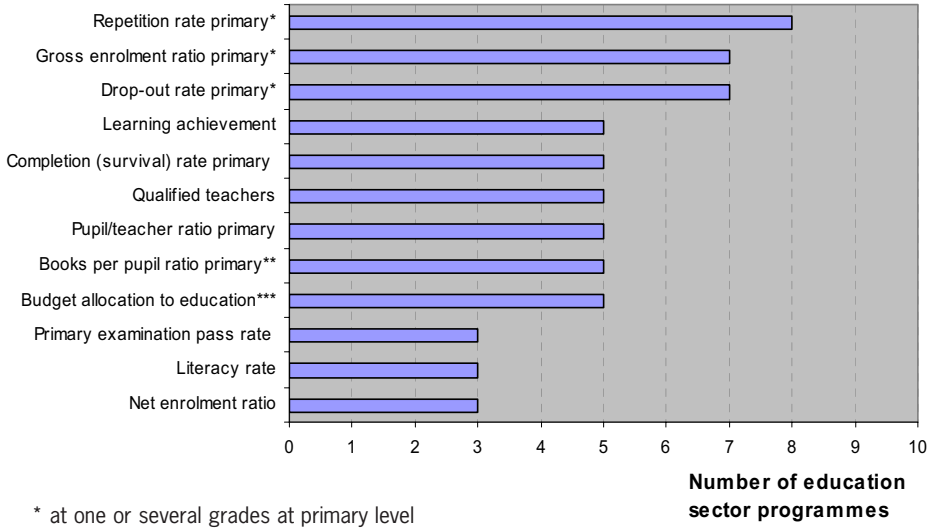
[9] The Tanzanian education sector programme PEDP does not have a jointly agreed set of key performance indicators as such. However, stocktaking reports, annual- and joint reviews use a list of performance indicators to monitor sector performance. This list have here been taken as a 'proxy' for a set of key performance indicators.

As shown in appendix 3, the numbers of key performance indicators vary considerably between the different sector programmes. While the sector programme in Namibia only include eight indicators and those in Honduras and Tanzania contain eleven indicators each, the sector programme in Burkina Faso contains as many as 46 indicators. Bangladesh, Mali, Rwanda, Cambodia, Ethiopia and Mozambique include between 15 and 35 indicators.

Figure 2.1 gives an overview of the frequently adopted indicators in the education sector programmes that Sida supports. There is no single indicator used in all ten education sector programmes. However, repetition rate (eight programmes), gross enrolment ratio (seven programmes) and dropout rate (seven programmes) at primary level are all used frequently. These indicators are in contrast to indicators on primary examination pass rate, literacy rate and net enrolment ratio at primary level, which are only used in three sector programmes.

It is interesting to note that indicators on completion rate and learning achievement at primary level are included in as many as half of the sector programmes, even though these indicators place a considerable demand on the countries' data collection systems. Seven out of the eleven frequently adopted performance indicators are core EFA indicators. Overall, however, it is clear that other indicators dominate the sets of key performance indicators for the different education sector programmes.

Figure 2.1 Frequently adopted key performance indicators



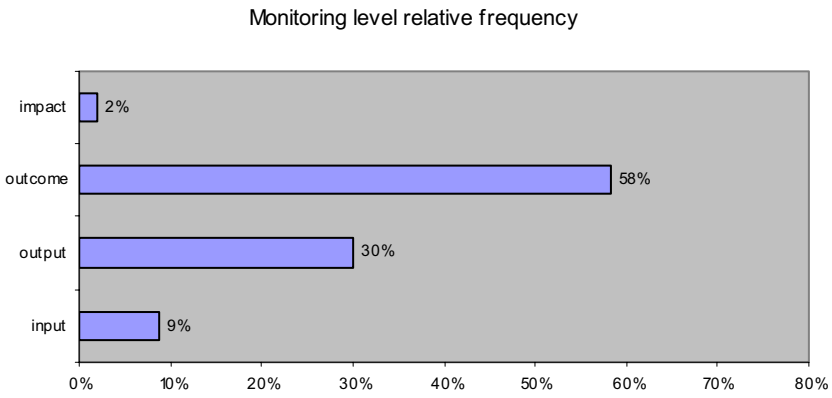
* at one or several grades at primary level

** any kind of schoolbook

*** public expenditure on education, either as % of GDP or % of state budget

In figure 2.2, the key performance indicators for the ten education sector programmes have been classified according to the different monitoring levels in the results chain (i.e. input, output, outcome, impact). The figure shows the relative frequency of each monitoring level. On average 58% of all formulated key performance indicators are defined on the outcome level.

Figure 2.2 Key performance indicators by monitoring levels



While most education sector programmes have a relatively strong focus on indicators at the outcome monitoring level, indicators at the input and impact monitoring levels are rather few. However, Cambodia and Rwanda put some emphasis on indicators at the input level. Cambodia, Mozambique, Namibia, Rwanda and Tanzania have more indicators at the output than at the outcome monitoring level. Rwanda is the only country where the entire results chain (from input to impact) is reflected in its' set of key performance indicators.

2.2 Correspondence with the EFA core indicators

Monitoring of the Education for All core indicators have been agreed by the international community to be of high relevance for achieving the goals of education for all. It is therefore interesting to see to what extent the EFA core indicators correspond to the selected key performance indicators in the education sector programmes under observation in this study.

First of all, figure 2.3 shows that all ten education sector programmes with key performance indicators use EFA core indicators to some degree. Rwanda has the highest correspondence ratio, with half of the 18 EFA core indicators as key performance indicators. The sector programmes in the other countries are rather alike as they only have between three and six of the EFA core indicators (out of 18) included as key performance indicators.

Figure 2.3 Coverage rate between EFA core indicators and key performance indicators

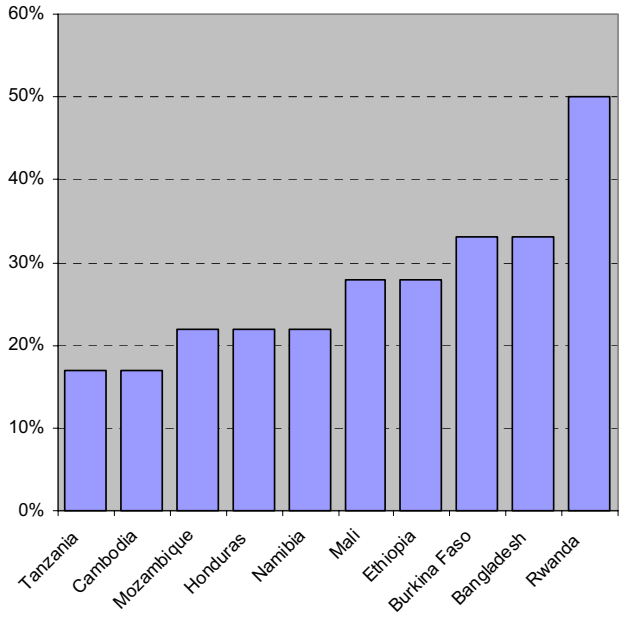


Figure 2.4 on the next page shows how frequently each EFA core indicator is included as a key performance indicator. Not surprisingly, as repetition rate by grade and gross enrolment ratio are EFA core indicators, these are the ones that are included most frequently. It is worth noting that the first two EFA core indicators related to early childhood development, as well as the indicator on public current expenditure on primary education as percentage of GDP are not found to be key performance indicators in any of the education sector programmes.

2.3 Correspondence with indicators in the Poverty Reduction Strategy Papers (PRSPs)

All countries included in the study except Namibia are involved in the PRSP process. Consequently, these countries have in their PRSPs formulated indicators in order to monitor poverty reduction. The PRSPs are meant to be the overall policy framework for the country's work to reduce poverty. Education is a priority area aimed at achieving poverty reduction in all of the PRSPs. We find it useful therefore to examine to what extent education indicators in the PRSPs correspond to key performance indicators in these countries education sector programmes.

Figure 2.5 shows that there are huge variations in the degree of correspondence between the education indicators in the PRSPs and the sector programmes' key performance indicators. While Burkina Faso has chosen to have exactly the same indicators in both documents, Honduras does not have one indicator that is the same in the PRSP and the education sector programme. In between, we find a whole range of coverage rates.

Figure 2.4 EFA core indicators as key performance indicators in selected education sector programmes

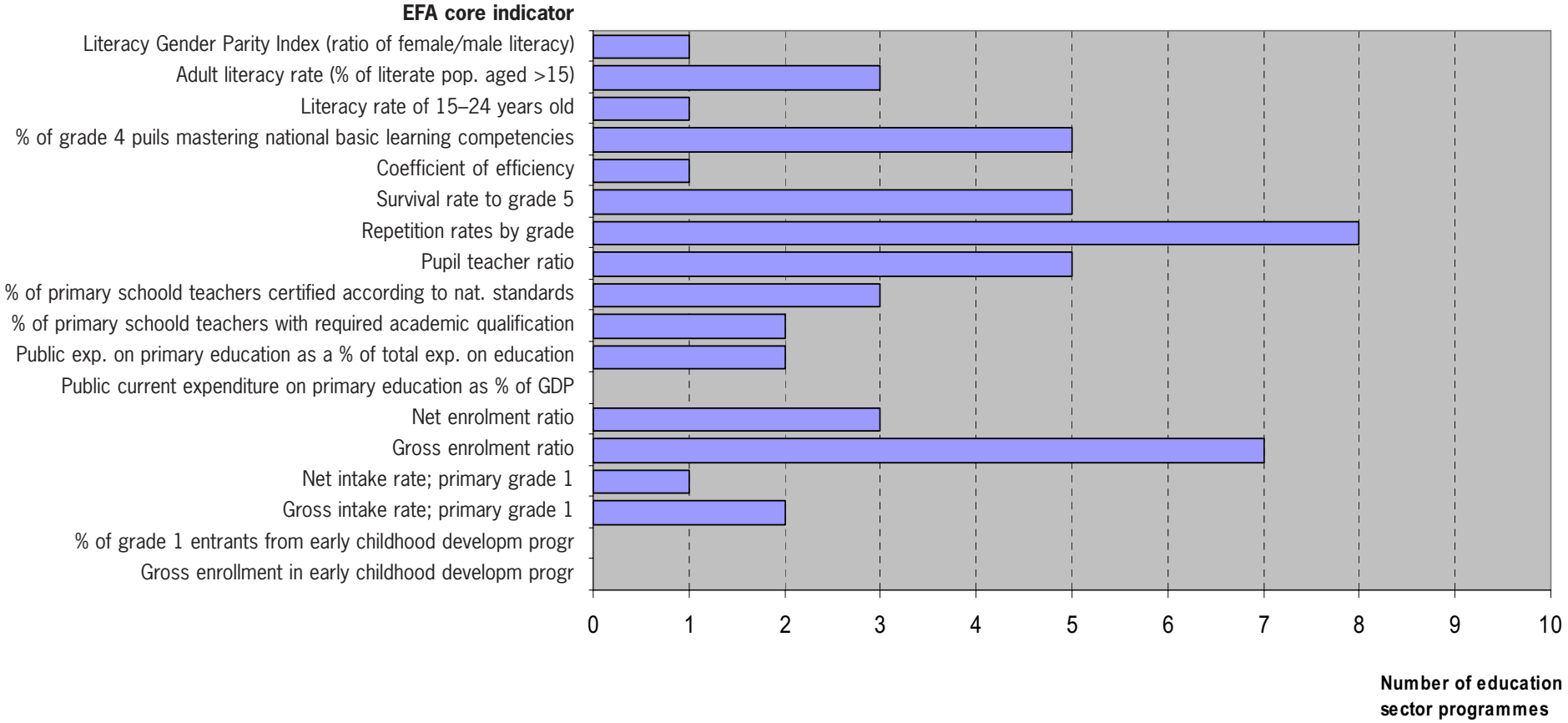
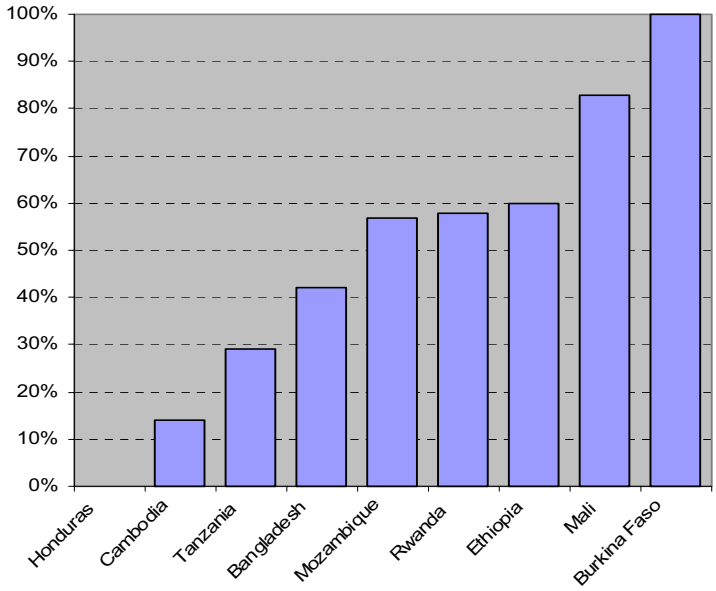


Figure 2.5 Coverage rate between education indicators in the PRSPs and the key performance indicators



One of the reasons for these large variations is probably a time factor. Both the education sector programmes and the PRSPs are recent phenomena and they have in most cases been developed as separate events. There are, however, examples of countries, such as Burkina Faso and Rwanda, where efforts are made to harmonise the two processes.

2.4 Concluding remarks

First of all, it is encouraging to learn that as many as ten of the eleven education sector programmes have actually formulated key performance indicators. This provides a very good basis for promoting a more active use of these indicators for monitoring.

Another cheering finding is the relatively strong focus on indicators at the outcome monitoring level. We would however have expected more countries than Rwanda to pay attention to the whole results chain.

We have also observed that the majority of the key performance indicators have been defined for its' particular setting and are not found elsewhere. However, it is possible to identify a group of indicators that have been adopted more frequently. Repetition rate, gross enrolment rate and dropout rate at the primary level are the most frequently adopted indicators.

We would have expected a somewhat higher coverage rate between the EFA core indicators and the key performance indicators. The national context should of course be decisive on which indicators to choose. It is however uncertain to what extent the EFA core indicators have been a point of departure in the formulation of key performance indicators. Finally, we have noticed that the coverage rate with the education indicators in the PRSPs vary considerably between the different countries.

Highlighted issues in this chapter:

1. Jointly agreed key performance indicators for the monitoring of trends and crucial elements of the education sector programme are focused upon in this study. These key performance indicators should be distinguished from other indicators abundant in the education sector.

2. As ten of the eleven education sector programmes included in the study have identified sets of key performance indicators, a good basis exists for an enhanced use of these indicators for monitoring purposes.

3. The coverage rate between the EFA core indicators and the key performance indicators in the selected programmes is rather low. It could be recommended that Sida, in its' future dialogue on key performance indicators, stresses the importance of having the EFA core indicators as the starting-point for the formulation of key performance indicators.

4. The coverage rate between PRSP education indicators and the key performance indicators in the selected education sector programmes vary considerably. Sida could, in its' dialogue with those countries with low coverage, highlight the importance of harmonisation between the indicators used in the PRSP and the sector programme processes.

3 The absence of results orientation in the education sector programmes

3.1 The exploration of results orientation

The previous section described what key performance indicators had been formulated in selected programmes. Having established this, the next question is: how are the indicators used?

Answering that question has proved challenging. It involves establishing if, and how, results information were presented in the programme documentation.

Prior to examination, four areas of importance for a results-oriented monitoring of programme support were identified. These areas were selected from previous experience of critical focal areas in programme support. Did programme documents discuss future activities from the point of view of:

- *sector performance* – the evolution (trend) of sector performance indicators as defined by the sector strategy on the outcome and impact levels.
- *activity performance* – the status of the sector implementation plan and the execution of activities (normally input-output level)
- *financial performance* – its status in terms of the use of financial contributions relative financial performance goals (input and sometimes output level), management of donor inflow mechanisms, audits etc.
- *institutional capacity* – progress made towards an education delivery system on the institutional (Ministry) level, e.g. decentralisation measures, staff training, financial management, procedural co-operative arrangements etc.

All these areas are important for results orientation. Given this perspective, however, a basic assumption would be to approach the programme activity complex from the sector performance angle. In other words, the *key indicators of sector performance* should be the entry point to the question of what to do next. Activity schedules and institutional capacity building are important but should follow as a consequence of an analysis of how the sector responds to measures taken.

Linked to the exploration of these four areas of importance for a results orientation, we sought to address the following questions:

1. *Against what background did programme documentation discuss future activities and programme orientation*? If this was done against a background of sector performance information, that would be an indication of results-orientation.
2. *How did programme documentation describe the link between agreed programme activities and sector performance*? Reasoning that if activity decisions were taken against a background of sector performance information, the relationship between a particular action and the sector characteristic motivating it would be described.
3. *How did programme documentation describe its monitoring mechanism and the use of it*? If programme management was results oriented, a critical component would be its monitoring mechanism; i.e. how sector progress information was followed up and acted upon.
4. *How did programme documentation describe the policy link between the sector programme and the PRSP*? If this link was made explicit, there would be reason to believe that the programme paid attention to the policy level and its coherence from a decision-making perspective.

In specific response to the Terms of Reference, we then explored the use of two outcome indicators. The first one is the "gross enrolment rate" because of its' presence as a goal in all the selected programmes. The second one is the more complicated (higher-order) outcome indicator "learning achievement". It was chosen because of Sida's desire for better information on what pupils learn in school.

3.2 Findings of results orientation in the education sector programmes

3.2.1 Sector and activity performance

The overall finding is that *activity performance* is by far the predominant aspect in programme documentation. Although there is considerable variety between the programmes, on this point almost all programmes except Mozambique, Mali, and Rwanda are alike (Mozambique and Mali oriented towards institutional development while Rwanda is sector performance oriented).

As regards sector performance, while it should be the centre of attention from a results perspective, it is notably out of focus in annual reviews and other programme documents throughout. In Burkina Faso and Ethiopia, it is clear that one is moving towards an increased focus on results to guide programme priorities. Although this aspiration is not carried to its conclusion these programmes represent good examples in the sample of sector performance focus.

The only other programmes with a sector performance focus are Rwanda and Cambodia. Because of their early stages of development, however, the programmes are difficult to assess. Annual reviews that discuss future programme orientation in a comprehensive way are yet to be conducted, but the attention paid and statements of intent presented are unique in the sample. It is the case that many original sector strategy documents speak of the need to let programme operations be directed by sector performance indices. The Rwanda case is, however, distinctly different from the others in this regard. Here, the mechanisms and logic

through which results information should feed into the decision making process are made explicit on the overall level.[10]

A central finding is that the relationship between *programme activities* and *sector performance* is weakly described in narrative reports. That is, programme documents display an inability to describe how information about sector performance, good or bad, guide programme decision making and activity priorities. Our interpretation of this feature is that programmes are approached not from the results side but from a general idea about what measures are likely to result in particular outcomes.

Two groups of documents have been examined: a) sector strategies and annual reviews – primarily government documents; b) supporting documents such as joint review missions (JRM) and sector evaluation reports – mainly donor group documents. It is foremost in the supporting documents that one finds reviews of key sector characteristics. Aspects such as enrolment, repetition and drop-out rates, teacher training levels and the like are discussed, often in a comprehensive manner and often with the original key sector performance indicators as a point of departure. However, in terms of drawing conclusions from the findings on the operational level, there is little to account for. Sometimes, this aspect is explicitly left for further elaboration on the occasion of the annual review.

Annual review documents, in turn, seldom discuss sector priorities against a background of sector performance. The impression is that of a dim apprehension of the programme rational and the programme as a means to correct sector imbalances. There are, however, exceptions. The Ethiopian Annual Reviews (4th and 5th) are particularly inclined to formulate policy responses to observed sector characteristics. This is encouraging, although: a) its interpretation of observed patterns (and adequate responses) deviate from that of the JRM; b) there is no attempt made to prioritise between proposed measures.

This review of documentation may not comprehensively illustrate the annual review process and its results. It may be that, in individual cases, a full response to reported sector characteristics is made and reflected in subsequent action plans. However, our suspicion that this is not the case is supported by the fact that when the review process starts anew in a subsequent year, such deliberations are not reflected. When the review cycle starts again, it is striking that each document is, to such a limited extent, based on the recommendations from the previous period.

3.2.2 Financial and institutional performance

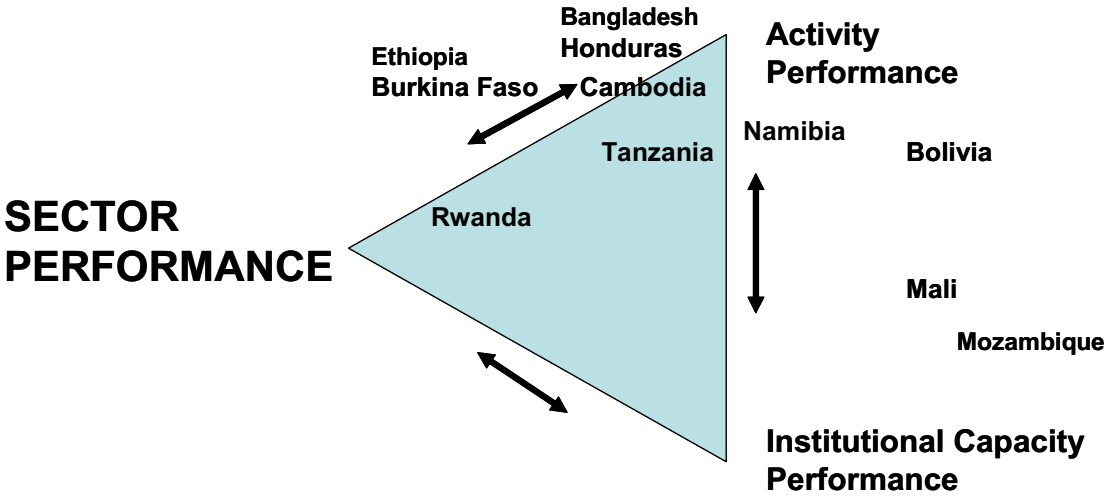
It was found during examination that the last two aspects of performance – *financial* and *institutional* – were less easily distinguished from one another. There was the risk of misinterpretation by the authors if clear distinctions were made. As a group, however, they could be broadly labelled *institutional capacity development*, and are a primary concern to many programmes. Because of the institutional deficiencies generally encountered in targeted countries, this is not surprising. What is more surprising, however, is the often disproportional emphasis they receive. One view that is reflected in the documentation is that 'as long as institutional constraints are not corrected, having programme priorities directed by

[10] See Joint Review of the Education Sector, May 2003, point 1.1 and "Planning & Management", pp. 4–5.

results performance is not relevant'. One example of a programme strongly emphasising institutional performance is Mozambique, which is an extreme case in the sample. Others are Mali, Namibia, Bolivia, Cambodia and Bangladesh.

The figure below represents an attempt to visualise the orientation of sector programmes in relation to sector performance, activity performance and institutional capacity performance.[11] Note that the exact positioning of each sector programme is indicative and should not be interpreted as absolute.

Figure 3.1 Results orientation in the education sector programmes



Annex 2 includes an analysis of results orientation and the use of key performance indicators for each country's education sector programme.

Another aspect of importance is that the mechanisms through which sector performance information should influence managers and decision-makers, at various levels in the administrative structure, are never discussed comprehensively. In an RBM perspective, one would assume managers to act in response to a set of critical indicators displaying the progress and influence of their actions. As one approaches the top policy level, the means of influence are increasingly obscure. The mechanism in question here is normally called a *monitoring mechanism*, and findings regarding a presence of such a mechanism in studied education sector programmes will be discussed in the next section.

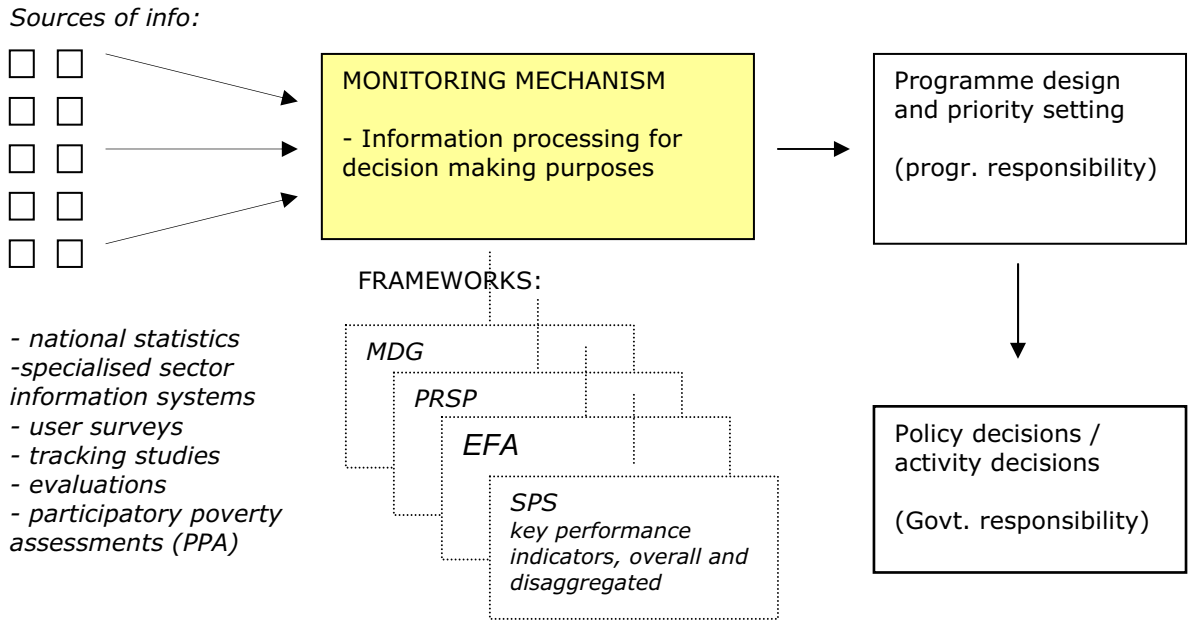
3.2.3 Monitoring mechanisms

The monitoring mechanism lies at the heart of a results oriented management approach. It shall record the evolution of education sector indicators, and feed that information into the decision making process so that decisions and priorities can be made based on real knowledge about sector programme impact at the beneficiary level.

In each programme examined, the monitoring mechanism is described as something to be created or enhanced. In no case one finds a fully operational monitoring mechanism similar to that mostly described in education sector development plans. In brief, the way monitoring mechanisms should function is depicted in the figure below:

[11] The positioning of each programme in the figure was done in response to questions 1 and 2 in section 3.1 above.

Figure 3.2 A sector programme monitoring mechanism



The figure represents a sequence from the collection of basic information and statistics, to their ultimate use by decision and policy makers. From left to right, various "sources of information" are fed into the monitoring mechanism that processes the information within different frameworks. These frameworks, in turn, each represent a rational – i.e. a cause and effect pattern – against which the information is assessed. A sector programme support (SPS) framework can be one of them. Processed information is then presented to key programme managers, who, in turn, formulate a response manifested in a programme design (including priorities such as budget allocations, activity focus etc.). The suggested response is then presented on the highest policy and decision making level; in this case the government.

From a programme support perspective, the monitoring mechanism is the pivotal point of the inter-agency dialogue. This is where information about what programme operations have resulted in are recorded, and thus provide the starting point of a programme dialogue between the government and their partners.

Strictly speaking, suggesting that monitoring mechanisms do not exist would be both accurate and inaccurate. In many cases, JRMs, national education statistics and the like do function as the equivalent of a monitoring mechanism. Their drawback being that they are fragmented and seldom draw conclusions against a background of the education sector programme rationale. Existing monitoring systems are especially weak in the transition between the various boxes above (indicated by arrows). This means that:

1. The various information sources are not co-ordinated or fed coherently into a central sector programme processing unit;
2. sector performance information is not influencing programme design or priority setting in a structured manner;
3. sector performance information is not influencing activity and policy decision making in a systematic way.

3.2.4 The link between sector programmes and the PRSPs

Out of the eleven countries studied all but one has a PRSP (Namibia). Comparing formulated indicators for the education sector in the SPS and the PRSP it is obvious that they represent separate processes. Most sector strategies have few if any references to the PRSP or vice versa. One distinct exception is Burkina Faso where, after a re-formulation of the PRSP and sector programme in 2003, there is a total correspondence between the PRSP and education sector programme indicators of sector performance.

Different sector indicators would be of value on the PRSP and SPS levels. It is reasonable to believe PRSP education monitoring to be more concerned with prioritisation between sectors than the SPS; presumably more concerned with prioritisation *within* the sector. Nevertheless, a high correspondence between the two sets is reasonable because they concern the same subject. It is rational to monitor education sector indicators – wherever they are formulated – within the framework of the same data collection and processing mechanism. There are no indications of such collective monitoring mechanisms anywhere in the sample.

From a results-oriented perspective, decision making from the policy to the implementation levels should be coherent, and consistent with the same information and analysis of sector spending (and activity) priorities. In this sense, a strong conceptual connection between the PRSP and the SPS is desirable. Currently, the link appears to be weak with the exception of Burkina Faso and Rwanda.

It is likely that the predominant management approach, by focusing on measures, contributes to the lack of co-ordination between the SPS and PRSP levels. This is because the activity based focus renders almost any manager unable to raise his or her head above the landmass of detail and discuss overall policy and prioritisation.

Since the SPS usually formulates more indicators for the education sector than the PRSP, the figure in section 2.3 (figure 2.5) shows how many of the PRSP indicators reappear in the SPS set. Note the considerable spread from Burkina Faso (100%) to Honduras (0%).

3.3 The use of selected key performance indicators

3.3.1 School enrolment as an outcome indicator

Enrolment is a critical outcome indicator in education sector programmes. Enrolment describes the basic feature of how many pupils go to school. From that point of reference, other important quality measures can be derived, such as drop-out rates, pupil-teacher ratios, repetition rates, completion rates and so on.

In appendix 3 one learns that the indicator "gross primary enrolment" forms part of seven of ten programmes. In reality, however, the remaining three programmes have similar indicators that measure aspects of the same feature, although slightly different in scope; In Cambodia we find "net enrolment rate", in Honduras "admission 1st grade" and in Namibia "gross intake rate primary 1"[12]. So in fact, the aspect of enrolment concerns all programmes for which key indicators have been formulated.

[12] From a statistical viewpoint, these measures will tell us slightly different things but are all shedding light on the same feature; enrolment.

It is also apparent that education sector/programme review documents often, at least when a programme has developed for some time, have a clear focus on enrolment in schools. Almost any such description of sector performance/development sets out discussing trends and targets in enrolment.

From an RBM perspective, the critical question would be how information about enrolment trends influences programme-operational priorities? It was found that information provided give little evidence. On the other hand, many reviews give enrolment performance an interesting perspective. Two examples illustrate this point:

In both Tanzania and Ethiopia the latest sector review documents draw similar conclusions regarding enrolment.[13] In recent years, both sectors have made significant progress. In Tanzania, primary enrolment leapt from 1.14 million in 2001 to 1.63 million in 2002, an increase by 43% in one year. Although the increase could not be sustained in 2003 (– 9.2%), overall enrolment has reached a new level. The situation is similar in Ethiopia.

At the same time both documents stress a simultaneous failure to perform well with respect to other outcome indicators and targets – such as pupil/teacher ratio, drop-out and repetition rates, textbook/pupil ratio and the share of girls in primary enrolment – which in the same time period, all worsen. Looking again at Tanzania, while enrolment is booming, the pupil teacher ratio also increases (from 46/1 in 2001 to 57/1 in 2003). Examination results reinforce the negative effect of higher pupil teacher ratios; worsening in regions where the pupil-teacher ratio had increased above average and improving in regions where the opposite is the case.

The picture depicted is hence that of two programmes over-emphasising enrolment while activities for teacher training, textbook production, classroom production and general education quality have not kept pace. Without going into detail about what aspects may have created the situation, or what the reviews suggest as remedies, it can be concluded that in both Tanzania and Ethiopia there is clear scope for a response, both on the policy level and, in particular, on the operational level.

3.3.2 Learning achievement as an outcome indicator

We have in recent years seen a growing interest in learning outcomes among politicians and education policy-makers around the world. Traditionally, variables such as number of teachers and availability of textbooks have been used to measure how well education systems function. However, research has shown that there are weak links between the various input and output variables and what comes out from the education system in the form of learning.

Learning achievement is one of the six target dimensions of the 'Expanded Vision of Education' spelled out at Jomtien in 1990. Learning achievement is also included as one of the six goals in the Framework for Action on Education For All, adopted in Dakar in 2002.[14] Linked to this, one of the EFA core indicators (no 15) cover learning achievement.[15]

[13] For Ethiopia the *Joint Review Mission*, November 2003, and for Tanzania the *Joint Review of the PEDP*, December 2003.

[14] The 6th EFA Goal (Dakar, 2000): "Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numerically and essential life skills".

[15] "Percentage of pupils reaching grade 4 mastering a set of nationally defined basic learning competencies"

The aim of learning assessments is to determine from a sample the status of student learning in an education system and to detect the factors that influence the degree of learning for different sub-groups in the population.

One may make a distinction between national and international learning assessments, where the latter allow for comparisons between countries. Most of the participating countries in the international assessments are OECD-countries. However, during the last decade a number of developing countries have participated in learning assessments such as SACMEQ, PASEC, MLA and Laboratorio. There are also a number of national assessments that have been conducted independently of the four major initiatives mentioned above.

Compared to national examination systems, learning assessments have the advantage of not serving as a filter to select students for passing on to higher levels in the education system. Too often, national examination systems fail to measure the status of student learning, mainly because they are biased towards rote learning for selection rather than towards capturing the goals of the curricula.

We can observe that of the eleven sector programmes included in this study, five of them have included an indicator on learning achievement in their list of key performance indicators. The table below shows how these indicators have been formulated:

Table 3.1: Key performance indicators related to learning achievement

Bangladesh:	The number of students achieving acceptable levels of literacy and numeracy to increase by 50% by 2009
Ethiopia:	Grade 4 sample assessment of learning achievement
Honduras:	Increase the academic achievement of students in the sixth grade in mathematics and Spanish
Mali:	80% of children will read at an acceptable degree of fluency by the end of Grade 2
Rwanda:	Learning achievements in core subjects (national assessment scores)

Even though these sector programmes have indicated their ambition to monitor learning achievement, most of them seem to have difficulties in living up to this ambition. The main reason for these difficulties is probably the underestimation of the human (and financial) resources needed to conduct learning assessments of good quality. One exception is Honduras, where a system of monitoring learning achievement on a regular base in primary education is in place. This is also the case in Bolivia, even though the education sector programme in Bolivia has yet to formulate key performance indicators for the monitoring of the programme as a whole.

Apart from Honduras, we observe that countries such as Burkina Faso, Cambodia and Namibia, which have conducted learning assessments, have not included this important information of the outcome of schooling as a key performance indicator. Overall, there seems to be a problem of integrating the learning assessments in the monitoring system of the education sector as a whole. In some countries, this might be a sign of lack of national ownership in conducting learning assessments.

Learning assessments provide a useful tool for information on the outcome of schooling – information that is desperately needed for policy and decision-making in the education sector programmes that Sida supports. At the same time, experiences from the last decade of conducting learning assessments in poor education systems demonstrate how difficult it is. Several initiatives, mainly driven by different donors, have co-existed, not seldom in the same partner countries. Considering the significant costs involved, this is not a cost-efficient way of using scarce available human and financial resources. National ownership and joint action within programmes should be emphasised in the future work with learning assessments.

Highlighted issues in this chapter:

1. From a RBM-perspective, sector performance should be the entry point for the monitoring of education sector programmes. The study finds that this perspective is out of focus in most programme documents. Instead, reporting on activity performance is the predominant aspect.

2. A description of how information on sector performance guide programme decision-making and activity priorities is missing in programme documentation.

3. Institutional capacity development is emphasised in several programmes. In these cases this emphasis has shifted focus away from a results-oriented perspective.

4. Enhanced monitoring mechanisms are crucial for effective sector programme monitoring. Such mechanisms should be the starting point of a programme dialogue between the government and their partners.

5. Indicators of enrolment rates point towards a scope for formulating programme responses to observed outcome patterns. In some cases there is also a solid foundation upon which to base such responses.

6. It is recommended that Sida in its' dialogue with partner countries emphasises the urgent need for better information on learning achievement. The political will of the partner country of establishing and integrating national systems for learning assessment should be decisive for Sida's dialogue and support in this area.

4 Recommendations

This study has highlighted the importance of using indicators, especially at the outcome level, as a tool for focusing more effectively on education sector performance monitoring. By looking at key documents for the eleven sector programmes that Sida's education division is supporting, the study has identified what indicators have been formulated for the different programmes and to what extent these are being used for monitoring and decision-making purposes.

4.1 Key challenges for all stakeholders in education sector programmes

We will point to some issues that we find to be key challenges for a move towards results-based performance monitoring of the education sector programmes under observation. The highlighted challenges are important for the partner countries as well as for the donor community, including Sida.

- *To use a set of key performance indicators for monitoring of sector performance*

  The critical capacity called for is an ability to use performance information for the purposes of sector programme decision-making and re-adjustment by the partner government. That, in turn, requires a number of abilities including:

  - A better understanding of the role of indicators and monitoring mechanisms
  - A stronger capacity to formulate intermediate outcome indicators with explicit linkage to programme activities/assumptions and reliant on available information sources (preferably national).
  - An improved ability to show that performance information is used for decision-making and policy adjustment, i.e. that there is a policy response to observed patterns.
  - Better ways of communicating the significance of information on progress towards performance targets to all decision-makers in the system.

- *To set up functioning monitoring mechanisms designed to provide input to the decision making process on all executive levels*

  Emphasis should be put on designing coherent monitoring mechanisms that can serve decision-makers throughout the system.

The experience this study can point to with regard to programme monitoring mechanisms is that they are in most cases weak, fragmented and poorly utilised. The need for enhanced monitoring mechanisms as a prerequisite for a move towards results-based management of the education sector programmes can not be over-emphasised.

- *To link together the PRSP and SPS policy frameworks coherently*

  If a number of stakeholders work simultaneously on different development frameworks for the same policy area this will cause distress in the form of possible duplication and omissions. But most importantly, there will be no clear framework or focus within a particular sector to prioritise activities and to allocate resources.

4.2 Recommendations for Sida's monitoring procedures of education sector programme support

"Managing for results involves a change in mindset – from starting with the planned inputs and actions and then analysing their likely outcomes and impacts, to focusing on the desired outcomes and impacts (for example on poverty reduction) and then identifying what inputs and actions are needed to get there. (OECD/DAC, 2004)."

Sida as an organisation is still quite far from having a management culture that is focused on results. Other bilateral agencies, such as DFID and CIDA, have come much further in this respect. The effort needed to achieve the change in mindset that is mentioned in the citation above should not be underestimated. Such a change involves much more than introducing new administrative and operational systems. It touches aspects like common values and behaviours, management approaches and incentive structures. These aspects take time to change. However, there are some positive signs of Sida moving towards a stronger focus on results based management. Different initiatives at different locations within the Sida organisation are presently (mid-2004) studying the issue of how to work within the framework of results based management. It is however unclear what priority Sida's management board gives to this issue[16].

Our study concludes by giving some recommendations on how Sida could improve its' monitoring of results in the education sector, the purpose of which is twofold. First, to instigate a stronger results focus in Sida's education sector programme management, and second to make preparations for an enhanced Sida input – and ability to contribute – to the inter-agency dialogue necessary to conduct joint programme assistance:

- *To put a stronger focus on results monitoring during the agreement phase*

  At present, Sida's education support has a strong focus on the preparation phase in the contribution management cycle (including the initial preparation, the in-depth preparation, the agreement and the retrospective follow-up phases). This study strongly recommends that Sida's staff working with education support carries through a shift in focus towards putting more human resources for monitoring. This

[16] For example, this issue was stressed in a recent study by Sida's internal audit (Internrevisionen 03/03) by pointing to the lack of a powerful co-ordination of Sida's steering from a holistic perspective.

implies that the human resources put on the preparation phase should diminish.

- *To put greater emphasis on previous results, indicators and monitoring procedures during the preparation phase*

  To a large extent, we have the impression that the present assessments for education support are forward looking, rather than building on previous performance results. When programme operations are motivated it should be done against a background of sector developments, trends and characteristics. In this respect, Sida is struggling with the same problem as the education sector programme it is supporting, namely the difficulties in using performance information for decision-making and policy adjustment. One way of strengthening this aspect is to put a stronger emphasis on indicators and monitoring procedures during the preparation phase – not only retrospectively, but also by planning for the use of indicators and monitoring during the agreement phase.

- *To develop monitoring routines*

  Currently, the education division does not have any routines for how to conduct monitoring of education sector programmes. It is largely up to each programme officer to "invent" his or her own monitoring procedures in relation to the different sector programmes. It is recommended that the education division considers how to develop some kind of routines for results monitoring of the education sector programmes that it is supporting. In this context, the Sida Rating System (SiRS) should be recognised as a useful tool for managers to get acquainted with reported material on programme performance. It should be noted, however, that SiRS is a unilateral system uncoordinated with those of other donors and partner governments and is not designed as a review of the entire results chain.

  It is recommended to make it a routine to specify key monitoring issues in the annual business and country plans. Another example of what could be done is to develop a template for a Terms of Reference for Sida's participation in annual review meetings. In conjunction to this, the travel reports could be formulated as a more direct response to such a Terms of Reference.

  Lastly, and as part of the inter-agency dialogue in each programme, Sida should by default be a strong advocate of the development of functioning programme monitoring mechanisms.

- *To develop tools and competences*

  Several programme officers have expressed the lack of competence and the lack of guiding tools as two of the major obstacles towards improved monitoring of Sida's education sector programmes. As part of the education division's aim to be a learning organisation, training (for the staff in the field and at headquarter) on how to use indicators and performance information for management decision-making is highly recommended.

Annex 1

Terms of Reference for desk study of indicators used in Sida's support to education sector programmes.

1. Points of departure

Sida's move towards programme support has strong implications for the organisation's monitoring procedures. In the education sector, working within Sector Programmes implies that it is no longer possible for Sida to have detailed knowledge of the use of the Swedish financial contributions. To be able to monitor education sector programmes, it becomes necessary to focus on the results of the activities undertaken within the programmes. In this framework, an increased focus on programme performance indicators is a useful means to monitor for development results. In management terms, such a perspective is generally referred to as Result Based Management (RBM).

This study should thus build on an increasing international awareness of the use of indicators as a tool in RBM. Monitoring for development results is increasingly becoming a core issue for all stakeholders in development. At the international level, OECD/DAC provides a platform for sharing practices and learn from each other and to advance monitoring for development results on the agenda's of members and partner countries.

RBM is also in accordance with the present thinking within Sida. The final report from Sida's group for programme support points to the need for Sida to pay more attention to the ability to show results when working within sector programme support. Sida's Method Development Unit has recently initiated a work aiming at suggesting ways for Sida of improving its' ability to measure results of programme support.

RBM has organisational as well as policy implications. To understand these implications, it is important to have an idea of what RBM is and for what purpose indicators and monitoring mechanisms should be used. The general purpose of looking at indicators is to look for an objective answer to an important question with an open mind. Not surprisingly though, indicators are often interpreted and targets set in a biased way, perhaps to support previously held beliefs, for the purpose of promoting a political party, capturing public opinion, attracting funding, etc.

Properly used, however, indicators and monitoring systems should serve as an input to the decision-making process, where the decision-maker, both government and development partners, uses the indicator(s) as a tool for policy adjustment and programme improvement. Again, if

properly used, indicators will reflect real performance and suggest where systems are failing: thus offering an indication as to how policies can be modified.

Sida's education division sees the need to get an overview of which indicators are used in the sector programmes in Sida's partner countries, and to learn more about their proper use and what implications that has for its organisation and policy-making.

The education division has previously commissioned a study on progress and result indicators (Sida, 2003) where the EFA indicators where classified as input, output, outcome and impact indicators in accordance with DAC guidelines*. This study intends to use the same classification, and "map" the indicators used for monitoring progress in the education sector programmes and PRSPs according to the input, output, outcome and impact classification.[1.]

Apart from the general focus on the use of EFA indicators, the education division also sees a need to focus specifically on outcome indicators as a means to monitor programme performance as they are under way. In this context, 'learning assessments' as outcome indicators has particular importance to the division and will be discussed in more detail.

2. The Assignment

The overall aim of the study is to guide Sida's education division on how to improve its' use of education indicators, outcome indicators in particular, as a useful means to monitor for development results.

The specific objectives of the study are to present:

1. an overview of the existing indicators in education sector programmes and PRSPs in Sida's partner countries and an analysis of the extent to which these coincide with the EFA indicators.

[1] In brief;

Indicators of **input** measure the financial, administrative and regulatory resources provided in a programme. *Ex[1]: Share of budget devoted to education expenditure, number of classrooms available.*

Indicators of **output** measure the immediate and concrete consequences of the measures taken and resources used. *Ex: Number of schools built, number of teachers trained.*

Indicators of **outcome** measure the intermediate results or consequences of output at the level of beneficiaries. *Ex: average repetition rates in primary school, pupil teacher ratio.*

Indicators of **impact** measure the long term and aggregated results or changes in a segment of society targeted by an operation. *Ex: Literacy rates, portion of the population with tertiary education.*

2. an analysis of the relevance of outcome indicators as a link in the monitoring of progress. In particular, the use of learning assessments as an outcome indicator is of interest to Sida's education division.

   Main tasks:

   - to clarify the meaning of outcome indicators as a link in the monitoring of sector programme supports.
   - to analyse the implications for the monitoring of sector programme supports of using outcome indicators
   - to pay special attention to learning assessments as an outcome indicator by providing an overview of existing learning assessments and to analyse to what extent these are being used as outcome indicators in Sida's sector programme supports.

3. a brief overview of how the indicators are used in the education sector programmes that Sida supports.

   Main task:

   - to review how information about set targets and indicators is reflected in annual reviews, and treated for the purposes of programme and policy adjustment.

4. recommendations on steps to be taken by Sida's education division to align its' organisation and policy-making to a result based management (RBM) system

Sida's education division is presently (more or less) involved in sector programme support to the education sectors in the following countries:

Africa:	*Asia:*	*Latin America:*
Burkina Faso	Bangladesh	Bolivia
Ethiopia	Cambodia	Honduras
Mali		
Mozambique		
Namibia		
Rwanda		
Tanzania		

The study should cover all of these countries.

5. Methodology

The study is commissioned by the education system working group at Sida's education division. The study will be conducted by Martin Schmidt (consultant) and Anna Haas (the education division).

The first part of the study includes a document review in order to get hold of existing sector support indicators for the relevant countries/ programmes. Key documents are: education sector strategies and plans, and PRSPs, and to structure the material according the DAC indicator classification input, output, outcome, and impact.

The second part, on the use of the results, should be conducted through an assessment of annual reviews and monitoring documents for the said programmes and, if need be, by interviewing a few key persons

in each partner country. It is important to limit this part of the study by not including too many actors.

After the first and the second part of the study, a report will be compiled that should include recommendations on the implications of RBM for organisation and policy-making at the division based on the review of current practices.

The study team should at least twice present and discuss the preliminary findings with the education system working group. By the end of the study, a workshop on the study will be organised with the whole education division. Programme Officers in the field should have the opportunity to contribute to the study. The study should be seen as an important input for discussions on monitoring mechanisms during the next education division's conference for programme officers in Stockholm and in the field, planned for 6–10 September 2004 in Paris.

6. Time frame and Reporting

The study should be conducted between January and May 2004.
The study should be written in the English language and should not exceed 20 pages.

Annex 2

The use of existing key performance indicators in the selected education sector programmes

Bangladesh

The second phase of Bangladesh's Primary Education Development Programme (PEDP II) starts in 2004. While the first phase of the programme (PEDP I) was based on the project modality, the second phase has achieved a shift in thinking towards a sector programme approach. Thus, the sector programme is yet at its very initial stage.

In the formulation of the programme, it is clear that an effort has been made to approach the programme complex from the result-side. Targets for key performance indicators are suggested and these are linked to suggested activities in the programme's log frame matrix. However, the near history of extensive use of the project modality in the education sector in Bangladesh is still very present. Apart from the log frame matrix, the programme documentation gives the impression of nearing the programme components from their activities rather than from the sector targets. The different co-existing management cultures have to be merged during the programme period, hopefully by using the results from the sector development as point of departure for programme monitoring.

The identified key performance indicators are defined in a rather jumbled way, as the formulation of the indicator also includes the target to be achieved. The precise role of the key performance indicator in the programme monitoring is not yet clearly defined in the programme documentation. There seems also to be some variation in the set of key performance indicators, as the programme's log frame matrix includes more indicators than the list of key performance indicators.

The monitoring mechanism is described as an instrument that needs to be enhanced by the implementation of a new management, monitoring and evaluation system. In studying the programme documents, it is unclear to what extent this system already exists.

Bolivia

Even though the education reform programme in Bolivia has not developed any set of key performance indicators, it is interesting to have a look at the extent to which the first phase of the education reform programme (1995–2003) has been oriented towards result based management.

The Educational Reform Law, approved by the Bolivian Congress in 1994 and the Education Reform Programme, adopted the following year, state overall objectives and expected results to be achieved by the education reform.

However, result progress in the annual reports from the Ministry of Education is focused on activity performance, mainly through descriptions of the degree of achievement of activities at input and output level (for example the number of operational 'nucleus', school management districts). There is a clear lack of reporting on the overall education sector performance i.e. it is not possible to see a clear link between the progress on different activities and comprehensive targets for the sector. It is unclear to what extent it is a conscious or an unconscious political choice not to start out from the sector performance in the Government's annual reporting.

Reporting on financial performance is focused on the use of financial contributions from different sources (state and donors) in relation to the different activities. A reliable financial system seems to be in place, but there seems to be weaknesses in the capacity at the Ministry of Education to manage and to analyse the financial data.

Result progress in relation to the institutional capacity is included in the annual reporting of the programme. Areas such as progress on the public sector reform, decentralisation and administrative and financial routines are reported. Significant improvements of the institutional capacity have been made during the first phase of the programme, but weaknesses in the Ministry's planning and monitoring capacity still exist.

Harmonisation measures for increased donor co-ordination and work towards a sector wide approach has not been a priority for the Ministry of Education during the first phase of the education reform programme.

During the first phase of the education reform programme, efforts have been made to establish a result focus for the programme through the introduction of a strong information system. Today, the Education Information System (SIE) and the Quality Measurement System (SIMECAL) are able to provide data on the education sector performance. This data has been recognized in evaluations to be of high quality. While SIE provides basic education statistics such as enrolment rates, drop out and repetition rates, SIMECAL conducts assessments of learning achievement. However, the results from SIMECAL has not formed a natural basis for policy adjustments in the implementation of the education reform programme.

In more general terms, there seems to have been a lack of awareness (consciously or unconsciously) of the role of sector programme performance for monitoring of the education reform programme. This has most probably hindered the transfer of information from the yearly statistics to sector reporting, sector analysis and decision-making.

Burkina Faso

The implementation of the sub-sector programme for basic education in Burkina Faso started during the second half of 2002, indicating that the programme is still at an early stage. The key performance indicators was an important issue during the preparation of the programme and these indicators played, right from the start, a significant role in the monitoring of the programme. It is interesting to note that the key performance indicators cover primary as well as non-formal basic education and that special focus is given to gender and to the 20 poorest provinces of the country.

Different kinds of result progress is reflected in the programme documentation. There are clear signs of result-based monitoring, as annual reports and reviews start out by reporting trends of the key performance indicators and thereby showing an overview of the sector performance on the access and quality of basic education in the country.

At the same time, the programme struggles with weaknesses in institutional capacity, especially in relation to financial management, difficulties in following the programme manual and to define roles and responsibilities of the different directorates and its staff within the ministry of education. An institutional analysis of the Ministry of Education from the year 2000 included recommendations for improvement, but the joint review mission reports point out that the Ministry has yet largely been unable to take strong measures to strengthen the Ministry's institutional capacity.

Concerning the quality component of the programme, the links between the performance indicators and the proposed activities for improved education quality are not made explicit. The management component of the programme is not reflected in the key performance indicators. Thus, the reporting of result progress of the management component is largely made in relation to activity performance.

From 2004, the key performance indicators for the sub-sector programme for basic education and the indicators included in Burkina Faso's PRSP are the same. These indicators have a strong focus on outcomes (76%). As no indicator at the input level is included, it becomes difficult to see a clear link between the input-output and outcome levels.

The monitoring mechanism is described as something to be enhanced, especially in relation to the reliability of the education statistics. The need for periodical assessments of learning achievement is stressed in several documents. Probably as a consequence of the week institutional capacity it is unclear how sector performance influence decision- and policy-making.

Cambodia

The Education Sector Support Programme in Cambodia (ESSP, 2002–2006) finds itself in a phase of preparation for a joint sector programme. Currently, a number of projects in support of the ESSP are ongoing, of which UNICEF and Sida are supporting the Extended Basic Education Programme (EBEP), but like in the case of Mozambique one cannot speak of a full-fledged sector programme at present.

Nevertheless, central steering documents of the ESSP are in existence and it is the subject of annual reviews by the Ministry of Education, Youth and Sport (MoEYS).

Within this framework, the ESSP has been reviewed in 2002 and 2003. Both documents adhere to the same list of key performance indicators and make a thorough review of the sector status, including suggested policy responses.

From an RBM perspective, the ESSP reviews are highly results oriented. A list of 21 key performance indicators on the input (24%), output (43%) and outcome (33%) levels are rigorously followed up; mostly on the activity level but also on outcome level. A strong focus on future monitoring of beneficiary level results is displayed. Policy responses to observed patterns and trends are formulated, and the operational level is, in the narrative, linked convincingly with the policy making level.

Regarding decision-making on all levels in the education system, the intention is clearly to establish a monitoring mechanism that can provide managers with relevant information for decision-making. The ESSP reviews (2002, 2003) themselves achieve this on the overall (aggregate) level, but discuss a functioning monitoring system for the whole education sector as something under creation.

One observation regarding the proposed organisation and co-ordination of an ESSP monitoring and evaluation system is that it is highly complex.[1] This can but need not be a problem, and subsequent ESSP reviews report of slow but steady progress with its implementation.[2] A key element is that the Cambodian education system is not accustomed to a results-approach, and time is needed to implement changes.

As regards the EBEP, the programme approach appears predominantly activity based although significant efforts have been made to strengthen a performance progress monitoring system. It is also clear that the support of EBEP is widely recognised as a major contribution to MoEYS readiness for a sector wide approach. Current MoEYS and EBEP dependence on external technical assistance is, however, still deemed too high.[3]

[1] MoEYS, October 2002, Education Sector Support Programme 2002–2006, p. 87–91.

[2] ESSP Review 2003, p. 76–78.

[3] Review report for EBEP, May 2003, p. 12.

Ethiopia

The Education Sector Development Programme, which covers the whole education sector in Ethiopia, started about seven years ago and it is clear that the monitoring routines are now well established. The use of key performance indicators has evolved over the programme period. The documentation from the second phase of the programme, which started mid-2002, shows that systematic reviews of set key performance indicators are carried out. It is encouraging to see how each outcome level performance indicator is brought up and how activity responses are formulated. This shows that the monitoring of the programme complex is approached from the results-side, in accordance with result-based management.

Result progress in relation to financial performance is generally shown as a comparison between the education budget and education expenditure. The reporting on financial performance is descriptive, rather than analytic.

Result progress on harmonisation measures is not made explicit in the reporting. The joint review missions are however seen as the main harmonisation measure to strengthen the partnership between the different stakeholder and as an important monitoring mechanism to increase the efficiency of the sector programme.

The institutional capacity of the education system is mainly dealt with in relation to efforts made to make the education delivery system work more efficiently at decentralised levels. Trends over the years as well as targets for the strengthening of the institutional capacity are lacking.

The monitoring mechanism is generally treated as an area that needs to be strengthened. EMIS provides annual education statistics, but there is room for improvement regarding the quality indicators, learning achievement in particular.

The weakest link in the monitoring of the Ethiopian education sector programme seems to be how findings and recommendations feed into the programme's policy- and decision-making. For instance, the Joint Review Mission documents (February and November 2003) stress the imbalance between on the one hand over-achieving on the level of enrolment, and a simultaneous failure to perform well with respect to other outcome indicators and targets (such as pupil/teacher ratio, drop-out and repetition rates, textbook/pupil ratio and the share of girls in primary enrolment). The picture depicted is one of a sector programme over-emphasising enrolment while activities for quality improvements have not kept pace. The question to ask, in RBM-terms, would be how this information is used as a means of adjustment of the sector programme. Unfortunately, it is unclear how the Ministry of Education in Ethiopia deals with this information. However, there are signs of some awareness at the Ministry of the need for clarification and transparency of how decision-making and policy-adjustments are made in relation to the sector programme.

Honduras

In Honduras, the launch in 2003 of the Education for All Fast Track Initiative (EFA-FTI) triggered a stronger co-ordination among the different stakeholders in the education sector. The first steps towards a SWAp has been taken, but the programme for basic education (EFA-FTI) gives at present the impression of being a mixture of project activities and a programmatic approach.

In the formulation of the programme for basic education, attention has been paid to result based management. Strategic objectives for the sub-sector linked to key performance indicators form a reasonably clear point of departure for the programme. However, the existence of a large number of separate projects with their own activity indicators makes the monitoring of sector performance complicated. An effort has however been made to link the proposed areas of activity to the strategic objectives and key performance indicators[4]. For the monitoring of the programme, there might be a risk of tension between monitoring of sector performance (i.e. the trend of key performance indicators on the outcome and impact level) versus monitoring of activity performance (i.e. the status of the operational plan and the execution of activities, normally at input-output level).

In the programme documents, the monitoring mechanism is generally described as a function to be strengthened. Basic education statistics is provided on a regular basis. There are also good examples, such as UMCE (Unidad Externa de Medición de la Calidad de la Educación) that conducts assessments of learning achievement, of more independent monitoring of the development in the education sector. There seems however to be a lack of analytical capacity at the Ministry of Education to transform this data to an input to the decision-making process. This problem is related to the overall weaknesses in institutional capacity in the education sector. The strengthening of the institutional capacity forms part of the programme, but it is yet to be seen how this aspect is included in the monitoring of result progress.

[4] In the Operational Plan Fast Track Initiative Education for All Honduras 2003–2004

Mali

The first phase of PISE, the education sector programme in Mali started in 2001 and the first phase has recently been extended to the end of 2005. The programme covers the whole education sector (from pre-primary to tertiary education) and is divided into three main components, namely quality, access and management. As the programme is now on its' third year, it is possible to detect some of its' characteristics in relation to result-based monitoring.

Apart from regular reporting on enrolment trends, the key performance indicators in the Government's Letter of Sector Policy (November, 2000) are not used for programme monitoring.

For the quality component, the only sign of attention to the sector development is rather general statements about improvements in teacher training, curriculum reform and textbook production. These statements are however not linked to overall targets or indicators. Instead, result progress is heavily focused on activity performance through reporting and recommendations on a large number of activities, mainly at the output level. The Ministry of Education seems to have difficulties in prioritising between the different activities. This is especially true for the quality component, where several of the twenty sub-components have not seen any progress during 2003. It is difficult to see how all these twenty sub-components may be managed and monitored in an efficient way as they are not linked to sector development targets/indicators. Neither financial performance nor harmonisation measures are important issues in the annual reports and joint review mission reports. It would probably be helpful for the Ministry's prioritising efforts to start from the result-side, i.e. start by targets at the sector level and from that decide on activity measures.

The Ministry expresses the need to start by enhancing the institutional framework in order to "get the sector going". Weak institutional capacity is seen as the main reason for the weaknesses in sector performance. Lack of competences as well as lack of national policies for different areas, such as non formal education and textbooks, are mentioned.

The monitoring mechanism is described as something to be created, for the quality as well as for the access component. The reports do not discuss any monitoring mechanism for the management component. The lack of reliable statistics is mentioned several times.

At least for the access component, the reports from 2004 show some awareness of the need to start by looking at sector performance by using key performance indicators for monitoring and decision-making. Such an awareness is not seen for the quality component. Here, they refer to the fact that PISE at this stage is creating the prerequisite for improved education quality by improving the institutional framework (as if the two – improved institutional capacity and RBM – were contradictory efforts).

It is unclear how decisions on programme adjustments are made. Sector performance information seems not to play a significant role in decision- and policy-making.

Mozambique

The Education sector programme in Mozambique (ESSP) is now moving from one strategy to another (ESSP I 1999–2003 to ESSP II 2004–2008). Problems with overall government institutional capacity, financial management capability and donor harmonisation (and co-operation) has troubled the programme. It is fragmented and co-ordination is weak.

No results approach is evident from the strategy document or the annual reviews. Review documents give weak descriptions of the global programme intervention logic and the impact of measures taken.

The Technical Council's report (September 2003) prepared for the 5th annual review meeting gives an overview of results achieved 1999–2003. Regrettably, the review is not linked to set key performance indicators, nor any other indicators, as they were designed for the ESSP I. The overview speaks of co-operative measures, intent, and additional needs rather than the actual status of the sector.

Formulated key performance indicators does, also, present a problem in themselves. The list is an example of not keeping indicators few; 39 in all. Many of them present problems of measurability and a lack the conceptual simplicity and straight forwardness that is often regarded a pre-requisite for the proper use and interpretation of indicators. They are also a mixture of 'sector performance' and 'activity related' indicators that, although perfectly separable, present an unclear view of objectives and targets (which is otherwise reasonably clear in the narrative of the strategic plan). Although baseline data did exist and some targets had been formulated when the strategy was developed, the Technical Council does not follow them up. A functioning monitoring mechanism designed for programme purposes is not in operation, nor is it discussed.

One explanation for the lack of clarity is that the ESSP does not operate as a sector programme, but more as a set of independent projects run through bilateral arrangements.

Apart from the key performance indicators, the programme has developed "process" indicators (21) during the course of ESSP I implementation. They mainly describe aspects of institutional operation, financial factors and the co-operative environment. The present status[5] of half of them (12) is presented in the Technical Council's report, but no conclusions are drawn.

In all aspects of the programme, the partners are heavily concerned with institutional and co-operative shortcomings. Judging by available documents, a move beyond this complex towards intervention prioritisation based on results seems distant.

[5] I.e. trends or progress in relation to benchmarks are not presented or discussed.

Namibia

Like many sector programmes in this study, the Education Sector Programme (ESP) in Namibia 2003–2007 is still in its infancy. Already in 1999 discussions began about the formation of a sector programme but it was not until 2003 that EC-Sida support of the programme came into effect. The intention is to move towards basket funding and to involve the remaining eleven donors in the education sector.

A set of 8 key performance indicators (performance based) and 11 "process indicators" (activity based) were established for the ESP, but the first Joint Annual Review of September 2003 (JAR 03) challenged the first set as non-comprehensive. A call was made for a new set to be prepared by March 2004[6].

The JAR 03 also notes that the ESP Action Plan, which is comprehensively oriented towards the institutional set-up of the ESP, has an ambitious agenda. The agenda is not, as far as can be judged, yet described against a background of sector characteristics and the JAR calls for clarifications of the relative priority of the different actions proposed. Furthermore, the JAR notes that the ESP Strategic Plan (SP) is inconsistent with the Mid-term and Annual Work Plans (MTP, AWP).

A general concern, from an RBM perspective, is that the documentation has so little to say about the present state of the education sector when discussing goals and means of the ESP.[7] This said, the early stages of the process should be acknowledged. The first JAR aims, to a large extent, at "building consensus around a number of critical issues and the actions necessary to address them".

Developing a monitoring system, and to use key performance indicators for programme decision making is described by the JAR 03 as a top priority. The existing education management information system (EMIS) is described as non-prioritised and under staffed. Underlying statistical foundations are deficient.

Stated intentions about a) comprehensive monitoring and information processing units, and b) the relationship between the JAR and sector programme development and decision making, point clearly towards an RBM perspective.

[6] The initial set is the only one available to this study. Whether a new set has been created is unknown at the time of writing.

[7] Cf. Republic of Namibia, May 2002; *The Logical Framework of the Strategic Plan (2001–2006),* and Republic of Namibia, Aide Memoire; *ESP Joint Annual Review 2003.*

Rwanda

Being in its initial stages, in spring 2004, the education sector programme in Rwanda (ESSP 2003–2008) presents an opportunity to observe what purpose indicators and targets have served in the formulation of the programme. In general, the level of attention paid to sector performance indicators as an integral part of intended programme management is high.

In programme documents, indicators and targets have been set for *sector performance* and the *programme activity plan*. Activity indicators are referred to as 'process indicators'. Regarding key sector performance indicators two sets are presented, the purpose of which is not made entirely clear. The two sets are overlapping (about 50%) and distinguished as 'key performance indicators' and 'sector performance indicators' respectively.

Set targets for key sector performance indicators are not linked analytically to proposed areas of activity[8], which suggests that the programme complex has not been approached from the results-side (meaning that one has not taken stock of the status of the sector first, identified what one wants to achieve, and then decided what programme measures are needed to get there). On the other hand, programme documents are concerned with the way programme priorities should be guided in the future, "progress monitoring [of key sector performance indicators] will… be used to determine the short and medium term implementation priorities of the sector"[9]. This is an indication of intent, but clearly in line with a results-based management approach.

In the Strategic Plan, a degree of stock-taking of sector performance characteristics is made. Yet it is not linked specifically to programme priorities, i.e. conclusions are not made regarding the appropriate way forward against a background of the said characteristics. Instead, sector priorities are defined mainly against a background of desired end-goals.

The monitoring mechanism is described as something to be created. Reasonable information and data on education sector performance seems to be available. A mechanism by which information should be fed into the decision-making process of the programme is discussed in the first Joint Review (pp. 4, 7–8, 14). It identifies means of influence and desired linkage without going into much detail.

Identified key indicators are conceptually simple, reasonably few and, as far as can be judged, within reach of a monitoring system based on national statistics. Tentative targets have been set for some key performance indicators, and discussions about the reliability of existing information systems are comprehensive, i.e. suggesting constraints and presenting credible ways to deal with them. This exercise also include dealing with how to break down national statistics regionally (and other) to secure appropriate information flows further down in the management system. As mentioned, the results chain, i.e. the logic of programme input, output and outcome, is not elaborated to any significant degree[10]. Identified key performance indicators are found on all four monitoring levels, which is unique in the sample, but it is not made explicitly clear how they relate to proposed activities nor to each other. Notably, some 58% of PRSP education sector indicators are included in the set identified on sector level, and the link between the PRS and ESSP implementation is discussed.

[8] In the narrative of the ESSP, July 2003, and the Joint Review, May 2003.
[9] Joint Review of the Education Sector, May 2003, p. 1.
[10] Internal note: Strategic plan 2003–2008, JRES April 2003, and the Aide Memoire of the Ed. Sector Budget Workshop, July 2003.

Tanzania

The Education Sector Development Programme in Tanzania has been in operation for the past two years through the Primary Education Development Plan 2002–2006, PEDP. The programme emphasises its role as one important part of the PRSP framework for Tanzania.

From a results-perspective the programme is ambiguous yet promising. On the one hand, the basic strategic document does not mention key performance indicators or discuss sector priorities against a background of sector characteristics. On the other hand, subsequent review documents are increasingly describing the development of the PEDP from a sector performance perspective.

The programme itself is centred around four key areas of action; enrolment expansion, quality improvement, capacity building and PEDP institutional development. Even though it is obvious that in the first two areas, objectives are formulated against a background of sector information, that information is not presented and discussed on the operational level in the strategy. The strategy speaks of end-goals in general rather than the logic by which operations in the sector can meet observed needs.

Although a generally agreed set (or list) of performance indicators does not exist, various performance indicators appear throughout programme documentation. A "list" can be assembled from such accounts in stocktaking reports, annual- and joint reviews[11].

From programme documentation it is evident that a central monitoring mechanism is not in operation[12]. An earlier "stocktaking report" (July 2002) appear also to be lacking or challenging some information (or at least does not use it). The latest Joint Review of the PEDP (December 2003) provide, however, a comprehensive account of sector developments and represents a fine example of a review that discuss programme operational logic from the point of view of sector performance. Also the earlier "stocktaking reports" from 2002 does describe PEDP and what it should do next from a clear performance perspective. Although not always concerted or easily overviewed (perhaps due to the lack of a clear monitoring framework), the approach of these review documents should be highly commended.

Comparing the stocktaking report of 2002 with the joint review of 2003, it seems as if the programme itself re-oriented quite little in response to the findings of July 2002[13]. Overlooking the entire programme process is difficult so this assessment is partly uncertain. To what degree the 2003 recommendations are reflected in the 2004 annual programme review cycle is unknown at the time of writing. As the case may be, it is not so clear from the documentation how recommendations given should feed into the decision-making processes of the programme.

[11] Note that the list attached as annex to this report represent such a reconstruction, the only one in the sample.

[12] Note that the latest joint review explicitly recommends MoEC and PO-RALG to improve and integrate existing information sources. Joint Review of the PEDP, December 2003, p. 71 (5.1:2).

[13] As noted in the joint review of December 2003, the programme is still over-emphasising enrolment while measures to increase quality are somewhat lagging. Joint Review; pp. 15–21.

Annex 3

Identified sets of key performance indicators

The following pages show the sets of key performance indicators that have been identified for the education sector programmes included in the study.

Note that for some countries, two sets of indicators are included – one set of original and one set of reformulated indicators. The reason for the reformulation of some of the original so-called indicators was that these were actually not formulated as indicators. The reformulation was necessary to be able to put these countries key performance indicators in a comparative perspective with the other countries in the study.

Bangladesh : Primary Education Development Programme II (PEDP II) 2004–2009

Nr	Original Indicator	Monitoring Level	EFA	Data	Interim PRSP
1	Current public expenditure on education increased to at least 2.8% of GNP by 2009	input	n/a	no	yes
2	Primary education expenditure per pupil over GNP per head increased from 8.2% in 2001 to 10% in 2009	input	n/a	no	no
3	Increasing number of schools to operate on single shift, 25% by MTR, 50% by EOP	output	n/a	no	no
4	The Gross Enrolment Ratio increased from 97,5% in 2001 to about 107% in 2009	outcome	5	no	yes
5	The Net Enrolment Ratio increased from 80% in 2001 to 84% by MTR and 88% in 2009	outcome	6	no	no
6	The number of disabled children out of school reduced by 20% by the year 2005, and by 30% in 2009	outcome	n/a	no	no
7	Student absenteeism reduced from 40% in 2001 to 20% in 2009 with no discrepancy boys and girls	outcome	n/a	no	no
8	Repetition rates for girls and boys in all classes reduced by 20% by MTR and 40% by 2009 compared to 2002	outcome	12	no	no
9	Student completion rate for girls and boys (class 5) increased from 68% in 2001 to 80% by 2009	outcome	13	no	yes
10	Teacher absence without leave reduced to 10% by EOP	outcome	n/a	no	yes
11	Education attainment of girls to improve to at least equal to that of boys by 2009	outcome	n/a	no	no
12	The number of students achieving acceptable levels of literacy and numeracy to increase by 50% by 2009	outcome	15	no	no
13	The proportion of class 5 students entering for the primary scholarship examination to increase from 20% in 2001 to 50% by 2009	outcome	n/a	no	no
14	The transition rate from class 5 to class 6, estimated to be 30% in 2001, to increase to 40 % with gender parity by 2008	outcome	n/a	no	no

Bangladesh : Primary Education Development Programme II (PEDP II) 2004–2009

Nr	Reformulated Indicator	Monitoring Level	EFA	Data	Interim PRSP	Comment
1	Public expenditure on education, % of GNP	input	n/a	no	yes	Target: to increase to 2.8% of GNP by 2009
2	Primary education expenditure per pupil over GNP per head	input	n/a	no	no	Target: to increase from 8.2% in 2001 to 10% in 2009
3	Percentage of schools operating on single shift	output	n/a	no	no	Target: to increase to 25% by MTR and 50% by EOP
4	The Gross Enrolment Ratio	outcome	5	no	yes	Target: to increase from 97.5% in 2001 to 107% in 2009
5	The Net Enrolment Ratio	outcome	6	no	no	Target: to increase from 80% in 2001 to 84% by MTR and 88% in 2009
6	The number of disabled children out of school	outcome	n/a	no	no	Target: to be reduced by 20% by 2005 and 30% in 2009
7	Percentage of student absenteeism (boys and girls)	outcome	n/a	no	no	Target: to be reduced from 40% in 2001 to 20% in 2009
8	Repetition rates for boys and girls	outcome	12	no	no	Target: to be reduced by 20% by MTR and 40% by 2009 compared to 2002
9	Student completion rate for girls and boys (class 5)	outcome	13	no	yes	Target: to increase from 68% in 2001 to 80% by 2009
10	Teacher absence without leave	outcome	n/a	no	yes	Target: to be reduced to 10% by EOP
11	Education attainment of girls	outcome	n/a	no	no	Target: to be equal to that of boys by 2009
12	The number of students achieving acceptable levels of literacy and numeracy	outcome	15	no	no	similar indicator in I-PRSP, Target: To increase by 50% by 2009
13	The proportion of class 5 students entering for the primary scholarship examination	outcome	n/a	no	no	Target: to increase from 20% in 2001 to 50% by 2009
14	The proportion of students attaining the pass level	outcome	n/a	no	yes	Target: to increase from 5% of students in 2001 to 40% by 2009
15	The transition rate from class 5 to class 6	outcome	n/a	no	no	Target: to increase from 30% in 2001 to 40% by 2008

Burkina Faso : Plan Décennal de Développement de l'Education de Base (PDDEB) 2001–2010

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP
1	Number of new intake CP1	output	n/a	yes	yes
1.a	Number of girls new intake CP1	output	n/a	yes	yes
1.b	Percentage girls	outcome	n/a	yes	yes
2	Gross intake rate primary	outcome	3	yes	yes
2.a	Girls gross intake rate primary	outcome	3	yes	yes

2.b	20 Priority Provinces (PP) gross intake rate primary	outcome	3	yes	yes
2.c	Girls & 20 PP gross intake rate primary	outcome	3	yes	yes
3	Gross enrolment ratio	outcome	5	yes	yes
3	Girls gross enrolment ratio	outcome	5	yes	yes
3	20 PP gross enrolment ratio	outcome	5	yes	yes
4	Books per pupil ratio	outcome	n/a	no	yes
4.a	Mathbooks per pupil	outcome	n/a	yes	yes
4.b	Readingbooks per pupil	outcome	n/a	yes	yes
5	Percentage of pupils from rural areas	outcome	n/a	yes	yes
6	Number of new intake AI (alpabétisation initale)	output	n/a	yes	yes
6.a	Number of new intake AI in 20 PP	output	n/a	yes	yes
6.b	Percentage of women AI	outcome	n/a	yes	yes
6.c	Percentage of women in 20 PP in AI	outcome	n/a	yes	yes
7	Number of new intake FCB (formation complémentaire de base)	output	n/a	yes	yes
7.a	Number of new intake FCB in 20 PP	output	n/a	yes	yes
7.b	Percentage of women in FCB	outcome	n/a	yes	yes
7.c	Percentage of women in 20 PP in FCB	outcome	n/a	yes	yes
8	Repetition rate per sub-cycle in primary education	outcome	12	yes	yes
8.a	CP girls and boys / girls	outcome	12	yes	yes
8.b	CE girls and boys / girls	outcome	12	yes	yes
8.c	CM girls and boys / girls	outcome	12	yes	yes
9	Drop-out rate per sub-cycle in primary education	outcome	n/a	yes	yes
9.a	CP girls and boys / girls	outcome	n/a	yes	yes
9.b	CE girls and boys / girls	outcome	n/a	yes	yes
9.c	CM girls and boys / girls	outcome	n/a	yes	yes
10	Promotion rate per sub-cycle	outcome	n/a	yes	yes
10.a	CP girls and boys / girls	outcome	n/a	yes	yes
10.b	CE girls and boys / girls	outcome	n/a	yes	yes
10.c	CM girls and boys / girls	outcome	13	yes	yes
11	Passrate CEP (Certificatd'enseignement primaire) / girls	outcome	15	yes	yes
12	Completion rate /girls	outcome	n/a	no	yes
13	Number of learners tested after AI	output	n/a	yes	yes
13.a	Number of women tested after AI	output	n/a	yes	yes
13.b	Percentage of women tested after AI	outcome	n/a	yes	yes
14	Number of learners tested after FCB	output	n/a	yes	yes
14.a	Number of women tested after FCB	output	n/a	yes	yes
14.b	Percentage of women tested after FCB	outcome	n/a	yes	yes
15	Number declared literate	outcome	n/a	yes	yes
15	Number of women declared literate	outcome	n/a	yes	yes
15	Percentage of women declared literate	outcome	n/a	yes	yes
16	Literacy rate / women	impact	18	no	yes

Cambodia : Education Sector Support programme 2002–2006

Nr	Original Indicator*	Monitoring Level	EFA	Data	PRSP
1	Net enrolement ratio primary	outcome	6	yes	yes
2	Net enrolement ratio lower secondary	outcome	6	yes	yes
3	Net enrolement ratio upper secondary	outcome	6	yes	-
4	Promotion rate grade 1–3	outcome	n/a	yes	-
5	Repetition rate grade 1–3	outcome	12	yes	-
6	Transition rate (to lower and upper secondary)	outcome	n/a	yes	-
7	Number of public supported students on TVET	output	n/a	yes	-
8	Number of private supported students on TVET	output	n/a	yes	-
9	Number of public supported students in higher education	output	n/a	yes	-
10	Number of private supported students in higher education	output	n/a	yes	-
11	Number of students in teacher education	output	n/a	yes	-
12	Pupil teacher ratio (primary, lower and upper secondary)	outcome	11	yes	-
13	Non teaching staff of total education sector workforce	output	n/a	yes	-
14	Central expenditure on core instructional materials per pupil	output	n/a	yes	-
15	Sales of instructional materials in million Riels	output	n/a	yes	-
16	Education sector share of total government recurrent budget	input	n/a	yes	-
17	Number of operational BMCs	output	n/a	yes	-
18	Expenditure on monitoring of PAP	input	n/a	yes	-
19	Non personnel share of recurrent spending	input	n/a	yes	-
20	Priority action progr share of total recurrent spending	input	n/a	yes	-
21	Disbursement rate for recurrent priority programmes	input	n/a	yes	-

* ESSP Review, August 2002

Ethiopia : Education Sector Development Programme II (ESDP II) 2002/03–2004/05

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Education's share of the total budget (current FY)	input	n/a	yes	yes	SDPRP Targets from Annual Progress Report 2002/03
2	Gross enrolment rate at primary (1–8) level	outcome	5	yes	yes	
2.a	Girls gross enrolment rate	outcome	5	yes	no	
2.b	Boys gross enrolment rate	outcome	5	yes	no	
3	Total number of primary schools	output	n/a	yes	no	
4	Gross enrolment rate at secondary (9–10) level	outcome	5	yes	no	
4.a	Girls gross enrolment rate	outcome	5	yes	no	
4.b	Boys gross enrolment rate	outcome	5	yes	no	
5	Admission to TVET	output	n/a	yes	no	
6	Admission to undergraduate program	output	n/a	yes	no	
7	Admission to graduate program	output	n/a	yes	no	
8	Share of female student in higher education enrolment	outcome	n/a	yes	no	

9	Share of lower primary (1–4) teachers who are qualified	outcome	9	yes	no
10	Share of upper primary (5–8) teachers who are qualified	outcome	9	yes	no
11	Share of secondary (9–12) teachers who are qualified	outcome	n/a	yes	no
12	Primary school student/textbook ratio	outcome	n/a	yes	yes
13	Secondary school student/textbook ratio	outcome	n/a	yes	no
14	Grade 4 sample assessment of learning achievement	outcome	15	yes	no
15	Primary school student/section ratio	outcome	n/a	yes	yes
16	Secondary school student/section ratio	outcome	n/a	yes	no
17	Grade 1 dropout rate	outcome	n/a	yes	no
18	Total primary school dropout rate	outcome	n/a	yes	yes
19	Average primary school dropout for girls	outcome	n/a	yes	no
20	Average grade 4 to 8 repetition rate	outcome	12	yes	yes
21	Average grade 4 to 8 repetition rate for girls	outcome	12	yes	no
22	Coefficient of primary school efficiency	outcome	14	yes	no
23	Gross primary enrolment rate in the two most under-served regions	outcome	5	yes	no
24	Share of girls in primary school enrolment (1–8)	outcome	5	yes	no

Honduras : Education for All – Fast Track Initiative 2003–2015

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP
1	% of sixth grade graduates of population at age 12	outcome	13	yes	no
2	% of all ages sixth grade graduates of population at age 12	outcome	13	yes	no
3	Increase the academic achievement of students in the sixth grade in mathematics and spanish	outcome	15	yes	no
4	Repetition rate grade 1	outcome	12	yes	no
5	Repetition rate grade 2	outcome	12	yes	no
6	Repetition rate grade 3	outcome	12	yes	no
7	Repetition rate grade 4	outcome	12	yes	no
8	Repetition rate grade 5	outcome	12	yes	no
9	Repetition rate grade 6	outcome	12	yes	no
10	Dropout rates grades 1 to 6	outcome	n/a	yes	no
11	Admission 1st Grade – 7 years	outcome	4	yes	no

Mali : Programme d'Investissement Sectoriel de l'Education I (PISE I) 2001–2004

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP
1	A textbook ratio of two books per primary and four per middle school student will be reached	outcome	n/a	no	no
2	Grade repetition will drop from 23% in 1998 to 13% in 2004	outcome	12	no	no
3	Dropout rate will decrease from 8% to 5%	outcome	n/a	no	no
4	Repetition rate in middle school will decrease from 20% to 10%	outcome	12	no	no
5	For secondary, the repetition rate will drop from 25% to 13%	outcome	12	no	no
6	The budget on secondary scholarships amounting to CFAF 2,4 billion in 2000 will be spent entirely on quality enhancing inputs by 2004	input	n/a	no	no
7	80% of children will read at an acceptable degree of fluency by the end of Grade 2	outcome	15	no	no
8	The primary gross enrollment rate will reach 70% by 2003–04 from about 50% in 1999–00	outcome	5	no	yes
8.b	Girls primary gross enrollment rate will increase from 46% to 58%	outcome	5	no	yes
9	Class size in primary schools will decrease to 50 in 2003–04	outcome	11	no	yes
10	At least 32% of secondary students will be enrolled in vocational education	outcome	n/a	no	no
11	The actual number of weekly hours taught by middle school teachers will increase from 15 to 18 in 2003–04	input	n/a	no	no
12	Education's share of the total budget will increase to 27% in 2004	input	n/a	no	yes
12.a	The share of basic education increasing from 56% in 1998 to 61% in 2004	input	8	no	yes
12.b	The share of secondary will remain at 24%	input	n/a	no	no
12.c	Higher education will drop from 19% to 14%	input	n/a	no	no
12.d	Teacher training will receive 1%	input	n/a	no	no
13	Decentralized development plans will be prepared and implemented by at least 7 of the 9 regions by 2003–04, with the necessary financial and human resources	output	n/a	no	no
14	The portion of the Ministry's non-salary budget administred by the 'Académies' will increase to 40% by the year 2004	output	n/a	no	no

Mali : Programme d'Investissement Sectoriel de l'Education I (PISE I) 2001–2004

Nr	Reformulated Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Textbooks per primary school student	outcome	n/a	no	no	Target: two books per primary school student
2	Textbooks per middle school student	outcome		no		Target: four books per middle school student
3	Repetition rate in primary school	outcome	12	no	no	Target: drop from 23% in 1998 to 13% in 2004
4	Drop out rate in primary school	outcome	n/a	no	no	Target: decrease from 8% to 5%
5	Repetition rate in middle school	outcome	12	no	no	Target: decrease from 20% to 10%
6	Repetition rate in secondary school	outcome	12	no	no	Target: drop from 25% to 13%
7	Percentage of children at the end of grade 2 that can read at an acceptable level	outcome	15	no	no	Target: 80% of children will read at an acceptable level
8	Gross enrolment ratio in primary school	outcome	5	no	yes	Target: increase from 50% in 99/00 school year to 70% by 03/04r

8.a	Gross enrolment ratio for girls in primary school	outcome	5	no	yes	Target: increase from 46% to 58%
9	Pupil/teacher ratio at primary level	outcome	11	no	yes	Target: decrease to 50 in 2003–04
10	Percentage of secondary students enroled in vocational education	outcome	n/a	no	no	Target: 32% of secondary students enrolled in vocational education
11	Weekly hours taught by middle school teachers	input	n/a	no	no	Target: increase from 15 to 18 hours in 2003–04
12	Education's share of the total budget	input	n/a	no	yes	Target: increase to 27% in 2004
12.a	The share of basic education of the budget allocated to the education sector	input	8	no	yes	Target: inrease from 56% in 1998 to 61% in 2004
12.b	The share of secondary education of the budget allocated to the education sector	input	n/a	no	no	Target: remain at 24%
12.c	The share of higher education of the budget allocated to the education sector	input	n/a	no	no	Target: drop from 19% to 14%
12.d	The share of teacher training of the budget allocated to the education sector	input	n/a	no	no	Target: receive 1%
13	Number of regions that have prepared and implemented decentralized development plans	output	n/a	no	no	Target: 7 out of 9 regions
14	The portion of the Ministry's non-salary budget administred by the 'Académies'	output	n/a	no	no	Target: increase to 40% by the year 2004

Mozambique : Education Sector Strategic Programme (ESSP) 1999–2003

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Human development index rating increased	impact	n/a			Composit of three indicators
2	increase in average income of the poor	impact	n/a			
3	Increased proportion of students passing key primary and lower secondary exams (1999–2003): – Grade 5 from 54 to 75% – Grade 7 from 37 to 60% – Grade 10 from 33 to 55%	outcome	15		yes	
4	A reduction in the average repetition and dropout rates by half for primary and lower secondary education	outcome	12		yes yes	
5	An increase in gross enrolement rates – Grades 1–5 from 67 to 86% – Grades 6–7 from 15 to 30%	outcome	5		yes	
6	Enrollment rate in the schools and districts where new classrooms are built, equivalent to at least 75% of the new capacity created.	input-output	n/a			
7	Implementation of at least 80% of the work programme for each year, measured by the physical targets and the budget spent for programme and routine activities.	outcome	n/a			
8	Rate of decentralisation of management to the provinces and districts as defined in the schedule to be included in the PIM.	outcome	n/a			
9	5 new IMAPs established	output	n/a			

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP	Comment
10	15 000 E level teachers (6 000 female) upgraded through IAP	outcome	10			
11	ZIPs revitalised; 840 rehabilitated/revitalised	output	n/a			
12	The curriculum transformed to reflect the integration of the first and second cycles and to reflect national values and regional diversity	output	n/a			
13	Students have a basic kit of materials	output	n/a			
14	Team for pedagogical evaluation established at INDE and a revised system for examination and assessment introduced	output	n/a			
15	School Quality Improvement Fund established and operational	output	n/a			
16	6 262 school directors receive training	output	n/a			
17	12 000 additional primary classrooms built; 25 ESG1 and 4 ESG2 schools built	output	n/a			
18	22 000 one-year fellowships are provided to girls	output	n/a			
19	National and provincial Gender Units established and trained	output	n/a			
20	Literacy strategy adopted and implemented	output	n/a			
21	An experimental special education (SE) model established and tested in 4 schools	output	n/a			
22	11 SE schools rehabilitated and 3 built	output	n/a			
23	MINED organisational structure reviewd and reformed	n/a	n/a			Composit
24	New delivery mechanisms, procedures and systems established in accordance with decentralisation plan	n/a	n/a			Composit
25	System for education planning and monitoring established	output	n/a			
26	Annual review of the ESSP conducted by donors and government	output	n/a			
27	New financial management system in place	n/a	n/a			Composit
28	Education monitoring and information system established	output	n/a			
29	Current system of voc/tec education studied and new strategy adopted	n/a	n/a			Composit

Mozambique : Education Sector Strategic Programme (ESSP), 1999–2003

Nr	Reformulated Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Human development index	impact	n/a			Composite of three indicators
2	Average income of the poor	impact	n/a			
3	Proportion of students passing primary exams	outcome	15		yes	
4	Proportion of students passing lower secondary exams	outcome	15		yes	
5	Average repetiton rate primary school	outcome	12		yes	Target: reduction by half
6	Average repetiton rate lower secondary school	outcome	12		yes	Target: reduction by half
7	Average dropout rates primary school	outcome	n/a		yes	Target: reduction by half
8	Average dropout rates lower secondary school	outcome	n/a		yes	Target: reduction by half
9	Gross enrollment rate grades 1–5	outcome	5		yes	
10	Gross enrollment rate grades 6–7	outcome	5		yes	
11	Enrollment rate in districts where new classroom capacity is created	input-output	n/a			
12	Execution of workplan by physical tragets and budget outcome	output	n/a			
13	Decentralisation rate of management in provinces and districts (defined in PIM)	outcome	n/a			
14	Establishment of 5 IMAPs	output	n/a			
15	Gross E level teacher training	outcome	10			Target: 15 000
16	Gross E level female teacher training	outcome	10			Target: 6 000
17	Rehabilitation of ZIPs	output	n/a			Target: 840
18	Curriculum revitalisation	output	n/a			
19	Student basic materials	output	n/a			
20	Establish team for pedagogical evaluation	output	n/a			
21	Revised system for examinaton	output	n/a			
22	Establish School quality improvement fund	output	n/a			
23	Schoold directors training	output	n/a			Target: 6 262
24	Classroom construction	output	n/a			Target: 12 000
25	ESG1 school construction	output	n/a			Target: 25
26	ESG2 school construction	output	n/a			Target: 4
27	Gross number of one-year fellowships awarded to girls	output	n/a			Target: 22 000
28	Establishment of national and provincial Gender Units	output	n/a			
29	Strategy for literacy adopted and implemented	output	n/a			
30	Special education (SE) model est. and tested	output	n/a			Target: in 4 schools
31	Building of SE schools	output	n/a			Target: 3
32	Rehabilitation of SE schools	output	n/a			Target: 11
33	Establishment of a system for planning and monitoring	output	n/a			
34	Annual review of ESSP conducted by donors and government	output	n/a			
35	Education monitoring and information system established	output	n/a			

Namibia : Education Sector programme 2001–2006

Nr	Reformulated Indicator	Monitoring Level	EFA	Data	PRSP missing	Comment
1	Qualified primary teachers	output	9			As percentage of total teacher cohort
2	Gross intake rate primary 1	output	3			Monitoring changing numbers as percentage
3	Survival rate grades 1 through 7	output	13			
4	JSC and IGCSE results	outcome	n/a			
5	Literacy pass rates	outcome/ impact	n/a			
6	Learner-Teacher ratio	outcome	11			Pupil teacher ratio?
7	Schoolds with HIV/AIDS plans	output	n/a			
8	Pass rates at VTC	outcome	n/a			

Rwanda : Education Sector Programme 2003–2008

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Government spending on education as % of total public expenditure	input	n/a	yes		
2	Public expenditure on primary eductaion as a % of total publ exp on education	input	8	yes		
3	Ratio of higher to primary education unit costs	input	n/a	yes		
4	Primary school pupil teacher ratio	outcome	11	yes	yes	
5	Pupil textbook ratio	outcome	n/a	no	yes	
6	Non-salary recurrent spending as a proportion of recurrent spending for primary education	output	n/a	no		
7	Primary teachers certified to teach according to national standards	output	10	yes		
7a	Male qualified	output	10	yes		
7b	Female qualified	output	10	yes		
8	Secondary teachers certified to teach according to national standards	output	10	yes		
8a	Male qualified	output	10	yes		
8b	Female qualified	output	10	yes		
9	Gross enrolement rate	outcome	5	yes	yes	Defined as output
10	Net enrolment rate	outcome	6	yes	yes	Defined as output
11	Completion rate	outcome	13	yes		(Primary?)
12	Average repetition rate	outcome	12	yes	yes	
13	Average drop out rate	outcome	n/a	yes	yes	
14	Transition to secondary	outcome	n/a	yes	yes	
15	Pupil (qualified) teacher ratio	outcome	11	yes		
16	Learning achievements in core subjects (national assessment scores)	outcome	15	no		
17	Youth literacy rates (15–24)	impact	17	no		

Tanzania (unverified source) : Primary Education Develeopment Plan 2002–2006

Nr	Original Indicator	Monitoring Level	EFA	Data	PRSP
1	Capacity for all 7–12 years old chilren to be enrolled in school	outcome	5	yes	yes
2	Drop-out rate reduced from 6,6 to 3%	outcome	n/a	partial?	-
3	Reached a uniform pupil teacher ratio of 45:1	outcome	11	yes	-
4	Better quality education leading to improved pass rates at primary leaving examination from 20–50%	outcome	n/a	yes	-
5	Constructed 54 000 classrooms	output	n/a		-
6	Improved transition rate to secondary school from 15 to 21%	outcome	n/a		yes
7	Improved capacity at national, regional, district and school levels to manage and implement primary education	n/a	n/a		-
8	Improved inspectorate	n/a	n/a		-
9	Efficient deployment of teachers	n/a	n/a		-
10	Pupil book ratio of 3:1 in 2002 to reach 1:1 by 2006	output	n/a		-
11	Improved teacher training system that can provide the number of qualified teachers needed	output	10		-
12	Recruited 45 800 teachers	output	n/a	yes	-
13	Provided housing with priority to remote areas to 30% of the newly recruited teachers	output	n/a		-
14	Effective in-service professional development of teachers	n/a	n/a		-
15	11 300 centres for non-formal basic education to be established by 2006	output	n/a		-

Tanzania : Primary Education Develeopment Plan 2002–2006

Nr	Reformulated Indicator	Monitoring Level	EFA	Data	PRSP	Comment
1	Full primary school enrolement ages 7–12	outcome	5	yes	yes	Target: achieve by january 2004
2	Primary school drop-out rates	outcome	n/a	partial?	-	Target: reduced from 6,6% to 3% by 2006
3	Pupil teacher ratio	outcome	11	yes	-	Target: 45:1 by 2006
4	Primary level examination pass rates	outcome	n/a	yes	-	Target: from 20–50% by 2006
5	Classroom construction	output	n/a		-	Target: 54 000 by 2006
6	Repetition rate primary school	outcome	n/a		yes	Target: from 15–21% by 2006
7	Pupil book ratio	output	n/a		-	Target: from 3:1–1:1 2006
8	Ratio of qualified teachers	output	10		-	n/a
9	Teacher recruitment	output	n/a	yes	-	Target: 45 800 by 2006
10	Teacher housing in remote areas	output	n/a		-	Target: 30% by 2006
11	Non-formal basic education centre establishment	output	n/a		-	Target: 11 300 by 2006

Annex 4

Arguments for a results focus in sector programmes

Argument 1:

Focusing on results promises to enhance *decision making quality,* and thereby enhances aid effectiveness and sector performance.

By looking at outcome indicators, governments and donors get both an idea of what their policies and activities translate into, and indications as to which policies work well and which work less well. The likelihood of informed decision making increase.

More specifically, making outcome and impact indicators the point of departure for programme decision making serves to identify i) underlying social and economic characteristics, ii) areas of need, iii) what specific policies translate into, and iv) potentially conflicting policies or activities.

An opposite focus on measures has the drawback that it makes such identification more difficult. If a solid understanding of points i) through iv) is absent, the basis for decision-making is weakened. (The fundamental assumption here is that the target environment is elusive, and often does not respond as expected by a given programme logic – a logic that consequently needs regular re-assessment and adjustment.)

This is not to say one cannot have reasonable expectations about what a particular action will result in. There are doubtless instances when a chain of input-output-outcome is fairly predictable. Yet, a sector programme in education is a complex affair with numerous activities and outputs that *together* work in ways not easily foreseeable. Making informed policy decisions in such environments require having access to information both of implementation efficiency (input-output in relation to outcome achievement) and of impact in the target environment (outcome and impact).

Argument 2:

Focusing on results has the potential of giving more *policy flexibility* and *ownership* to the government.

With "policy flexibility" is meant the power to influence and change policy *during the course* of programme implementation. The argument is based on the observation that when management has a focus on measures, governments try to justify its actions and progress under activity agendas rather than showing the impact of its policies.

This lessens both policy flexibility and a sense of ownership since pre-set activity agendas leaves little space for policy manoeuvres on the global programme level.

On the contrary, an increased focus on results will give the government greater flexibility because there is an agreement that government policy should be influenced by outcome information. If partners can react to the impact of policy on the ground, policy becomes more context-bound; with stronger government ownership as a reasonable consequence.

Argument 3:
Focusing on results has the potential of changing the nature of *government donor dialogue* for the better.

If the dialogue discusses the programme against a background of sector characteristics, i.e. how the sector develops on the level of beneficiaries, then the likelihood of the partners understanding what their actions have resulted in is higher. The more developed this understanding, the higher the potential quality of the dialogue.

On the other hand, if sector performance is more or less ignored in the programme dialogue, partners risk getting bogged down in endless debates about output level performance and the fulfilment of action plans. A one-sided focus on measures is then likely to divert attention from understanding the impact of reform (or programme measures). This understanding is key to a better dialogue that includes an element of policy reaction to outcome performance information.

Argument 4:
Focusing on results can potentially facilitate and improve *accountability* both for governments (ability to show results and be held accountable before its electorate) and donors (results reporting to home government). Historically reporting has concerned operational directions and intent rather than goal achievement and impact on beneficiary level, which may be possible with a focus on results.

It should be clearly understood, however, that the results approach presents new challenges in defining accountability. The traditional notion of only holding managers to account for the correct application of government regulations and procedures is partly incompatible with this perspective.

While current outputs based performance management systems hold individuals responsible for output achievement, it does not logically follow that public servants should now be held accountable for achieving policy and programme outcomes. Accountability means that government agencies have a responsibility to influence outcome results. There remains, nonetheless, an obligation to demonstrate *what* outcome results have been accomplished. The key is to make this demonstration the essence of the accountability regime.

Annex 5

Practical implications of the study

This study was discussed internally by the Sida Education Division in Paris on 7 September 2004. During the discussions, the practical implications of the study were in focus. Annex 5 recount some of the major points discussed.

The study gave four main recommendations in section 4.2 formulated as policy advice. Out of those four, three were discussed in operational terms, i.e. giving indications about how the Sida desk officer can act in practice to become more results oriented in his/her programme management. They are presented below as 5 A.

Secondly, the occasion of the annual review of the sector programme was discussed in detail. A set of important questions related to results orientation were discussed that should be kept in mind in dialogue with other donors and the government. They are presented below as 5 B.

5 A

- **To put greater emphasis on previous results, indicators and monitoring procedures during the preparation phase**

In the preparation phase, there is a need for putting programme actions into the context of sector characteristics. In a sense, the programme should be formulated *as a response* to observed patterns.

Concretely, this means that officers could, in preparatory documents;

– put increasing emphasis on describing sector characteristics by observing trends leading up to the current situation.

– identify areas of success and failure and motivate the programme rational (the results chain) against that background, i.e. prioritisation between various activities should be described and motivated.

- **To put a stronger focus on results monitoring during the agreement phase**

In the agreement phase, it is important that future monitoring of the programme becomes a centre of attention for all parties.

Concretely, this mean that officers could;

- make sure there is a reasonable "programme rationale" that is described by way of a results chain.
- make sure that information on critical indicators (not excluding *outcome* indicators) is available and that it is possible, from the available material, to distinguish trends of basic sector characteristics.
- make sure that a functioning monitoring mechanism exist (including staff resources and explicit descriptions about how information should be made available to responsible managers on all levels in the education system).

- **To develop monitoring routines**

During programme implementation, the systematic follow-up of the results chain (and outcome level results in particular) should be a primary concern. In a sector programme, this implies a strong element of co-operation with the partner government and contributing donors. Monitoring "alone" should be characterised as counterproductive and adding to traits of fragmentation and confusion over results and the purpose of sector reform.

Concretely, this means that Sida officers could;

- in dialogue with the partners argue the strengthening of the joint monitoring mechanism.
- in dialogue with the partners discuss the correspondence between the Education Sector Plan and the overall policy framework (normally a PRS) so as to reduce the tension of parallel political agendas.
- make sure that all monitoring activities and results they deal with is something that is shared by all major partners.
- make sure that when observed patterns call for in-depth analysis, that analysis is done jointly.
- when in dialogue with the partners, to be prepared to discuss programme modalities from a results-oriented perspective.
- specify key monitoring issues in the annual business and country plans.
- in all reporting to Sida-S recount discussions of progress in relation to sector characteristics.

5 B – Tentative questions for Annual Review meetings

1. *Does the programme have a set of key performance indicators?*

- Does the set adequately reflect the results chain of the programme?
- Is the set useful for the follow-up of beneficiary (outcome) level results?

2. *What is the general awareness of sector performance?*

- Is the programme and its priorities described against a background of sector characteristics?
- Is there a discussion on how to respond to sector performance indicators on outcome level?

3. What is the status of the programme monitoring mechanism?

- From where is statistical information provided and is that information reliable?
- How are underlying reliability problems being addressed?
- Are adequate resources allocated to maintain the mechanism?

4. How is sector performance information used to influence decision and policy making?

- Where is it described how monitoring results feed into the decision making process of the programme? Is that done?
- Does programme managers use performance information (outcome level) as a basis for programme decision-making?
- Does education system officials use performance information (outcome level) as a basis for decision-making?
- Are government policy decisions in the education sector based on outcome level performance information? How?

Halving poverty by 2015 is one of the greatest challenges of our time, requiring cooperation and sustainability. The partner countries are responsible for their own development. Sida provides resources and develops knowledge and expertise, making the world a richer place.

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